



## IAPD Report

# KIMBERLY FRANCES MYERS

CRD# 5564448

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When communicating online or investing with any professional, make sure you know who you're dealing with. [Imposters](#) might link to sites like BrokerCheck from [phishing](#) or similar scam websites, or through [social media](#), trying to steal your personal information or your money.

Please contact FINRA with any concerns.



## IAPD Information About Representatives

IAPD offers information on all current-and many former representatives. Investors are strongly encouraged to use IAPD to check the background of representatives before deciding to conduct, or continue to conduct, business with them.

### What is included in a IAPD report?

IAPD reports for individual representatives include information such as employment history, professional qualifications, disciplinary actions, criminal convictions, civil judgments and arbitration awards.

It is important to note that the information contained in an IAPD report may include pending actions or allegations that may be contested, unresolved or unproven. In the end, these actions or allegations may be resolved in favor of the representative, or concluded through a negotiated settlement with no admission or finding of wrongdoing.

### Where did this information come from?

The information contained in IAPD comes from the Investment Adviser Registration Depository (IARD) and FINRA's Central Registration Depository, or CRD, (see more on CRD below) and is a combination of:

- information the states require representatives and firms to submit as part of the registration and licensing process, and
- information that state regulators report regarding disciplinary actions or allegations against representatives.

### How current is this information?

Generally, representatives are required to update their professional and disciplinary information in IARD within 30 days.

### Need help interpreting this report?

For help understanding how to read this report, please consult NASAA's IAPD Tips page <http://www.nasaa.org/IAPD/IARReports.cfm>

### What if I want to check the background of an Individual Broker or Brokerage Firm?

To check the background of an Individual Broker or Brokerage firm, you can search for the firm or individual in IAPD. If your search is successful, click on the link provided to view the available licensing and registration information in FINRA's BrokerCheck website.

### Are there other resources I can use to check the background of investment professionals?

It is recommended that you learn as much as possible about an individual representative or Investment Adviser firm before deciding to work with them. Your state securities regulator can help you research individuals and certain firms doing business in your state. The contact information for state securities regulators can be found on the website of the North American Securities Administrators Association <http://www.nasaa.org>



## Report Summary

### KIMBERLY FRANCES MYERS (CRD# 5564448)

The report summary provides an overview of the representative's professional background and conduct. The information contained in this report has been provided by the representative, investment adviser and/or securities firms, and/or securities regulators as part of the states' investment adviser registration and licensing process. The information contained in this report was last updated by the representative, a previous employing firm, or a securities regulator on **03/20/2026**.

### CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
<b>B</b>	CETERA WEALTH SERVICES, LLC	CRD# 13572	01/03/2025
<b>IA</b>	CETERA INVESTMENT ADVISERS LLC	CRD# 105644	01/06/2025

### QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and 1 jurisdiction(s).

Is this representative currently Inactive or Suspended with any regulator? **No**

**Note:** Not all jurisdictions require IAR registration or may have an exemption from registration.

Additional information including this individual's qualification examinations and professional designations is available in the Detailed Report.

### REGISTRATION HISTORY

This representative was previously registered with the following firm(s):

	FIRM	CRD#	LOCATION	REGISTRATION DATES
<b>IA</b>	CAPITAL ANALYSTS	162200	Phoenix, AZ	11/05/2021 - 01/03/2025
<b>IA</b>	LINCOLN INVESTMENT	519	Phoenix, AZ	11/05/2021 - 01/03/2025
<b>B</b>	LINCOLN INVESTMENT	519	Phoenix, AZ	11/04/2021 - 01/03/2025

For additional registration and employment history details as reported by the individual, refer to the Registration and Employment History section of the Detailed Report.

### DISCLOSURE INFORMATION

Disclosure events include certain criminal charges and convictions, formal investigations and disciplinary actions initiated by regulators, customer disputes and arbitrations, and financial disclosures such as bankruptcies and unpaid judgments or liens.

Are there events disclosed about this representative? **Yes**

The following types of events are disclosed about this representative:

Type	Count
Criminal	1



## Qualifications

### REGISTRATIONS

This section provides the SRO, states and U.S. territories in which the representative is currently registered and licensed, the category of each registration, and the date on which the registration becomes effective. This section also provides, for each firm with which the representative is currently employed, the address of each location where the representative works. This individual is currently registered with 1 jurisdiction(s) and 1 SRO(s) through his or her employer(s).

#### Employment 1 of 2

Firm Name: **CETERA WEALTH SERVICES, LLC**  
Main Address: 2301 ROSECRANS AVE #5100  
EL SEGUNDO, CA 90245  
Firm ID#: 13572

Regulator	Registration	Status	Date
<b>B</b> FINRA	General Securities Representative	Approved	01/03/2025
<b>B</b> Arizona	Agent	Approved	01/06/2025

#### Branch Office Locations

**CETERA ADVISOR NETWORKS LLC**  
MARICOPA, AZ

**CETERA ADVISOR NETWORKS LLC**  
7425 E STETSON DR  
SCOTTSDALE, AZ 85251

**CETERA ADVISOR NETWORKS LLC**  
44301 W Maricopa Casa Grande Hwy Ste 5B  
Maricopa, AZ 85138

#### Employment 2 of 2

Firm Name: **CETERA INVESTMENT ADVISERS LLC**  
Main Address: 1450 AMERICAN LANE  
6TH FLOOR, SUITE 650  
SCHAUMBURG, IL 60173-2096  
Firm ID#: 105644

Regulator	Registration	Status	Date
<b>IA</b> Arizona	Investment Adviser Representative	Approved	01/06/2025

#### Branch Office Locations

**CETERA INVESTMENT ADVISERS LLC**  
7425 E STETSON DR  
SCOTTSDALE, AZ 85251

**CETERA INVESTMENT ADVISERS LLC**  
MARICOPA, AZ



## Qualifications

**CETERA INVESTMENT ADVISERS LLC**  
44301 W. Maricopa CG Hwy #5B  
Maricopa, AZ 85138



## Qualifications

### PASSED INDUSTRY EXAMS

This section includes all industry exams that the representative has passed. Under limited circumstances, a representative may attain registration after receiving an exam waiver based on a combination of exams the representative has passed and qualifying work experience. Likewise a new exam requirement may be grandfathered based on a representative's specific qualifying work experience. Exam waivers and grandfathering are not included below.

**This individual has passed 0 principal/supervisory exams, 2 general industry/product exams, and 1 state securities law exam.**


#### Principal/Supervisory Exams


Exam	Category	Date
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No information reported.

#### General Industry/Product Exams



Exam	Category	Date
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 Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
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 General Securities Representative Examination (S7)	Series 7	09/26/2014
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#### State Securities Law Exams

Exam	Category	Date
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  Uniform Combined State Law Examination (S66)	Series 66	10/17/2014
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### PROFESSIONAL DESIGNATIONS

This section details that the representative has reported **0** professional designation(s).

No information reported.



### Registration & Employment History

#### PREVIOUSLY REGISTERED WITH THE FOLLOWING FIRMS

This representative held registrations with the following firms:

	Registration Dates	Firm Name	ID#	Branch Location
IA	11/05/2021 - 01/03/2025	CAPITAL ANALYSTS	CRD# 162200	Phoenix, AZ
IA	11/05/2021 - 01/03/2025	LINCOLN INVESTMENT	CRD# 519	Phoenix, AZ
B	11/04/2021 - 01/03/2025	LINCOLN INVESTMENT	CRD# 519	Phoenix, AZ
IA	01/26/2021 - 03/10/2021	WELLS FARGO ADVISORS FINANCIAL NETWORK, LLC	CRD# 11025	SCOTTSDALE, AZ
B	01/15/2021 - 03/10/2021	WELLS FARGO ADVISORS FINANCIAL NETWORK, LLC	CRD# 11025	SCOTTSDALE, AZ
IA	09/02/2020 - 01/19/2021	CUNA BROKERAGE SERVICES, INC.	CRD# 13941	PHOENIX, AZ
B	08/28/2020 - 01/19/2021	CUNA BROKERAGE SERVICES, INC.	CRD# 13941	PHOENIX, AZ
IA	05/01/2019 - 07/31/2020	BBVA WEALTH SOLUTIONS INC.	CRD# 110476	Phoenix, AZ
B	04/30/2019 - 07/31/2020	BBVA SECURITIES INC.	CRD# 27060	PHOENIX, AZ
IA	04/05/2019 - 04/22/2019	LINCOLN INVESTMENT	CRD# 519	Phoenix, AZ
IA	04/26/2018 - 04/22/2019	LEGEND ADVISORY, LLC	CRD# 104761	Phoenix, AZ
B	04/25/2018 - 04/22/2019	LINCOLN INVESTMENT	CRD# 519	Phoenix, AZ
B	01/03/2017 - 10/20/2017	LINCOLN INVESTMENT	CRD# 519	Phoenix, AZ
IA	11/25/2016 - 10/20/2017	LEGEND ADVISORY, LLC	CRD# 104761	Phoenix, AZ
B	10/28/2016 - 01/03/2017	LEGEND EQUITIES CORPORATION	CRD# 30999	Phoenix, AZ
B	07/30/2015 - 12/17/2015	LINCOLN FINANCIAL SECURITIES CORPORATION	CRD# 3870	TEMPE, AZ



## Registration & Employment History

### PREVIOUSLY REGISTERED WITH THE FOLLOWING FIRMS

This representative held registrations with the following firms:

	Registration Dates	Firm Name	ID#	Branch Location
IA	07/30/2015 - 12/17/2015	LINCOLN FINANCIAL SECURITIES CORPORATION	CRD# 3870	TEMPE, AZ
B	03/17/2015 - 07/28/2015	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	CRD# 7691	CHANDLER, AZ
IA	03/17/2015 - 07/28/2015	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	CRD# 7691	CHANDLER, AZ
IA	11/03/2014 - 12/10/2014	EDWARD JONES	CRD# 250	ST LOUIS, MO
B	09/26/2014 - 12/10/2014	EDWARD JONES	CRD# 250	ST LOUIS, MO

### EMPLOYMENT HISTORY

Below is the representative's employment history for up to the last 10 years.

Employment Dates	Employer Name	Position	Investment Related	Employer Location
01/2025 - Present	CETERA INVESTMENT ADVISERS LLC	INVESTMENT ADVISOR REPRESENTATIVE	Y	SCHAUMBURG, IL, United States
01/2025 - Present	CETERA WEALTH SERVICES, LLC	REGISTERED REPRESENTATIVE	Y	EL SEGUNDO, CA, United States
10/2024 - Present	VIDA LEGACY PLANNING	OWNER	N	MARICOPA, AZ, United States
02/2018 - Present	COPPER SUN FINANCIAL, LLC DBA COPPER SUN INSURANCE BROKERS	CO-OWNER	Y	SCOTTSDALE, AZ, United States
11/2021 - 12/2024	Lincoln Investment	Registered Representative	Y	Fort Washington, PA, United States
08/2020 - 12/2023	Self Employed- Kurioso Designs	Owner	N	Maricopa, AZ, United States
01/2021 - 02/2021	WELLS FARGO ADVISORS FINANCIAL NETWORK, LLC	REGISTERED REP	Y	SCOTTSDALE, AZ, United States
08/2020 - 01/2021	CUNA Brokerage Services, Inc	Registered Representative	Y	Waverly, IA, United States
08/2020 - 01/2021	CUNA Mutual Group	Agent	Y	Waverly, IA, United States
05/2019 - 08/2020	BBVA Wealth Solutions Inc	Financial Consultant	Y	Phoenix, AZ, United States



### Registration & Employment History

#### EMPLOYMENT HISTORY

Employment Dates	Employer Name	Position	Investment Related	Employer Location
04/2019 - 08/2020	BBVA Compass Insurance Agency Inc	Agent	Y	Austin, TX, United States
04/2019 - 08/2020	BBVA Securities Inc	Financial Consultant	Y	Phoenix, AZ, United States
04/2019 - 08/2020	Compass Bank	Employee	Y	Birmingham, AL, United States
04/2018 - 04/2019	Legend Advisory	Investment Advisor Representative	Y	Phoenix, AZ, United States
04/2018 - 04/2019	Lincoln Investment	Registered Representative	Y	Fort Washington, PA, United States
01/2017 - 04/2019	LINCOLN INVESTMENT	Mass Transfer	Y	Phoenix, AZ, United States
11/2016 - 04/2019	Legend Advisory Corporation	Investment Adviser Representative	Y	Palm Beach Gardens, FL, United States
10/2016 - 04/2019	Legend Equities Corporation	Registered Representative	Y	Palm Beach Gardens, FL, United States
01/2016 - 04/2019	Self Employed	Independent Contractor	N	Maricopa, AZ, United States

#### OTHER BUSINESS ACTIVITIES

This section includes information, if any, as provided by the representative regarding other business activities the representative is currently engaged in either as a proprietor, partner, officer, director, employee, trustee, agent, or otherwise. This section does not include non-investment related activity that is exclusively charitable, civic, religious, or fraternal and is recognized as tax exempt.

1. NAME OF OTHER BUSINESS: FIXED INSURANCE WITH VARIOUS COMPANIES  
 INVESTMENT RELATED: YES  
 ADDRESS: SAME AS REGISTERED LOCATION  
 NATURE OF BUSINESS: FIXED INSURANCE  
 START DATE: 09/2007  
 APX NUMBER OF HOURS PER WEEK: 5  
 APX NUMBER OF HOURS DURING TRADING HOURS: 2  
 POSITION/TITLE/RELATIONSHIP: INSURANCE AGENT  
 BRIEF DESCRIPTION OF DUTIES: SELLS FIXED INSURANCE PRODUCTS;
2. NAME OF OTHER BUSINESS: DANCE FOR TATAS  
 INVESTMENT RELATED: NO  
 ADDRESS: 43248 W RIO BRAVO DR MARICOPA, AZ 85138  
 NATURE OF BUSINESS: CHARITABLE  
 START DATE: 02/2024  
 POSITION/TITLE/RELATIONSHIP: BOARD MEMBER  
 APX NUMBER OF HOURS PER WEEK: 1  
 APX NUMBER OF HOURS DURING TRADING HOURS: 0  
 BRIEF DESCRIPTION OF DUTIES: I ASSIST THE GROUP WITH ORGANIZING AND PROMOTING EVENTS TO HELP PROMOTE AWARENESS OF BREAST CANCER PREVENTATIVE TREATMENTS;



## Registration & Employment History



### OTHER BUSINESS ACTIVITIES

3. NAME OF OTHER BUSINESS: BLUE STAR MOMS MARICOPA

INVESTMENT RELATED: NO

ADDRESS: 41600 W SMITH ENKE RD MARICOPA, AZ 85138

NATURE OF BUSINESS: SUPPORT GROUP

START DATE: 10/2024

POSITION/TITLE/RELATIONSHIP: VICE PRESIDENT

APX NUMBER OF HOURS PER WEEK: 1

APX NUMBER OF HOURS DURING TRADING HOURS: 0

BRIEF DESCRIPTION OF DUTIES: ASSIST THE GROUP IN BRINGING AWARENESS TO THE SERVICES PROVIDED BY THIS NATIONAL ORGANIZATION TO PROVIDE SUPPORT TO MILITARY FAMILIES - INCLUDING MOTHERS WHO HAVE OR HAVE HAD CHILDREN SERVE IN THE US MILITARY;

4. NAME OF OTHER BUSINESS: COPPER SUN FINANCIAL, LLC DBA COPPER SUN INSURANCE BROKERS;

INVESTMENT RELATED: NO;

ADDRESS: SAME AS REGISTERED LOCATION;

NATURE OF BUSINESS: INSURANCE DBA;

START DATE: 3/2026;

POSITION/TITLE/RELATIONSHIP: OWNER;

APX NUMBER OF HOURS PER WEEK: 10;

APX NUMBER OF HOURS DURING TRADING HOURS: 5;

BRIEF DESCRIPTION OF DUTIES: DBA FOR SALE & SERVICE OF FIXED INSURANCE;

5. NAME OF OTHER BUSINESS: VIDA LEGACY PLANNING

INVESTMENT RELATED: NO

ADDRESS: SAME AS RESIDENTIAL LOCATION

NATURE OF BUSINESS: ORGANIZATION SERVICES

START DATE: 10/2024

POSITION/TITLE/RELATIONSHIP: OWNER

APX NUMBER OF HOURS PER WEEK: 3

APX NUMBER OF HOURS DURING TRADING HOURS: 0

BRIEF DESCRIPTION OF DUTIES: I PROVIDE A PRINTED AND/OR DOWNLOADABLE PLANNER TO HELP ORGANIZE PEOPLE DOCUMENTS;

6. NAME OF OTHER BUSINESS: WESTBROOK FINANCIAL SERVICES

INVESTMENT RELATED: YES

ADDRESS: SAME AS REGISTERED LOCATION

NATURE OF BUSINESS: FINANCIAL SERVICES

START DATE: 01/2025

POSITION/TITLE/RELATIONSHIP: FINANCIAL ADVISOR

APX NUMBER OF HOURS PER WEEK: 40

APX NUMBER OF HOURS DURING TRADING HOURS: 32

BRIEF DESCRIPTION OF DUTIES: PROVIDE BROKERAGE AND ADVISORY SERVICES AS NEEDED;



## Disclosure Summary

### Disclosure Information

#### What you should know about reported disclosure events:

##### (1) Certain thresholds must be met before an event is reported to IARD, for example:

- A law enforcement agency must file formal charges before an Investment Adviser Representative is required to report a particular criminal event.;
- A customer dispute must involve allegations that an Investment Adviser Representative engaged in activity that violates certain rules or conduct governing the industry and that the activity resulted in damages of at least \$5,000.

##### (2) Disclosure events in IAPD reports come from different sources:

As mentioned in the "About IAPD" section on page 1 of this report, information contained in IAPD comes from Investment Adviser Representatives, firms and regulators. When more than one of these sources reports information for the same disclosure event, all versions of the event will appear in the IAPD report. The different versions will be separated by a solid line with the reporting source labeled.

##### (3) There are different statuses and dispositions for disclosure events:

- A disclosure event may have a status of *pending*, *on appeal*, or *final*.
  - A "pending" disclosure event involves allegations that have not been proven or formally adjudicated.
  - A disclosure event that is "on appeal" involves allegations that have been adjudicated but are currently being appealed.
  - A "final" disclosure event has been concluded and its resolution is not subject to change.
- A final disclosure event generally has a disposition of *adjudicated*, *settled* or *otherwise resolved*.
  - An "adjudicated" matter includes a disposition by (1) a court of law in a criminal or civil matter, or (2) an administrative panel in an action brought by a regulator that is contested by the party charged with some alleged wrongdoing.
  - A "settled" matter generally represents a disposition wherein the parties involved in a dispute reach an agreement to resolve the matter. Please note that Investment Adviser Representatives and firms may choose to settle customer disputes or regulatory matters for business or other reasons.
  - A "resolved" matter usually includes a disposition wherein no payment is made to the customer or there is no finding of wrongdoing on the part of the Investment Adviser Representative. Such matters generally involve customer disputes.

##### (4) You may wish to contact the Investment Adviser Representatives to obtain further information regarding any of the disclosure events contained in this IAPD report.



## DISCLOSURE EVENT DETAILS

When evaluating this information, please keep in mind that some items may involve pending actions or allegations that may be contested and have not been resolved or proven. The event may, in the end, be withdrawn, dismissed, resolved in favor of the Investment Adviser Representative, or concluded through a negotiated settlement with no admission or finding of wrongdoing.

This report provides the information exactly as it was reported to the Investment Adviser Registration Depository. Some of the specific data fields contained in the report may be blank if the information was not provided.

The following types of events are disclosed about this representative:

Type	Count
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Criminal	1
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### Criminal

This disclosure event involves a criminal charge against the Investment Adviser Representative that has resulted in a dismissal, plea, acquittal or conviction. The criminal matter may relate to any felony or certain misdemeanor offenses (e.g., bribery, perjury, forgery, counterfeiting, extortion, fraud, wrongful taking of property).

#### Disclosure 1 of 1

<b>Reporting Source:</b>	Individual
<b>Formal Charges were brought in:</b>	State Court
<b>Name of Court:</b>	The State of Texas
<b>Location of Court:</b>	El Paso County
<b>Docket/Case #:</b>	20010C04890
<b>Charge Date:</b>	08/03/2000
<b>Charge(s) 1 of 1</b>	
<b>Formal Charge(s)/Description:</b>	THEFT PROP BY CHECK
<b>No of Counts:</b>	1
<b>Felony or Misdemeanor:</b>	Misdemeanor
<b>Plea for each charge:</b>	Not Guilty
<b>Disposition of charge:</b>	Dismissed
<b>Current Status:</b>	Final
<b>Status Date:</b>	01/17/2002
<b>Disposition Date:</b>	01/17/2002
<b>Sentence/Penalty:</b>	Dismissed - Not guilty
<b>Broker Statement</b>	The case above involved a check that was written for less than \$15 this was paid, dismissed and the plea is not guilty per court documents.



## End of Report

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