IAPD Report

ANDREW PAUL GOETZ

CRD# 5612164

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

ANDREW PAUL GOETZ (CRD# 5612164)

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 **01/15/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	CETERA WEALTH SERVICES, LLC	CRD# 13572	03/29/2023
IA	CETERA INVESTMENT ADVISERS LLC	CRD# 105644	06/29/2023

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **17** 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
IA	CETERA ADVISOR NETWORKS LLC	13572	BALTIMORE, MD	03/30/2023 - 06/29/2023
B	LINCOLN FINANCIAL ADVISORS CORPORATION	3978	Baltimore, MD	03/13/2018 - 03/31/2021
IA	LINCOLN FINANCIAL ADVISORS CORPORATION	3978	Baltimore, MD	03/13/2018 - 03/31/2021

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? **No**

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 **17** 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	FINRA	General Securities Representative	Approved	03/29/2023
B	California	Agent	Approved	09/10/2024
B	Delaware	Agent	Approved	08/28/2024
B	District of Columbia	Agent	Approved	11/30/2023
B	Florida	Agent	Approved	11/29/2023
B	Georgia	Agent	Approved	03/21/2025
B	Maryland	Agent	Approved	03/30/2023
B	Mississippi	Agent	Approved	05/08/2024
B	New Jersey	Agent	Approved	11/14/2023
B	New York	Agent	Approved	02/17/2026
B	North Carolina	Agent	Approved	10/16/2023
B	Oregon	Agent	Approved	03/07/2025
B	Pennsylvania	Agent	Approved	02/10/2025

Qualifications

	Regulator	Registration	Status	Date
B	South Carolina	Agent	Approved	10/10/2024
B	Tennessee	Agent	Approved	09/08/2025
B	Texas	Agent	Approved	09/05/2025
B	Virginia	Agent	Approved	02/19/2025
B	West Virginia	Agent	Approved	10/18/2024

Branch Office Locations

CETERA ADVISOR NETWORKS LLC
101 Annapolis Street
ANNAPOLIS, MD 21401

CETERA ADVISOR NETWORKS LLC
BALTIMORE, MD

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
IA	Maryland	Investment Adviser Representative	Approved	06/29/2023
IA	Texas	Investment Adviser Representative	Restricted Approval	09/05/2025

Branch Office Locations

CETERA INVESTMENT ADVISERS LLC
BALTIMORE, MD

CETERA INVESTMENT ADVISERS LLC
101 ANNAPOLIS STREET
ANNAPOLIS, MD 21401

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, 3 general industry/product exams, and 1 state securities law exam.

Principal/Supervisory Exams

	Exam	Category	Date
	No information reported.		

General Industry/Product Exams

	Exam	Category	Date
B	General Securities Representative Examination (S7TO)	Series 7TO	12/22/2022
B	Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
B	General Securities Representative Examination (S7)	Series 7	01/06/2009

State Securities Law Exams

	Exam	Category	Date
IA B	Uniform Combined State Law Examination (S66)	Series 66	04/09/2009

PROFESSIONAL DESIGNATIONS

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

No information reported.

Only professional designations listed in Question 8 of the Form U4 will appear in this section if the appropriate box is checked and verified by the issuing organization at the time of the filing. Learn more about eligible designations at IARD and NASAA.

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	03/30/2023 - 06/29/2023	CETERA ADVISOR NETWORKS LLC	CRD# 13572	BALTIMORE, MD
B	03/13/2018 - 03/31/2021	LINCOLN FINANCIAL ADVISORS CORPORATION	CRD# 3978	Baltimore, MD
IA	03/13/2018 - 03/31/2021	LINCOLN FINANCIAL ADVISORS CORPORATION	CRD# 3978	Baltimore, MD
B	03/30/2015 - 12/06/2017	AMERIPRISE FINANCIAL SERVICES, INC.	CRD# 6363	Columbia, MD
IA	03/30/2015 - 12/06/2017	AMERIPRISE FINANCIAL SERVICES, INC.	CRD# 6363	Columbia, MD
IA	04/14/2009 - 03/31/2015	AXA ADVISORS, LLC	CRD# 6627	BALTIMORE, MD
B	01/07/2009 - 03/31/2015	AXA ADVISORS, LLC	CRD# 6627	BALTIMORE, MD

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
06/2023 - Present	CETERA INVESTMENT ADVISERS LLC	INVESTMENT ADVISOR REPRESENTATIVE	Y	SCHAUMBURG, IL, United States
04/2023 - Present	Premier Planning Group, Inc.	Independent Insurance Agent	N	Annapolis, MD, United States
03/2023 - Present	CETERA WEALTH SERVICES, LLC	REGISTERED REPRESENTATIVE	Y	EL SEGUNDO, CA, United States
06/2019 - Present	LTC SPECIALISTS, LLC	PRESIDENT	N	BALTIMORE, MD, United States
12/2017 - 03/2023	Andrew Goetz	Insurance Agent	N	Baltimore, MD, United States
03/2018 - 03/2021	LINCOLN FINANCIAL ADVISORS	REGISTERED REPRESENTATIVE	Y	BALTIMORE, MD, United States
03/2015 - 12/2017	Ameriprise Financial Services, Inc.	Registered Rep	Y	Columbia, MD, United States

Registration & Employment History

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: 05/2023;
APX NUMBER OF HOURS PER WEEK: 12;
APX NUMBER OF HOURS DURING TRADING HOURS: 12;
POSITION/TITLE/RELATIONSHIP: INSURANCE AGENT;
BRIEF DESCRIPTION OF DUTIES: SELLS LIFE, HEALTH, DISABILITY, FIXED ANNUITIES AND LONG-TERM CARE;

2. NAME OF OTHER BUSINESS: WHITESTONE REALTY, LLC;
INVESTMENT RELATED: NO;
ADDRESS: 2009 MYRTLEWOOD ROAD, BALTIMORE, MD 21209;
NATURE OF BUSINESS: REAL ESTATE RENTAL / SINGLE COMMERCIAL WAREHOUSE BUILDING;
START DATE: 05/2004;
POSITION/TITLE/RELATIONSHIP: OWNER;
APX NUMBER OF HOURS PER WEEK: NONE;
APX NUMBER OF HOURS DURING TRADING HOURS: NONE;
BRIEF DESCRIPTION OF DUTIES: NONE, JUST RECEIVING INCOME;

3. NAME OF OTHER BUSINESS: LTC SPECIALISTS, LLC;
INVESTMENT RELATED: NO;
ADDRESS: 2009 MYRTLEWOOD ROAD, BALTIMORE, MD 21209;
NATURE OF BUSINESS: FIXED INSURANCE PRODUCTS / MARKETING, BRANDING;
START DATE: 06/2019;
POSITION/TITLE/RELATIONSHIP: PRESIDENT;
APX NUMBER OF HOURS PER WEEK: 30;
APX NUMBER OF HOURS DURING TRADING HOURS: 10;
BRIEF DESCRIPTION OF DUTIES: SELL FIXED INSURANCE PRODUCTS;

4. NAME OF OTHER BUSINESS PREMIER PLANNING GROUP, INC.;
INVESTMENT RELATED: NO;
ADDRESS: SAME AS REGISTERED LOCATION;
NATURE OF BUSINESS: INSURANCE SALES;
START DATE: 04/2023;
POSITION/TITLE/RELATIONSHIP: INDEPENDENT AGENT;
APX NUMBER OF HOURS PER WEEK: 4;
APX NUMBER OF HOURS DURING TRADING HOURS: 4;
BRIEF DESCRIPTION OF DUTIES: SELLS INSURANCE, LIFE, DISABILITY, LONG-TERM CARE AND OTHER FIXED INSURANCE RELATED PRODUCTS;

End of Report

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