



IAPD Report

ERIC JOHN HENRY

CRD# 5842896

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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

ERIC JOHN HENRY (CRD# 5842896)

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 **10/20/2025**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	CETERA INVESTMENT SERVICES LLC	CRD# 15340	09/23/2010
IA	CETERA INVESTMENT ADVISERS LLC	CRD# 105644	10/24/2023

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **52** 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	CETERA ADVISOR NETWORKS LLC	13572	ST CLOUD, MN	03/06/2013 - 06/12/2023
B	CETERA ADVISORS LLC	10299	ST CLOUD, MN	03/06/2013 - 06/12/2023
B	CETERA FINANCIAL SPECIALISTS LLC	10358	ST CLOUD, MN	03/06/2013 - 06/12/2023

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 **52** jurisdiction(s) and 1 SRO(s) through his or her employer(s).

Employment 1 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	Minnesota	Investment Adviser Representative	Approved	10/24/2023
IA	Texas	Investment Adviser Representative	Restricted Approval	10/25/2023

Branch Office Locations

CETERA INVESTMENT ADVISERS LLC
400 1ST ST S STE 300
ST CLOUD, MN 56301

Employment 2 of 2

Firm Name: **CETERA INVESTMENT SERVICES LLC**
Main Address: 400 FIRST ST. S. SUITE 300
ST. CLOUD, MN 56301
Firm ID#: 15340

	Regulator	Registration	Status	Date
B	FINRA	General Securities Representative	Approved	09/23/2010
B	FINRA	General Securities Principal	Approved	03/24/2017
B	FINRA	Municipal Securities Principal	Approved	06/13/2023
B	FINRA	Municipal Securities Representative	Approved	06/13/2023
B	Alabama	Agent	Approved	02/02/2011



Qualifications

Regulator	Registration	Status	Date
B Alaska	Agent	Approved	01/13/2011
B Arizona	Agent	Approved	01/06/2011
B Arkansas	Agent	Approved	01/03/2011
B California	Agent	Approved	01/05/2011
B Colorado	Agent	Approved	01/04/2011
B Connecticut	Agent	Approved	01/05/2011
B Delaware	Agent	Approved	02/14/2011
B District of Columbia	Agent	Approved	01/04/2011
B Florida	Agent	Approved	02/04/2011
B Georgia	Agent	Approved	01/07/2011
B Hawaii	Agent	Approved	01/04/2011
B Idaho	Agent	Approved	01/04/2011
B Illinois	Agent	Approved	01/03/2011
B Indiana	Agent	Approved	01/06/2011
B Iowa	Agent	Approved	01/04/2011
B Kansas	Agent	Approved	01/03/2011
B Kentucky	Agent	Approved	01/04/2011
B Louisiana	Agent	Approved	01/21/2011
B Maine	Agent	Approved	01/03/2011



Qualifications

Regulator	Registration	Status	Date
B Maryland	Agent	Approved	01/04/2011
B Massachusetts	Agent	Approved	01/05/2011
B Michigan	Agent	Approved	02/01/2011
B Minnesota	Agent	Approved	12/13/2010
B Mississippi	Agent	Approved	01/06/2011
B Missouri	Agent	Approved	01/03/2011
B Montana	Agent	Approved	01/04/2011
B Nebraska	Agent	Approved	01/12/2011
B Nevada	Agent	Approved	01/14/2011
B New Hampshire	Agent	Approved	01/03/2011
B New Jersey	Agent	Approved	01/03/2011
B New Mexico	Agent	Approved	01/04/2011
B New York	Agent	Approved	01/03/2011
B North Carolina	Agent	Approved	01/13/2011
B North Dakota	Agent	Approved	01/04/2011
B Ohio	Agent	Approved	01/27/2011
B Oklahoma	Agent	Approved	01/10/2011
B Oregon	Agent	Approved	01/03/2011



Qualifications

Regulator	Registration	Status	Date
B Pennsylvania	Agent	Approved	01/04/2011
B Puerto Rico	Agent	Approved	01/18/2011
B Rhode Island	Agent	Approved	01/05/2011
B South Carolina	Agent	Approved	01/04/2011
B South Dakota	Agent	Approved	01/03/2011
B Tennessee	Agent	Approved	01/13/2011
B Texas	Agent	Approved	02/22/2011
B Utah	Agent	Approved	01/11/2011
B Vermont	Agent	Approved	01/11/2011
B Virginia	Agent	Approved	02/07/2011
B Washington	Agent	Approved	01/06/2011
B West Virginia	Agent	Approved	01/31/2011
B Wisconsin	Agent	Approved	01/03/2011
B Wyoming	Agent	Approved	01/03/2011

Branch Office Locations

CETERA INVESTMENT SERVICES LLC
400 1ST ST S STE 300
ST CLOUD, MN 56301





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 2 principal/supervisory exams, 3 general industry/product exams, and 2 state securities law exams.




Principal/Supervisory Exams

Exam	Category	Date
 Municipal Securities Principal Examination (S53)	Series 53	09/10/2019
 General Securities Principal Examination (S24)	Series 24	03/24/2017

General Industry/Product Exams

Exam	Category	Date
 Municipal Securities Representative Examination (S52TO)	Series 52TO	01/02/2023
 Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
 General Securities Representative Examination (S7)	Series 7	09/22/2010

State Securities Law Exams

Exam	Category	Date
  Uniform Combined State Law Examination (S66)	Series 66	10/23/2023
 Uniform Securities Agent State Law Examination (S63)	Series 63	12/10/2010

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
B	03/06/2013 - 06/12/2023	CETERA ADVISOR NETWORKS LLC	CRD# 13572	ST CLOUD, MN
B	03/06/2013 - 06/12/2023	CETERA ADVISORS LLC	CRD# 10299	ST CLOUD, MN
B	03/06/2013 - 06/12/2023	CETERA FINANCIAL SPECIALISTS LLC	CRD# 10358	ST CLOUD, MN
B	02/23/2011 - 12/19/2011	FINANCIAL NETWORK INVESTMENT CORPORATION	CRD# 13572	SAINT CLOUD, MN
B	02/23/2011 - 12/19/2011	MULTI-FINANCIAL SECURITIES CORPORATION	CRD# 10299	SAINT CLOUD, MN

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
10/2023 - Present	CETERA INVESTMENT ADVISERS LLC	INVESTMENT ADVISOR REPRESENTATIVE	Y	SAINT CLOUD, MN, United States
03/2013 - Present	CETERA INVESTMENT SERVICES LLC	REGISTERED REPRESENTATIVE	Y	SAINT CLOUD, MN, United States
03/2013 - 06/2023	CETERA ADVISOR NETWORKS LLC	TRADER	Y	EL SEGUNDO, CA, United States
03/2013 - 06/2023	CETERA ADVISORS LLC	TRADER	Y	DENVER, CO, United States
03/2013 - 06/2023	CETERA FINANCIAL SPECIALISTS LLC	TRADER	Y	SCHAUMBURG, IL, 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.

No information reported.



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

Reporting Source:	Individual
Formal Charges were brought in:	State Court
Name of Court:	STATE OF MINNESOTA DISTRICT COURT
Location of Court:	STEARNS COUNTY MINNESOTA USA
Docket/Case #:	73-CR-09-11490
Charge Date:	10/03/2009
Charge(s) 1 of 2	
Formal Charge(s)/Description:	5TH DEGREE ASSAULT
No of Counts:	2
Felony or Misdemeanor:	Misdemeanor
Plea for each charge:	PLED NOT GUILTY
Disposition of charge:	Pled not guilty
Date of Amended Charge:	01/03/2011
Charge was Amended or reduced to:	DISORDERLY CONDUCT
Amended No of Counts:	2
Amended Charge:	PETTY MISDEMEANOR
Amended Plea:	GUILTY
Disposition of Amended Charge:	Pled guilty
Charge(s) 2 of 2	



Formal Charge(s)/Description:	DEFRAUDING AN INNKEEPER
No of Counts:	1
Felony or Misdemeanor:	Misdemeanor
Plea for each charge:	PLED NOT GUILTY
Disposition of charge:	Pled not guilty
Date of Amended Charge:	01/03/2011
Charge was Amended or reduced to:	DISMISSED
Amended No of Counts:	1
Amended Charge:	DISMISSED
Amended Plea:	DISMISSED
Disposition of Amended Charge:	Dismissed
Current Status:	Final
Status Date:	01/03/2011
Disposition Date:	01/03/2011
Sentence/Penalty:	01/03/2011 MONETARY PENALTY - \$395.50 PAID 01/03/2011.
Broker Statement	ON 10/02/09 I WAS ARRESTED AFTER AN ALTERCATION WITH A CAB DRIVER. I WAS DELIVERED HOME BY A CAB DRIVER AND REALIZED I DIDN'T HAVE ANY CASH. I TOLD HIM I WOULD GO INSIDE TO SEE IF I COULD FIND SOME BUT THE DRIVER STATED HE WAS GOING TO CALL THE POLICE AND WOULDN'T ALLOW ME INTO THE HOUSE. HE STOPPED ME BY HOLDING MY DOOR HANDLE. I PRIED HIS HAND OFF OF THE DOOR HANDLE AND TRIED TO GET PAST HIM. THE POLICE ARRIVED AND ARRESTED ME FOR DEFAUDING AN INNKEEPER AND 5TH DEGREE ASSAULT. THE COURT PROCEEDINGS HAVE BEEN COMPLETED AS OF JAN 3, 2011.



End of Report

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