



IAPD Report

SCOTT GRAHAM AITKEN

CRD# 5956581

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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

SCOTT GRAHAM AITKEN (CRD# 5956581)

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 **05/05/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	CETERA ADVISORS LLC	CRD# 10299	05/09/2019
IA	CETERA INVESTMENT ADVISERS LLC	CRD# 105644	03/21/2024

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **20** 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 ADVISORS LLC	10299	MESA, AZ	05/09/2019 - 03/21/2024
B	J.P. MORGAN SECURITIES LLC	79	GILBERT, AZ	10/01/2012 - 05/15/2019
IA	J.P. MORGAN SECURITIES LLC	79	GILBERT, AZ	10/01/2012 - 05/15/2019

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

Employment 1 of 2

Firm Name: **CETERA ADVISORS LLC**
Main Address: 5299 DTC BLVD #800
GREENWOOD VILLAGE, CO 80111
Firm ID#: 10299

	Regulator	Registration	Status	Date
B	FINRA	General Securities Representative	Approved	05/09/2019
B	Alabama	Agent	Approved	09/26/2022
B	Arizona	Agent	Approved	05/09/2019
B	California	Agent	Approved	05/10/2019
B	Colorado	Agent	Approved	01/07/2022
B	Florida	Agent	Approved	08/28/2025
B	Illinois	Agent	Approved	06/10/2019
B	Michigan	Agent	Approved	11/06/2024
B	Minnesota	Agent	Approved	02/07/2024
B	Missouri	Agent	Approved	05/07/2026
B	Nebraska	Agent	Approved	09/17/2020
B	Nevada	Agent	Approved	05/28/2024
B	New Hampshire	Agent	Approved	08/12/2024



Qualifications

Regulator	Registration	Status	Date
B New Mexico	Agent	Approved	07/18/2023
B Ohio	Agent	Approved	02/07/2024
B Oregon	Agent	Approved	01/06/2023
B Pennsylvania	Agent	Approved	05/10/2019
B Texas	Agent	Approved	05/15/2024
B Utah	Agent	Approved	01/14/2026
B Washington	Agent	Approved	03/31/2021
B Wisconsin	Agent	Approved	08/13/2025

Branch Office Locations

CETERA ADVISORS LLC
 3200 W RAY ROAD
 SUITE 101
 CHANDLER, AZ 85226

CETERA ADVISORS LLC
 2500 S POWER RD #119
 MESA, AZ 85209

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 Arizona	Investment Adviser Representative	Approved	03/21/2024
IA Texas	Investment Adviser Representative	Restricted Approval	05/15/2024

Branch Office Locations

CETERA INVESTMENT ADVISERS LLC
 2500 S POWER RD #119



Qualifications

MESA, AZ 85209

CETERA INVESTMENT ADVISERS LLC
3200 W RAY ROAD
SUITE 101
CHANDLER, AZ 85226



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	10/12/2011
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State Securities Law Exams

Exam	Category	Date
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  Uniform Combined State Law Examination (S66)	Series 66	10/28/2011
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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	05/09/2019 - 03/21/2024	CETERA ADVISORS LLC	CRD# 10299	MESA, AZ
B	10/01/2012 - 05/15/2019	J.P. MORGAN SECURITIES LLC	CRD# 79	GILBERT, AZ
IA	10/01/2012 - 05/15/2019	J.P. MORGAN SECURITIES LLC	CRD# 79	GILBERT, AZ
IA	01/04/2012 - 10/01/2012	CHASE INVESTMENT SERVICES CORP.	CRD# 25574	CASA GRANDE, AZ
B	10/13/2011 - 10/01/2012	CHASE INVESTMENT SERVICES CORP.	CRD# 25574	CASA GRANDE, AZ

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
03/2024 - Present	CETERA INVESTMENT ADVISERS LLC	INVESTMENT ADVISOR REPRESENTATIVE	Y	SCHAUMBURG, IL, United States
05/2019 - Present	CETERA ADVISORS LLC	REGISTERED REPRESENTATIVE	Y	DENVER, CO, United States
05/2019 - Present	WILDE WEALTH MANAGEMENT	FINANCIAL ADVISOR	Y	TEMPE, AZ, United States
03/2015 - 05/2019	JP MORGAN CHASE BANK	PRIVATE CLIENT ADVISOR	Y	MESA, AZ, United States
12/2011 - 05/2019	J.P. MORGAN SECURITIES LLC	FINANCIAL ADVISOR	Y	MESA, 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: WILDE WEALTH MANAGEMENT;
 INVESTMENT RELATED: YES;
 ADDRESS: SAME AS REGISTERED LOCATION;
 NATURE OF BUSINESS: FINANCIAL SERVICES;
 START DATE: 05/2019;
 POSITION/TITLE/RELATIONSHIP: FINANCIAL ADVISOR;



Registration & Employment History



OTHER BUSINESS ACTIVITIES

APX NUMBER OF HOURS PER WEEK: 40;
APX NUMBER OF HOURS DURING TRADING HOURS: 32.5;
BRIEF DESCRIPTION OF DUTIES: FINANCIAL SERVICES, INVESTMENT PLANNING AND MANAGEMENT;

(2) NAME OF OTHER BUSINESS: FIXED INSURANCE WITH VARIOUS COMPANIES;
INVESTMENT RELATED: YES;
ADDRESS: SAME AS REGISTERED LOCATION;
NATURE OF BUSINESS: FIXED INSURANCE;
START DATE: 04/2019;
APX NUMBER OF HOURS PER WEEK: LESS THAN 1;
APX NUMBER OF HOURS DURING TRADING HOURS: LESS THAN 1;
POSITION/TITLE/RELATIONSHIP: INSURANCE AGENT;
BRIEF DESCRIPTION OF DUTIES: SELLS LIFE, ANNUITIES AND LONG TERM CARE;

(3) SGA FINANCIAL, PLLC, INVESTMENT RELATED, SAME AS REGISTERED LOCATION, SHELL COMPANY, STARTED 06/2019, OWNER
LESS THAN ONE HOUR PER WEEK, NOT DURING TRADING HOURS
BRIEF DESCRIPTION OF DUTIES: LLC ESTABLISHED FOR TAX PURPOSES ;

(4) NAME OF OTHER BUSINESS: EXECUTIVE COUNSEL 70 ;
INVESTMENT RELATED: NO
ADDRESS: 4114 E. INDIAN SCHOOL RD PHOENIX, AZ 85018 ;
NATURE OF BUSINESS: CHARITABLE ORGANIZATION ;
START DATE: 09/2021 ;
POSITION/TITLE/RELATIONSHIP: MEMBER ;
APX NUMBER OF HOURS PER WEEK: 1 ;
APX NUMBER OF HOURS DURING TRADING HOURS: 1 ;
BRIEF DESCRIPTION OF DUTIES: HELP ORGANIZE AND COORDINATE FUNDRAISING EVENTS THROUGHOUT THE YEAR ;

(5) NAME OF OTHER BUSINESS: 4409 GRIFFITHS SPRING, LLC;
INVESTMENT RELATED: NO ;
ADDRESS: SAME AS RESIDENTIAL LOCATION;
NATURE OF BUSINESS: REAL ESTATE HOLDING COMPANY;
START DATE: 02/2024;
POSITION/TITLE/RELATIONSHIP: CO-MANAGER;
APX NUMBER OF HOURS PER WEEK: 0;
APX NUMBER OF HOURS DURING TRADING HOURS: 0;
BRIEF DESCRIPTION OF DUTIES: REAL ESTATE PROPERTY HOLDING COMPANY;

(6) NAME OF OTHER BUSINESS: 2305 ISABELLA, LLC;
INVESTMENT RELATED: NO ;
ADDRESS: SAME AS RESIDENTIAL LOCATION;
NATURE OF BUSINESS: REAL ESTATE HOLDING COMPANY;
START DATE: 02/2024;
POSITION/TITLE/RELATIONSHIP: CO-MANAGER;
APX NUMBER OF HOURS PER WEEK: 0;
APX NUMBER OF HOURS DURING TRADING HOURS: 0;
BRIEF DESCRIPTION OF DUTIES: REAL ESTATE PROPERTY HOLDING COMPANY;

(7) NAME OF OTHER BUSINESS: W FAMILY OFFICES ,



Registration & Employment History



OTHER BUSINESS ACTIVITIES

INVESTMENT RELATED: YES,
ADDRESS: SAME AS REGISTERED LOCATION,
NATURE OF BUSINESS: FINANCIAL SERVICES,
START DATE: 10/2024,
POSITION/TITLE/RELATIONSHIP: FINANCIAL PROFESSIONAL,
APX NUMBER OF HOURS PER WEEK: 40,
APX NUMBER OF HOURS DURING TRADING HOURS: 32.5,
BRIEF DESCRIPTION OF DUTIES: DBA FOR FINANCIAL SERVICES;
(8) NAME OF OTHER BUSINESS: FOUNDRY FAMILY OFFICE,
INVESTMENT RELATED: YES,
ADDRESS: SAME AS REGISTERED LOCATION,
NATURE OF BUSINESS: FINANCIAL SERVICES,
START DATE: 07/2025,
POSITION/TITLE/RELATIONSHIP: FINANCIAL PROFESSIONAL,
APX NUMBER OF HOURS PER WEEK: 10,
APX NUMBER OF HOURS DURING TRADING HOURS: 10,
BRIEF DESCRIPTION OF DUTIES: DBA FOR FINANCIAL SERVICES;



End of Report

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