



IAPD Report

Daniel Aaron Peters-Rodbell

CRD# 6037335

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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

Daniel Aaron Peters-Rodbell (CRD# 6037335)

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 **06/11/2025**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	CETERA WEALTH SERVICES, LLC	CRD# 13572	02/20/2025
IA	CETERA INVESTMENT ADVISERS LLC	CRD# 105644	02/20/2025

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **26** 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	CONCOURSE FINANCIAL GROUP ADVISORS	15708	Belle Chasse, LA	07/20/2016 - 02/20/2025
B	CONCOURSE FINANCIAL GROUP SECURITIES, INC.	15708	Belle Chasse, LA	06/05/2012 - 02/20/2025

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?

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 **26** 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	Louisiana	Investment Adviser Representative	Approved	02/20/2025
IA	Texas	Investment Adviser Representative	Restricted Approval	04/01/2025

Branch Office Locations

CETERA INVESTMENT ADVISERS LLC
8611 HIGHWAY 23
SUITE 1-C
BELLE CHASSE, LA 70037

Employment 2 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	02/20/2025
B	FINRA	Invest. Co and Variable Contracts	Approved	02/20/2025
B	Alabama	Agent	Approved	02/20/2025
B	Arizona	Agent	Approved	02/20/2025



Qualifications

	Regulator	Registration	Status	Date
B	Arkansas	Agent	Approved	02/20/2025
B	California	Agent	Approved	02/20/2025
B	Colorado	Agent	Approved	02/20/2025
B	Florida	Agent	Approved	02/20/2025
B	Georgia	Agent	Approved	02/20/2025
B	Illinois	Agent	Approved	02/20/2025
B	Louisiana	Agent	Approved	02/20/2025
B	Maryland	Agent	Approved	02/20/2025
B	Michigan	Agent	Approved	02/20/2025
B	Mississippi	Agent	Approved	02/20/2025
B	Missouri	Agent	Approved	02/20/2025
B	Montana	Agent	Approved	02/20/2025
B	Nevada	Agent	Approved	02/20/2025
B	New York	Agent	Approved	02/20/2025
B	North Carolina	Agent	Approved	02/20/2025
B	Ohio	Agent	Approved	02/20/2025
B	Pennsylvania	Agent	Approved	02/20/2025
B	South Carolina	Agent	Approved	02/20/2025
B	Tennessee	Agent	Approved	02/20/2025



Qualifications

	Regulator	Registration	Status	Date
B	Texas	Agent	Approved	02/20/2025
B	Utah	Agent	Approved	02/20/2025
B	Washington	Agent	Approved	02/20/2025
B	West Virginia	Agent	Approved	02/20/2025
B	Wisconsin	Agent	Approved	02/20/2025

Branch Office Locations

CETERA ADVISOR NETWORKS LLC
8611 Highway 23
Suite 1-C
Belle Chasse, LA 70037



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
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No information reported.

General Industry/Product Exams

Exam	Category	Date
B Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
B General Securities Representative Examination (S7)	Series 7	08/08/2013
B Investment Company Products/Variable Contracts Representative Examination (S6)	Series 6	06/04/2012

State Securities Law Exams

Exam	Category	Date
IA B Uniform Combined State Law Examination (S66)	Series 66	07/20/2016



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	07/20/2016 - 02/20/2025	CONCOURSE FINANCIAL GROUP ADVISORS	CRD# 15708	Belle Chasse, LA
B	06/05/2012 - 02/20/2025	CONCOURSE FINANCIAL GROUP SECURITIES, INC.	CRD# 15708	Belle Chasse, LA

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
02/2025 - Present	CETERA INVESTMENT ADVISERS LLC	INVESTMENT ADVISOR REPRESENTATIVE	Y	SCHAUMBURG, IL, United States
02/2025 - Present	CETERA WEALTH SERVICES, LLC	REGISTERED REPRESENTATIVE	Y	Belle Chasse, LA, United States
08/2020 - Present	(dba) The Ansardi Group LLC	Director, Investment Strategy	Y	Belle Chasse, LA, United States
02/2012 - Present	(dba) Ansardi Financial Services Inc	Planning Associate	Y	Belle Chasse, LA, United States
07/2016 - 02/2025	Concourse Financial Group Securities Inc	Investment Adviser Representative	Y	Belle Chasse, LA, United States
05/2012 - 02/2025	Concourse Financial Group Securities Inc	Registered Representative	Y	Belle Chasse, LA, 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.

(dba) THE ANSARDI GROUP, LLC; Investment Related; 8611 Hwy 23, Suite 1C, Belle Chasse, LA 70037; Investment and Financial Services; Financial Professional; Start Date 08/2020; 160 hours per month; Design and manage investments for clients and handle client facing tasks as required. >> (dba) ANSARDI FINANCIAL SERVICES LLC; Investment Related; 8611 Highway 23, Ste 1-C, Belle Chasse, LA 70037; Planning Associate; Start Date 02/2012; 160 hours per month; I support clients through the purchase of and advice on securities, college savings accounts, variable annuities, fixed annuities, life insurance, health insurance, and financial planning services. >> NEW ORLEANS OFFICIAL LIVERPOOL FC SUPPORTERS CLUB; Non-Investment Related; New Orleans, LA; Other; Treasurer; Start Date 11/2024; 1 hour per month with no hour(s) occurring during trading hours; My duties are to ensure that the club's paypal, venmo, square type accounts are functional for collecting and remitting money to members as required for reimbursement or apparel purchases. Attend meetings as required and on request, provide statement of accounts to the board.



End of Report

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