IAPD Report

RAYMOND MCCORMACK JR

CRD# 6543090

Section Title	**Page(s)**

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

User Guidance

www.adviserinfo.sec.gov

Report Summary

RAYMOND MCCORMACK JR (CRD# 6543090)

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 **07/07/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
IA	CETERA INVESTMENT ADVISERS LLC	CRD# 105644	08/11/2025
B	CETERA WEALTH SERVICES, LLC	CRD# 13572	09/05/2025

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **21** 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	AVANTAX ADVISORY SERVICES	104556	Lakewood Ranch, FL	08/04/2020 - 09/08/2025
B	AVANTAX INVESTMENT SERVICES, INC.	13686	Lakewood Ranch, FL	07/31/2020 - 09/05/2025
IA	KESTRA ADVISORY SERVICES, LLC	283330	ORLANDO, FL	04/28/2016 - 06/24/2020

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
Customer Dispute	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 **21** 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	09/05/2025
B	Alabama	Agent	Approved	09/05/2025
B	California	Agent	Approved	09/05/2025
B	Colorado	Agent	Approved	09/05/2025
B	Connecticut	Agent	Approved	09/05/2025
B	Florida	Agent	Approved	09/05/2025
B	Georgia	Agent	Approved	09/05/2025
B	Indiana	Agent	Approved	09/05/2025
B	Kentucky	Agent	Approved	09/05/2025
B	Louisiana	Agent	Approved	09/05/2025
B	Maine	Agent	Approved	09/18/2025
B	Maryland	Agent	Approved	09/05/2025
B	Massachusetts	Agent	Approved	09/05/2025

Qualifications

	Regulator	Registration	Status	Date
B	Michigan	Agent	Approved	09/05/2025
B	Minnesota	Agent	Approved	02/04/2026
B	New York	Agent	Approved	05/05/2026
B	North Carolina	Agent	Approved	09/05/2025
B	Ohio	Agent	Approved	09/05/2025
B	Pennsylvania	Agent	Approved	09/05/2025
B	South Carolina	Agent	Approved	09/05/2025
B	Tennessee	Agent	Approved	09/05/2025
B	Texas	Agent	Approved	09/05/2025

Branch Office Locations

CETERA ADVISOR NETWORKS LLC
4853 S Orange Ave
Suite A
Orlando, FL 32805

CETERA ADVISOR NETWORKS LLC
6260 Lake Osprey Dr
Lakewood Ranch, FL 34240

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	Florida	Investment Adviser Representative	Approved	08/11/2025
IA	Texas	Investment Adviser Representative	Approved	09/06/2025

Branch Office Locations

Qualifications

CETERA INVESTMENT ADVISERS LLC
6260 Lake Osprey Dr
Lakewood Ranch, FL 34240

CETERA INVESTMENT ADVISERS LLC
4853 S Orange Avenue
Suite A
Orlando, FL 32806

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
	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	09/14/2015

State Securities Law Exams

	Exam	Category	Date
IA B	Uniform Combined State Law Examination (S66)	Series 66	11/05/2015

PROFESSIONAL DESIGNATIONS

This section details that the representative has reported **1** professional designation(s).

Certified Financial Planner

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.

[User Guidance](#)

[www.adviserinfo.sec.gov](#)

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	08/04/2020 - 09/08/2025	AVANTAX ADVISORY SERVICES	CRD# 104556	Lakewood Ranch, FL
B	07/31/2020 - 09/05/2025	AVANTAX INVESTMENT SERVICES, INC.	CRD# 13686	Lakewood Ranch, FL
IA	04/28/2016 - 06/24/2020	KESTRA ADVISORY SERVICES, LLC	CRD# 283330	ORLANDO, FL
B	09/14/2015 - 06/24/2020	KESTRA INVESTMENT SERVICES, LLC	CRD# 42046	Winter Park, FL
IA	11/19/2015 - 09/22/2016	NFP ADVISOR SERVICES, LLC	CRD# 42046	Winter Park, FL

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
09/2025 - Present	CETERA WEALTH SERVICES, LLC	REGISTERED REPRESENTATIVE	Y	Lakewood Ranch, FL, United States
07/2025 - Present	CETERA INVESTMENT ADVISERS LLC	INVESTMENT ADVISOR REPRESENTATIVE	Y	SCHAUMBURG, IL, United States
09/2020 - Present	McCormack Wealth LLC	Owner	Y	Orlando, FL, United States
07/2020 - 09/2025	AVANTAX ADVISORY SERVICES	INVESTMENT ADVISER REPRESENTATIVE	Y	LAKEWOOD RANCH, FL, United States
07/2020 - 09/2025	AVANTAX INSURANCE AGENCY, LLC.	INSURANCE AGENT	Y	LAKEWOOD RANCH, FL, United States
07/2020 - 09/2025	AVANTAX INVESTMENT SERVICES INC.	REGISTERED REPRESENTATIVE	Y	LAKEWOOD RANCH, FL, United States
01/2019 - 01/2021	Asian American Chamber of Commerce, Inc	Board Position/Officer	N	Orlando, FL, United States
09/2018 - 09/2020	Hub International	Director of Qualified Plans & Investments	N	Chicago, IL, United States
04/2016 - 06/2020	KESTRA FINANCIAL SERVICES, INC	REGISTERED REP	Y	Austin, TX, United States

Registration & Employment History

EMPLOYMENT HISTORY

Employment Dates	Employer Name	Position	Investment Related	Employer Location
07/2015 - 07/2018	Cash & Associates	Director of Qualified Plans	N	Orlando, FL, 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) United Against Poverty 150 W Michigan St Orlando FL 32806 Board Position/Officer Other~1/1/2020~1hrs~1hrs~I coordinate our educational programs as well as help the organization grow. I lead the Poverty & Prosperity committee where I coordinate volunteers to execute the educational program. I also work with employers to connect them to our STEP students for employment opportunities.

2) Aksala Wealth Advisors LLC 8225 Natures Way, Unit 119 Lakewood Ranch FL 34202 Other Independent Contractor 7/21/2020 160hrs~130hrs I am a wealth advisor with Aksala Wealth. My goal is to bring in new clients (both individuals & 401k) to the firm via marketing efforts. I am also am responsible for aiding the team in any projects they have planned. I will be disclosing to all clients that I am a registered representative of Avantax Wealth Management & providing them the necessary disclosures. All investment related activities will be conducted through Avantax.

3) AKSALA WEALTH ADVISORS LLC; POSITION: Independent Contractor NATURE: Alaska Wealth Advisors is a financial planning firm. The goal of the firm is to aid indvls in their retirement planning needs. Their holistic model includes assistance in inv mgmt, social security planning, guidance in retirement income planning, etc. All inv relactivities will be conducted through Avantax. INV REL: Yes # OF HRS: 160 TRAD HRS: 130 START DATE: 07/21/2020; 6260 Lake Osprey Dr, Lakewood Ranch FL 34240: I am a wealth advisor with Aksala Wealth. My goal is to bring in new clients (both individuals & 401k) to the firm via marketing efforts. I am also am responsible for aiding the team in any projects they have planned. I will be disclosing to all clients that I am a registered representative of Avantax Wealth Management & providing them the necessary disclosures.

4) MCCORMACK WEALTH LLC
POSITION: Owner NATURE: LLC created to cover business expenses INVESTMENT RELATED: Yes NUMBER OF HOURS: 160
SECURITIES TRADING HOURS: 130 START DATE: 09/01/2020
ADDRESS: 4853 S Orange Ave, Suite #A, Orlando FL 32806, United States
DESCRIPTION: Wealth Management

5)THE CATHOLIC FOUNDATION OF CENTRAL FLORIDA
POSITION: Chair-Planned Giving Advisory Council NATURE: Lead the Planned Giving Advisory Council (PGAC) in providing educational services to professional advisors in the Central FL community regarding philanthropic giving to the Catholic Foundation of Central FL. The donations will be used to fund the operations of the Catholic Foundation of Central FL, which primarily focus on providing religious education to children, retirement assistance for elderly priests & housing/employment for adults with disabilities. I am not directly involved with the collection of donations nor involved with the investment of these funds. I am not involved with the investments or collection of funds for any of these Investment Services -Endowment Funds, Reserve Funds and Donor Advised Funds. I receive no compensation for the role & is purely a volunteer position to give back to my church. I cannot ever become the ROR on accounts for the org or be listed on any accounts for the organization. I will not be involved in the selection process or the selection of any investments related to the activity and I will not offer any advice or suggestions related to the same INV REL: No # OF HRS: 5 TRAD HRS: 2 START DATE: 08/01/2025
ADDRESS: 50 E Robinson St, Orlando FL 32802, United States
DESCRIPTION: Organize meetings, find topical speakers, outreach to recruit potential new members

6) NAME: CEO LEADERSHIP FORUMS;

Registration & Employment History

OTHER BUSINESS ACTIVITIES

INV REL: NO;
ADDRESS: 1000 LEGION PLACE SUITE #701 ORLANDO, FL 32801;
NATURE OF BUSINESS: TAX AND ACCOUNTING SERVICES;
START: 07/2026;
POSITION: BOARD MEMBER/TREASURER;
APX # OF HRS PER WK: 1;
APX # OF HRS DUR TRAD HRS: 0;
DUTIES: REVIEW & AUDIT THE BOOKS FOR THE ORGANIZATION, PARTICIPATE AS A BOARD MEMBER AS WELL;

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
Customer Dispute	1

Customer Dispute

This section provides information regarding a customer dispute that was reported to the Investment Adviser Registration Depository (IARD) by the Investment Adviser Representative (IAR), an investment adviser and/or securities firm, and/or a securities regulator. The event may include a consumer-initiated, investment-related complaint, arbitration proceeding or civil suit that contains allegations of sales practice violations against the individual.

The customer dispute may be pending or may have resulted in a civil judgment, arbitration award, monetary settlement, closure without action, withdrawal, dismissal, denial, or other outcome.

Disclosure 1 of 1

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	AVANTAX INVESTMENT SERVICES, INC.
Allegations:	Customer alleged the representative invested her into a non-conservative product without her authorization and disclosed account information to her stepdaughter.
Product Type:	Annuity-Variable
Alleged Damages:	$43,745.00
Is this an oral complaint?	No
Is this a written complaint?	Yes
Is this an arbitration/CFTC reparation or civil litigation?	No

Customer Complaint Information

Date Complaint Received:	08/19/2022
Complaint Pending?	No
Status:	Denied
Status Date:	09/16/2022
Settlement Amount:	
Individual Contribution Amount:	
Broker Statement	Upon conclusion of the Firm's review, no wrongdoing was found on the part of the

representative. The establishment of the variable annuity was made with the customer's authorization and it aligned with her stated investment objectives and risk tolerance. It was also found that the customer authorized the representative to discuss her financial matters in the presence of her stepdaughter.

End of Report

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