IAPD Report

Thomas William Pollock Jr

CRD# 6564272

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

Thomas William Pollock Jr (CRD# 6564272)

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 **11/12/2025**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
IA	CETERA INVESTMENT ADVISERS LLC	CRD# 105644	08/22/2025
B	CETERA WEALTH SERVICES, LLC	CRD# 13572	09/05/2025

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **6** 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	AVANTAX INVESTMENT SERVICES, INC.	13686	Neptune, NJ	05/02/2025 - 09/05/2025
IA	AVANTAX ADVISORY SERVICES	104556	Port Saint Lucie, FL	01/20/2025 - 09/05/2025
IA	ALPHA BETA GAMMA WEALTH MANAGEMENT	286579	PALM BEACH GARDENS, FL	01/08/2021 - 01/03/2025

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? **Yes**

The following types of events are disclosed about this representative:

Type	Count
Termination	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 **6** 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	Connecticut	Agent	Approved	09/19/2025
B	Florida	Agent	Approved	09/05/2025
B	Georgia	Agent	Approved	11/13/2025
B	Michigan	Agent	Approved	10/30/2025
B	New Jersey	Agent	Approved	09/05/2025
B	Pennsylvania	Agent	Approved	10/29/2025

Branch Office Locations

CETERA ADVISOR NETWORKS LLC
3311 Route 33
Suite 100
Neptune, NJ 07753

CETERA ADVISOR NETWORKS LLC
PORT SAINT LUCIE, FL

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

Qualifications

	Regulator	Registration	Status	Date
IA	Florida	Investment Adviser Representative	Approved	08/22/2025
IA	New Jersey	Investment Adviser Representative	Approved	09/05/2025

Branch Office Locations

CETERA INVESTMENT ADVISERS LLC
3311 Route 33
Neptune, NJ 07753

CETERA INVESTMENT ADVISERS LLC
Port Saint Lucie, FL

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 2 state securities law exams.

Principal/Supervisory Exams

	Exam	Category	Date
	No information reported.		

General Industry/Product Exams

	Exam	Category	Date
B	General Securities Representative Examination (S7TO)	Series 7TO	03/22/2024
B	Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
B	General Securities Representative Examination (S7)	Series 7	11/02/2015

State Securities Law Exams

	Exam	Category	Date
B	Uniform Securities Agent State Law Examination (S63)	Series 63	05/29/2025
IA B	Uniform Combined State Law Examination (S66)	Series 66	01/04/2016

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.

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	05/02/2025 - 09/05/2025	AVANTAX INVESTMENT SERVICES, INC.	CRD# 13686	Neptune, NJ
IA	01/20/2025 - 09/05/2025	AVANTAX ADVISORY SERVICES	CRD# 104556	Port Saint Lucie, FL
IA	01/08/2021 - 01/03/2025	ALPHA BETA GAMMA WEALTH MANAGEMENT	CRD# 286579	PALM BEACH GARDEN:
IA	01/05/2016 - 07/30/2020	UBS FINANCIAL SERVICES INC.	CRD# 8174	STUART, FL
B	11/02/2015 - 07/30/2020	UBS FINANCIAL SERVICES INC.	CRD# 8174	STUART, 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 INVESTMENT ADVISERS LLC	INVESTMENT ADVISOR REPRESENTATIVE	Y	Neptune, NJ, United States
09/2025 - Present	CETERA WEALTH SERVICES, LLC	REGISTERED REPRESENTATIVE	Y	Neptune, NJ, United States
07/2025 - Present	CETERA INVESTMENT ADVISERS LLC	INVESTMENT ADVISOR REPRESENTATIVE	Y	SCHAUMBURG, IL, United States
01/2025 - Present	Brendon Pierson Inc	Financial Advisor	Y	Port Saint Lucie, FL, United States
04/2025 - 09/2025	Avantax Investment Services Inc.	Registered Representative	Y	Port Saint Lucie, FL, United States
01/2025 - 09/2025	Avantax Advisory Services	Investment Advisor Representative	Y	Port Saint Lucie, FL, United States
01/2025 - 09/2025	Avantax Insurance Agency LLC	Insurance Agent	Y	Port Saint Lucie, FL, United States
10/2020 - 01/2025	Alpha Beta Gamma Wealth Management	Investment Adviser Representative	Y	Palm Beach Gardens, FL, United States
07/2020 - 10/2020	Unemployed	Unemployed	N	Port Saint Lucie, FL, United States
09/2015 - 06/2020	UBS Financial Services, Inc.	Financial Advisor	Y	Stuart, FL, 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) BRENDON PIERSON INC. POSITION: Financial Advisor NATURE: -Work closely with clients to plan, protect, and grow their financial well-being by providing financial planning, tax planning, and investment guidance INVESTMENT RELATED: Yes NUMBER OF HOURS: 60 SECURITIES TRADING HOURS: 50 START DATE: 01/13/2025 ADDRESS: 4814 Outlook Drive, Suite 100, Wall NJ 07753 DESCRIPTION: -Investment Research-Financial Planning-Client Management-Tax Planning-Portfolio Construction

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
Termination	1

Termination

This disclosure event involves a situation where the Investment Adviser Representative voluntarily resigned, was discharged or was permitted to resign after allegations were made that accused the Investment Adviser Representative of violating investment-related statutes, regulations, rules or industry standards of conduct; fraud or the wrongful taking of property; or failure to supervise in connection with investment-related statutes, regulations, rules or industry standards of conduct.

Disclosure 1 of 1

Reporting Source:	Firm
Firm Name:	UBS FINANCIAL SERVICES INC
Termination Type:	Discharged
Termination Date:	06/30/2020
Allegations:	Discharged due to violations of firm policy, including failing to escalate/report a client complaint, advising on 401K investments held away from the firm, and sending documents to himself via personal email that contained confidential internal and client information
Product Type:	No Product

Reporting Source:	Individual
Firm Name:	UBS Financial Services Inc.
Termination Type:	Discharged
Termination Date:	06/30/2020
Allegations:	Discharged due to violations of firm policy, including failing to escalate/report a client compliant, advising on 401k investments held away from the firm, and sending documents to himself via personal email that contained confidential internal and client information.
Product Type:	No Product
Broker Statement	In October 2019, a client sent me an email questioning the firm policy of having to speak with me verbally before implementing account instructions. I did not interpret his email as a complaint, nor did the client intend it to be. 401k guidance was provided as part of a holistic financial planning process to

ensure clients were taking advantage of their maximum contribution and their overall asset allocation aligned with their target risk profile. As a fiduciary, I am required to act in the best interest of my clients, and I simply could not ignore their retirement plans without violating my fiduciary duty.

In December 2018, I emailed client meeting materials to my personal email so I could print from home to avoid driving 45 minutes to the office. I only sent the meeting materials to myself, and no clients were harmed.

End of Report

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