



IAPD Report

Christopher Lee Cluck

CRD# 6789360

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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

Christopher Lee Cluck (CRD# 6789360)

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 **10/23/2025**.

CURRENT EMPLOYERS

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

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **2** 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	Fort Smith, AR	10/25/2019 - 09/05/2025
B	AVANTAX INVESTMENT SERVICES, INC.	13686	FORT SMITH, AR	10/25/2019 - 09/05/2025
IA	1ST GLOBAL ADVISORS INC	111133	FORT SMITH, AR	08/28/2017 - 10/25/2019

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? **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 2 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 Arkansas	Agent	Approved	09/05/2025
B Oklahoma	Agent	Approved	09/05/2025

Branch Office Locations

CETERA ADVISOR NETWORKS LLC
3101 SOUTH 70TH STREET
FORT SMITH, AR 72903

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 Arkansas	Investment Adviser Representative	Approved	09/05/2025

Branch Office Locations

CETERA INVESTMENT ADVISERS LLC
3101 SOUTH 70TH STREET
FORT SMITH, AR 72903



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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B Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
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B General Securities Representative Examination (S7)	Series 7	08/02/2017
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State Securities Law Exams

Exam	Category	Date
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IA B Uniform Combined State Law Examination (S66)	Series 66	08/28/2017
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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	10/25/2019 - 09/05/2025	AVANTAX ADVISORY SERVICES	CRD# 104556	Fort Smith, AR
B	10/25/2019 - 09/05/2025	AVANTAX INVESTMENT SERVICES, INC.	CRD# 13686	FORT SMITH, AR
IA	08/28/2017 - 10/25/2019	1ST GLOBAL ADVISORS INC	CRD# 111133	FORT SMITH, AR
B	08/03/2017 - 10/25/2019	1ST GLOBAL CAPITAL CORP.	CRD# 30349	FORT SMITH, AR

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	SCHAUMBURG, IL, United States
09/2025 - Present	CETERA WEALTH SERVICES, LLC	REGISTERED REPRESENTATIVE	Y	FORT SMITH, AR, United States
10/2018 - Present	LANDMARK CPA, PLC	MEMBER	Y	FORT SMITH, AR, United States
01/2006 - Present	Landmark PLC, Certified Public Accountants	Member	Y	Fort Smith, AR, United States
10/2019 - 09/2025	Avantax Advisory Services	Investment Adviser Representative	Y	Fort Smith, AR, United States
10/2019 - 09/2025	Avantax Investment Services, Inc.	Registered Representative	Y	Fort Smith, AR, United States
07/2018 - 09/2025	Avantax Insurance Agency and/or Avantax Insurance Services	agent	Y	Fort Smith, AR, United States
07/2018 - 09/2025	Avantax Insurance Services, Inc.	Insurance Agent	Y	Fort Smith, AR, United States
05/2017 - 10/2019	1st Global Advisors, Inc.	Investment Adviser Representative	Y	Fort Smith, AR, United States
05/2017 - 10/2019	1st Global Capital Corp.	Registered Representative	Y	Fort Smith, AR, United States
01/2006 - 10/2018	Beall Barclay & Company, PLC	Member	N	Fort Smith, AR, United States



Registration & Employment History

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) LANDMARK FINANCIAL, LLC

POSITION: Referring advisor NATURE: Referring advisor INVESTMENT RELATED: Yes NUMBER OF HOURS: 10 SECURITIES TRADING HOURS: 3 START DATE: 10/01/2018

ADDRESS: 3101 South 70th Street, Fort Smith AR 72903, DESCRIPTION: Referring advisor

2) JC2 PROPERTIES OF FORT SMITH, LLC

POSITION: Partner NATURE: Partnership established to purchase and hold residential real estate. INVESTMENT RELATED: No NUMBER OF HOURS: 10 SECURITIES TRADING HOURS: 8 START DATE: 09/30/2021

ADDRESS: 14318 Country Ridge Way, Fort Smith AR 72916, DESCRIPTION: Partner. I will oversee the operations of the partnership including the collection of revenues, payment of expenses, etc. I will also assist in assuring the partnership stays in compliance with all laws and regulations.

3) COMPASS PROPERTIES OF FORT SMITH, LLC

POSITION: Partner NATURE: Partnership established to purchase and hold commercial real estate INVESTMENT RELATED: No NUMBER OF HOURS: 10 SECURITIES TRADING HOURS: 8 START DATE: 10/31/2021

ADDRESS: 3101 South 70th Street, Fort Smith AR 72903, DESCRIPTION: Managing Partner. I will oversee the operations of the partnership including the collection of revenues, payment of expenses, etc. I will also assist in assuring the partnership stays in compliance with all laws and regulations.

4) PLC, CERTIFIED PUBLIC ACCOUNTANTS

POSITION: Member NATURE: Accounting firm that provides consulting, tax, A&A, bookkeeping, and other services to clients. INVESTMENT RELATED: No NUMBER OF HOURS: 220 SECURITIES TRADING HOURS: 130 START DATE: 01/06/2006

ADDRESS: 3101 South 70th Street, Fort Smith AR 72903, United States

DESCRIPTION: Member of the firm overseeing the firm's operations and employees. Prepare and sign tax returns and A&A reports. Referring advisor to Landmark Financial



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
Criminal	1

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
If charge(s) were brought against an organization over which individual exercised control:	
Organization Name:	
Investment Related Business:	No
Position:	
Formal Charges were brought in:	State Court
Name of Court:	District Court of Sebastian County, Arkansas
Location of Court:	Greenwood, Arkansas
Docket/Case #:	96-002517
Charge Date:	05/18/1996
Charge(s) 1 of 1	
Formal Charge(s)/Description:	Theft by receiving
No of Counts:	1
Felony or Misdemeanor:	Felony
Plea for each charge:	Not Guilty
Disposition of charge:	Reduced
Date of Amended Charge:	06/20/1996
Charge was Amended or	Amended from Class C Felony Theft by Receiving to Class A Misdemeanor Theft



reduced to:	by Receiving.
Amended No of Counts:	1
Amended Charge:	Misdemeanor
Amended Plea:	No Contest
Disposition of Amended Charge:	Dismissed
Current Status:	Final
Status Date:	06/19/1996
Disposition Date:	06/19/1996
Sentence/Penalty:	Probation/Suspended Imposition of Sentence, 06/19/1996 - 06/19/1997, \$250 fine. Both completed and matter dismissed on 06/27/1997.



End of Report

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