



IAPD Report

Daniyal I Ahmed

CRD# 6810774

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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

Daniyal I Ahmed (CRD# 6810774)

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 **09/07/2025**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
IA	AVANTAX PLANNING PARTNERS, INC.	CRD# 106237	01/08/2019
B	CETERA WEALTH SERVICES, LLC	CRD# 13572	09/05/2025

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **4** 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	INDIANAPOLIS, IN	09/30/2020 - 09/05/2025
B	PROEQUITIES, INC.	15708	INDIANAPOLIS, IN	01/03/2019 - 09/30/2020
IA	AXA ADVISORS, LLC	6627	CEDAR RAPIDS, IA	11/22/2017 - 10/23/2018

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	2



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 4 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 Illinois	Agent	Approved	09/05/2025
B Indiana	Agent	Approved	09/05/2025
B Iowa	Agent	Approved	09/05/2025
B Wisconsin	Agent	Approved	09/05/2025

Branch Office Locations

CETERA ADVISOR NETWORKS LLC
2107 SWIFT DR
OAK BROOK, IL 60523

CETERA ADVISOR NETWORKS LLC
Chicago, IL

CETERA ADVISOR NETWORKS LLC
8604 ALLISONVILLE ROAD
SUITE 390
INDIANAPOLIS, IN 46250

Employment 2 of 2

Firm Name: **AVANTAX PLANNING PARTNERS, INC.**
Main Address: 3390 ASBURY ROAD
DUBUQUE, IA 52002-2801
Firm ID#: 106237

Regulator	Registration	Status	Date
IA Illinois	Investment Adviser Representative	Approved	04/14/2023



Qualifications

Regulator	Registration	Status	Date
IA Indiana	Investment Adviser Representative	Approved	07/16/2025

Branch Office Locations

AVANTAX PLANNING PARTNERS, INC.
Chicago, IL

AVANTAX PLANNING PARTNERS, INC.
2107 Swift Dr
Oak Brook, IL 60523

AVANTAX PLANNING PARTNERS, INC.
8604 Allisonville Road
Suite 390
Indianapolis, IN 46250



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	08/17/2017
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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	11/09/2017
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PROFESSIONAL DESIGNATIONS

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

Certified Financial Planner

This representative holds or did hold 1 professional designation(s) that may have been used to qualify as an Investment Advisor representative. Please check with the appropriate designation authority for verification that the designation is still in effect. The contact information for these professional designation authorities can be found on the website for the North American Securities Administrators Association at <http://www.nasaa.org>



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	09/30/2020 - 09/05/2025	AVANTAX INVESTMENT SERVICES, INC.	CRD# 13686	INDIANAPOLIS, IN
B	01/03/2019 - 09/30/2020	PROEQUITIES, INC.	CRD# 15708	INDIANAPOLIS, IN
IA	11/22/2017 - 10/23/2018	AXA ADVISORS, LLC	CRD# 6627	CEDAR RAPIDS, IA
B	08/17/2017 - 10/23/2018	AXA ADVISORS, LLC	CRD# 6627	CEDAR RAPIDS, IA

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	INDIANAPOLIS, IN, United States
03/2021 - Present	AVANTAX PLANNING PARTNERS	ASSOCIATE FINANCIAL PLANNING CONSULTANT	Y	Indianapolis, IN, United States
11/2018 - Present	HONKAMP KRUEGER FINANCIAL SERVICES INC	INVESTMENT ADVISER REPRESENTATIVE	Y	INDIANAPOLIS, IN, United States
12/2024 - 09/2025	Avantax Insurance Agency and/or Avantax Insurance Services	AGENT	Y	Indianapolis, IN, United States
09/2020 - 09/2025	AVANTAX INVESTMENT SERVICES, INC.	REGISTERED REPRESENTATIVE	Y	INDIANAPOLIS, IN, United States
01/2019 - 09/2020	PROEQUITIES INC	REGISTERED REPRESENTATIVE	Y	INDIANAPOLIS, IN, United States
08/2017 - 12/2018	AXA ADVISORS, LLC	REGISTERED REPRESENTATIVE	Y	NEW YORK, NY, United States
05/2017 - 08/2017	UNEMPLOYED	UNEMPLOYED	N	IOWA CITY, IA, United States
08/2013 - 05/2017	University of Iowa	Student	N	Iowa City, IA, United States
05/2016 - 07/2016	CitiMark	Intern	N	Indianapolis, IN, 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) DBA - HONKAMP KRUEGER FINANCIAL; INVESTMENT RELATED; 3390 ASBURY ROAD, DUBUQUE, IA 52002; FINANCIAL SERVICES; INVESTMENT SERVICES REPRESENTATIVE; START DATE 11/2018; 160 HOURS PER MONTH WITH MOST HOURS OCCURRING DURING TRADING HOURS; ASSIST INVESTMENT ADVISORS IN THE OFFICE WITH CLIENT SERVICE NEEDS.

2) HKFS
POSITION: FINANCIAL ASSOCIATE NATURE: FINANCIAL SERVICES INVESTMENT RELATED: Yes NUMBER OF HOURS: 160 SECURITIES TRADING HOURS: 32 START DATE: 11/05/2018
ADDRESS: 3390 Asbury Road, Dubuque IA 52002, United States; DESCRIPTION: consulting with clients to help them make financial decisions. opening + servicing accounts.

3) RENTAL PROPERTY (DUPLEX - OWNER OCCUPIED)
POSITION: Property Owner / Manager NATURE: Rental Property INVESTMENT RELATED: No NUMBER OF HOURS: 5 SECURITIES TRADING HOURS: 0 START DATE: 07/01/2019
ADDRESS: 1599 Washington Street, Dubuque IA 52001, United States; DESCRIPTION: I purchased a Duplex in Dubuque, IA. I have renovated the duplex and am now going to be leasing out one side of the building. I reside in 1597 Washington St, While the rental side is 1599 Washington St.; Rent is \$975 / month. It is an owner-occupied building as this is my primary and only residence.

4) HONKAMP KRUEGER FINANCIAL SERVICES
POSITION: FINANCIAL ASSOCIATE NATURE: FINANCIAL ADVISER INVESTMENT RELATED: Yes NUMBER OF HOURS: 160 SECURITIES TRADING HOURS: 160 START DATE: 11/05/2018
ADDRESS: 3390 ASBURY ROAD, DUBUQUE IA 52002, United States; DESCRIPTION: ADVISING CLIENTS WITH THEIR FINANCIAL NEEDS

5) RENTAL PROPERTY
POSITION: Manager NATURE: Owner of duplex rented out. INVESTMENT RELATED: No NUMBER OF HOURS: 5 SECURITIES TRADING HOURS: 0 START DATE: 07/01/2019
ADDRESS: 1597 Washington St., Dubuque IA 52001, United States; DESCRIPTION: Coordinate property maintenance.

6) AVANTAX PLANNING PARTNERS
POSITION: ASSOCIATE FINANCIAL PLANNING CONSULTANT NATURE: RIA - SCHWAB - FINANCIAL PLANNING CONSULTANT INVESTMENT RELATED: Yes NUMBER OF HOURS: 40 SECURITIES TRADING HOURS: 30 START DATE: 03/01/2021; ADDRESS: 8604 Allisonville Road, Suite 390, Indianapolis IN 46250, United States; DESCRIPTION: ADVISING / PLANNING / ONBOARDING / SERVICING / ETC

7) AVANTAX INSURANCE AGENCY AND/OR AVANTAX INSURANCE SERVICES
POSITION: AGENT NATURE: INSURANCE SALES INVESTMENT RELATED: Yes NUMBER OF HOURS: 5 SECURITIES TRADING HOURS: 5 START DATE: 12/12/2024
ADDRESS: 8604 Allisonville Road, Suite 390, Indianapolis IN 46250, United States
DESCRIPTION: INSURANCE SALES



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
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Criminal	2
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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 2

Reporting Source:	Individual
Formal Charges were brought in:	State Court
Name of Court:	Iowa District Court
Location of Court:	Johnson County Iowa
Docket/Case #:	AGCR116756
Charge Date:	09/23/2017
Charge(s) 1 of 1	
Formal Charge(s)/Description:	Failure to Affix Drug Tax Stamp
No of Counts:	1
Felony or Misdemeanor:	Felony
Plea for each charge:	Not Guilty
Disposition of charge:	Dismissed
Current Status:	Final
Status Date:	03/02/2018
Disposition Date:	03/02/2018
Sentence/Penalty:	Pleads Guilty to Count II: Serious misdemeanor Possession of Schedule I Controlled Substance - Marijuana First Offense - Deferred judgment \$325 civil penalty, \$125 law enforcement initiative charges, \$300 probation fee; one year of treatment completion and \$50 monthly payment plan for court fees. Count 1: Failure to affix drug tax stamp dismissed.

Disclosure 2 of 2



Reporting Source:	Individual
Formal Charges were brought in:	State Court
Name of Court:	District Court of Iowa
Location of Court:	Dubuque County Iowa
Docket/Case #:	01311 AGCR117715/01311 OWCR11714
Charge Date:	01/04/2016
Charge(s) 1 of 1	
Formal Charge(s)/Description:	Eluding - OWI, Drugs or participate in Felony
No of Counts:	1
Felony or Misdemeanor:	Felony
Plea for each charge:	Not Guilty
Disposition of charge:	Dismissed
Current Status:	Final
Status Date:	02/28/2017
Disposition Date:	02/28/2017
Sentence/Penalty:	Ordered to pay \$435



End of Report

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