



IAPD Report

SEAN R MAINWARING

CRD# 7047903

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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

SEAN R MAINWARING (CRD# 7047903)

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 **03/24/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	CETERA INVESTMENT SERVICES LLC	CRD# 15340	03/05/2024
IA	CETERA INVESTMENT ADVISERS LLC	CRD# 105644	03/06/2024

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **7** 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	EDWARD JONES	250	TAMPA, FL	07/15/2019 - 03/06/2024
B	EDWARD JONES	250	TAMPA, FL	06/24/2019 - 03/06/2024

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
Financial	4



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 7 jurisdiction(s) and 1 SRO(s) through his or her employer(s).

Employment 1 of 2

Firm Name: **CETERA INVESTMENT SERVICES LLC**
Main Address: 400 FIRST ST. S. SUITE 300
ST. CLOUD, MN 56301
Firm ID#: 15340

	Regulator	Registration	Status	Date
	FINRA	General Securities Representative	Approved	03/05/2024
	Florida	Agent	Approved	03/06/2024
	Kentucky	Agent	Approved	08/14/2024
	Montana	Agent	Approved	03/27/2026
	New York	Agent	Approved	03/14/2024
	North Carolina	Agent	Approved	03/22/2024
	South Carolina	Agent	Approved	03/14/2024
	Virginia	Agent	Approved	03/13/2024

Branch Office Locations

CETERA INVESTMENT SERVICES LLC
1715 N WESTSHORE BOULEVARD
SUITE 260
TAMPA, FL 33607

CETERA INVESTMENT SERVICES LLC
Tampa, FL

Employment 2 of 2

Firm Name: **CETERA INVESTMENT ADVISERS LLC**
Main Address: 1450 AMERICAN LANE
6TH FLOOR, SUITE 650
SCHAUMBURG, IL 60173-2096



Qualifications

Firm ID#: 105644

Regulator		Registration	Status	Date
IA	Florida	Investment Adviser Representative	Approved	03/26/2024

Branch Office Locations

CETERA INVESTMENT ADVISERS LLC
1715 N WESTSHORE BLVD STE 260
TAMPA, FL 33607

CETERA INVESTMENT ADVISERS LLC
TAMPA, 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, 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
B General Securities Representative Examination (S7TO)	Series 7TO	04/24/2019
B Securities Industry Essentials Examination (SIE)	SIE	02/11/2019

State Securities Law Exams

Exam	Category	Date
IA B Uniform Combined State Law Examination (S66)	Series 66	05/18/2019



PROFESSIONAL DESIGNATIONS

This section details that the representative has reported **0** professional designation(s).

No information reported.

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
IA	07/15/2019 - 03/06/2024	EDWARD JONES	CRD# 250	TAMPA, FL
B	06/24/2019 - 03/06/2024	EDWARD JONES	CRD# 250	TAMPA, 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
03/2024 - Present	CETERA INVESTMENT ADVISERS LLC	IAR REGISTERED REPRESENTATIVE	Y	TAMPA, FL, United States
03/2024 - Present	CETERA INVESTMENT SERVICES LLC	REGISTERED REPRESENTATIVE	Y	ST CLOUD, MN, United States
01/2019 - 03/2024	Edward Jones	Financial Advisor	Y	St. Louis, MO, United States
08/2018 - 11/2018	The Cambridge Insurance Agency	Client Advisor and Risk Manager	N	tampa, FL, United States
12/2016 - 06/2018	Lykes Insurance Agency	Risk Advisor	N	tampa, FL, United States
01/2015 - 12/2016	The Cambridge Insurance Agency	Agency Manager	N	Tampa, 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. ADVISORY BOARD OF JUNIOR LEAGUE OF TAMPA BAY; COMMUNITY OUTREACH; 5 HRS/WK
2. FUNDRAISING COMMITTEE MEMBER FOR HABITAT FOR HUMANITY TAMPA BAY; HELP THEM GET FUNDING BY DONATING TIME AND MONEY AND SPONSORING EVENTS



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
Financial	4

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
Formal Charges were brought in:	State Court
Name of Court:	In the County Court of Hillsborough County,Florida
Location of Court:	Hillsborough County,FL
Docket/Case #:	10-CF-019432-A reduced to 10-CT-118119
Charge Date:	12/29/2010
Charge(s) 1 of 1	
Formal Charge(s)/Description:	Driving under the influence third or sub
No of Counts:	1
Felony or Misdemeanor:	Felony
Plea for each charge:	Unknown
Disposition of charge:	Reduced
Date of Amended Charge:	10/11/2011
Charge was Amended or reduced to:	DUI and Reckless Driving
Amended No of Counts:	1
Amended Charge:	Misdemeanor
Amended Plea:	Nolo Contendere
Disposition of Amended Charge:	Convicted



Current Status:	Final
Status Date:	10/11/2011
Disposition Date:	10/11/2011
Sentence/Penalty:	Probation, DUI School, fine and/or court costs of \$915.00. Probation terminated on 11/5/2012. Case paid in full on 8/17/2012.



Financial

This disclosure event involves a final bankruptcy, compromise with one or more creditors, or Securities Investor Protection Corporation liquidation that occurred within the last 10 years and that involved the Investment Adviser Representative or an organization/investment adviser that the Investment Adviser Representative controlled that occurred within the last 10 years.

Disclosure 1 of 4

Reporting Source: Individual
Action Type: Compromise
Action Date: 01/05/2024

Organization Investment-Related?

Action Pending? No
Disposition: SETTLEMENT
Disposition Date: 01/17/2024

If a compromise with creditor, provide:

Name of Creditor: CALVARY SPV I, LLC/CITIBANK
Original Amount Owed: \$7,567.79
Terms Reached with Creditor: SETTLED FOR \$3,798.64

Disclosure 2 of 4

Reporting Source: Individual
Action Type: Compromise
Action Date: 01/03/2024

Organization Investment-Related?

Action Pending? No
Disposition: SETTLEMENT
Disposition Date: 01/24/2024

If a compromise with creditor, provide:

Name of Creditor: WELLS FARGO
Original Amount Owed: \$25,695.74
Terms Reached with Creditor: SETTLED FOR \$6,423.94

Disclosure 3 of 4

Reporting Source: Individual
Action Type: Compromise



Action Date: 01/05/2024

Organization Investment-Related?

Action Pending? No

Disposition: SETTLEMENT

Disposition Date: 01/17/2024

If a compromise with creditor, provide:

Name of Creditor: CAVALRY SPV I, LLC/CITIBANK/THE HOME DEPOT

Original Amount Owed: \$1,874.89

Terms Reached with Creditor: SETTLED FOR \$1,484.90

Disclosure 4 of 4

Reporting Source: Individual

Action Type: Compromise

Action Date: 06/30/2021

Organization Investment-Related?

Type of Court: State Court

Name of Court: COUNTY COURT FOR THE 13TH JUDICIAL CIRCUIT FOR HILLSBOROUGH

Location of Court: HILLSBOROUGH COUNTY, FL

Docket/Case #: 20-CC-093987

Action Pending? No

Disposition: SETTLEMENT

Disposition Date: 07/29/2021

If a compromise with creditor, provide:

Name of Creditor: JP MORGAN CHASE BANK, N.A.

Original Amount Owed: \$10,848.46

Terms Reached with Creditor: SETTLED FOR \$7,595.00.



End of Report

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