



IAPD Report

Caleb James Warren

CRD# 7075385

<u>Section Title</u>	<u>Page(s)</u>
Report Summary	1
Qualifications	2 - 3
Registration and Employment History	4 - 5
Disclosure Information	6

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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

Caleb James Warren (CRD# 7075385)

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 **03/26/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
IA	WARREN FINANCIAL, LLC	CRD# 334439	06/23/2025

QUALIFICATIONS

This representative is currently registered in **0** SRO(s) and **1** 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	AVERY ROCK FINANCIAL, LLC	319132	Bangor, ME	11/20/2023 - 09/09/2025
IA	AMERIPRISE FINANCIAL SERVICES, LLC	6363	Bangor, ME	11/15/2023 - 12/06/2023
B	AMERIPRISE FINANCIAL SERVICES, LLC	6363	Bangor, ME	10/06/2023 - 12/01/2023

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
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 **1** jurisdiction(s) and **0** SRO(s) through his or her employer(s).

Employment 1 of 1

Firm Name: **WARREN FINANCIAL, LLC**
Main Address: 1147 HAMMOND ST
STE 3
BANGOR, ME 04401
Firm ID#: 334439

Regulator	Registration	Status	Date
 Maine	Investment Adviser Representative	Restricted Approval	06/23/2025

Branch Office Locations

WARREN FINANCIAL, LLC
1147 HAMMOND ST
STE 3
BANGOR, ME 04401




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 1 principal/supervisory exam, 2 general industry/product exams, and 1 state securities law exam.



Principal/Supervisory Exams

Exam	Category	Date
 General Securities Sales Supervisor - Options Module Examination (S9)	Series 9	02/06/2023

General Industry/Product Exams

Exam	Category	Date
 General Securities Representative Examination (S7TO)	Series 7TO	05/10/2019
 Securities Industry Essentials Examination (SIE)	SIE	03/01/2019

State Securities Law Exams

Exam	Category	Date
  Uniform Combined State Law Examination (S66)	Series 66	12/06/2023

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
IA	11/20/2023 - 09/09/2025	AVERY ROCK FINANCIAL, LLC	CRD# 319132	Bangor, ME
IA	11/15/2023 - 12/06/2023	AMERIPRISE FINANCIAL SERVICES, LLC	CRD# 6363	Bangor, ME
B	10/06/2023 - 12/01/2023	AMERIPRISE FINANCIAL SERVICES, LLC	CRD# 6363	Bangor, ME
IA	06/20/2019 - 11/15/2023	RAYMOND JAMES FINANCIAL SERVICES ADVISORS, INC	CRD# 149018	BANGOR, ME
B	05/13/2019 - 09/20/2023	RAYMOND JAMES FINANCIAL SERVICES, INC.	CRD# 6694	Bangor, ME

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
12/2024 - Present	Warren Financial	Chief Compliance Officer	Y	Bangor, ME, United States
11/2023 - 02/2026	Avery Rock Financial, LLC dba Warren Financial	Investment Advisor Representative	Y	Bangor, ME, United States
10/2023 - 12/2023	Ameriprise Financial Services	Investment Advisor Representative	Y	Bangor, ME, United States
02/2019 - 09/2023	RAYMOND JAMES	Investment Advisor Representative	Y	BANGOR, ME, United States
02/2019 - 09/2023	RAYMOND JAMES	BROKER-DEALER AGENT	Y	BANGOR, ME, United States
11/2016 - 02/2019	Defense Commissary Agency	Independent Contractor	N	BANGOR, ME, United States
03/2016 - 01/2019	THE VILLAGE WOODWORKER	ASSOCIATE MEMBER	N	OXFORD, ME, United States
08/2016 - 05/2017	HUSSON UNIVERSITY	EAGLE AMBASSADOR	N	BANGOR, ME, United States
01/2016 - 08/2016	EASTERN MAINE COMMUNITY COLLEGE	STUDENT AMBASSADOR	N	BANGOR, ME, 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.

-Caleb James Warren is an independent licensed insurance agent.

INVESTMENT RELATED: NO

ADDRESS: 1147 Hammond St Ste 3, Bangor ME 04401

NATURE OF BUSINESS: Life, Disability, & LTC insurance

TITLE: INSURANCE AGENT

START DATE: 11/23/2023

APPROX # OF HOURS/MONTH: 3

OF HOURS DURING TRADING HOURS: 3

DESCRIPTION OF DUTIES: Provide insurance to clients if needed. Including contracting, locating, and price assessment.

Caleb James Warren is the Finance Committee Chair at Heart of United Way.

INVESTMENT RELATED: NO

ADDRESS: 700 Mt Hope Ave Suite 101 Bangor ME 04401

START DATE: 2026-03-19

APPROX # OF HOURS/MONTH: 4

OF HOURS DURING TRADING HOURS: 2

WEBSITE ADDRESS: <https://homeunitedway.org/>



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
Termination	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
Formal Charges were brought in:	State Court
Name of Court:	PENOBSCOT COUNTY
Location of Court:	BANGOR, PENOBSCOT, ME
Docket/Case #:	PENCD-CR-2015-01186
Charge Date:	03/02/2015
Charge(s) 1 of 1	
Formal Charge(s)/Description:	THEFT BY UNAUTHORIZED TAKING OR TRANSFER
No of Counts:	1
Felony or Misdemeanor:	Misdemeanor
Plea for each charge:	GUILTY
Disposition of charge:	Pled guilty
Current Status:	Final
Status Date:	04/15/2015
Disposition Date:	04/15/2015
Sentence/Penalty:	NO PENALTY; N/A; N/A; MONETARY PENALTY/FINE WAS \$320.00; PAID PENALTY/FINE ON 4/15/2015.
Broker Statement	IN MARCH OF 2015 AS AN ADOLESCENT, I STOLE AN AUDIO CORD FROM WALMART. THIS INCIDENT DOES NOT REFLECT WHO I AM TODAY AS I HAVE MATURED. I HAVE LEARNED FROM MY MISTAKE, AND THE ACTIONS WILL NEVER BE REPEATED.



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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: AMERIPRISE FINANCIAL SERVICES, LLC

Termination Type: Permitted to Resign

Termination Date: 11/20/2023

Allegations: Registered representative was suspended by the firm on November 10, 2023 for potentially engaging in activities without the appropriate registrations and subsequently resigned.

Product Type: No Product

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Reporting Source: Individual

Firm Name: AMERIPRISE FINANCIAL SERVICES, LLC

Termination Type: Permitted to Resign

Termination Date: 11/20/2023

Allegations: Registered representative was suspended by the firm on November 10, 2023 for potentially engaging in activities without appropriate registration and subsequently resigned.

Product Type: No Product

Broker Statement During the potential acquisition of an external practice in 2023, Mr. Warren resigned from the firm after a review process was expected to delay his ability to service clients for 4 to 6 weeks



End of Report

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