



IAPD Report

Donald Patrick Pickford

CRD# 7087616

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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

Donald Patrick Pickford (CRD# 7087616)

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 **12/12/2025**.

CURRENT EMPLOYERS

| | Firm | CRD# | Registered Since |
|-----------|--------------------------------|-------------|------------------|
| B | CETERA WEALTH SERVICES, LLC | CRD# 13572 | 08/31/2022 |
| IA | CETERA INVESTMENT ADVISERS LLC | CRD# 105644 | 06/29/2023 |

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **5** 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 | CETERA ADVISOR NETWORKS LLC | 13572 | EL SEGUNDO, CA | 09/26/2022 - 06/29/2023 |

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 |
|------------------|-------|
| Regulatory Event | 3 |



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 5 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 | 08/31/2022 |
| B Arizona | Agent | Approved | 01/23/2025 |
| B California | Agent | Approved | 09/23/2022 |
| B Massachusetts | Agent | Approved | 12/15/2025 |
| B Nevada | Agent | Approved | 01/13/2025 |
| B Pennsylvania | Agent | Approved | 08/01/2025 |

Branch Office Locations

CETERA ADVISOR NETWORKS LLC
TEMECULA, CA

CETERA ADVISOR NETWORKS LLC
San Marcos, CA

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 California | Investment Adviser Representative | Approved | 06/29/2023 |



Qualifications

Branch Office Locations

CETERA INVESTMENT ADVISERS LLC
44819 MUMM ST
TEMECULA, CA 92592

CETERA INVESTMENT ADVISERS LLC
San Marcos, CA



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 2 state securities law exams.


Principal/Supervisory Exams

| Exam | Category | Date |
|------|----------|------|
|------|----------|------|

No information reported.

General Industry/Product Exams



| Exam | Category | Date |
|------|----------|------|
|------|----------|------|


| | | | |
|---|--|------------|------------|
|  | General Securities Representative Examination (S7TO) | Series 7TO | 08/22/2022 |
|---|--|------------|------------|

| | | | |
|---|--|-----|------------|
|  | Securities Industry Essentials Examination (SIE) | SIE | 03/01/2019 |
|---|--|-----|------------|

State Securities Law Exams

| Exam | Category | Date |
|------|----------|------|
|------|----------|------|

| | | | | |
|--|---|--|-----------|------------|
|  |  | Uniform Combined State Law Examination (S66) | Series 66 | 09/10/2022 |
|--|---|--|-----------|------------|

| | | | |
|---|--|-----------|------------|
|  | Uniform Investment Adviser Law Examination (S65) | Series 65 | 11/25/2019 |
|---|--|-----------|------------|

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 | 09/26/2022 - 06/29/2023 | CETERA ADVISOR NETWORKS LLC | CRD# 13572 | EL SEGUNDO, CA |

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 |
|-------------------|---|-----------------------------------|--------------------|-------------------------------|
| 06/2023 - Present | CETERA INVESTMENT ADVISERS LLC | INVESTMENT ADVISOR REPRESENTATIVE | Y | SCHAUMBURG, IL, United States |
| 05/2022 - Present | CETERA WEALTH SERVICES, LLC | REGISTERED REPRESENTATIVE | Y | EL SEGUNDO, CA, United States |
| 10/2021 - Present | HAUPT FINANCIAL GROUP INC | TELE MARKETER | Y | TEMECULA, CA, United States |
| 06/2021 - 05/2022 | CETERA ADVISOR NETWORKS | NON REGISTERED ASSOCIATED PERSON | Y | EL SEGUNDO, CA, United States |
| 01/2019 - 05/2022 | Voya/Cetera Wealth | Managing general agent | N | San Marcos, CA, United States |
| 01/2000 - 01/2019 | Self Employed, Managing General Agent at Voya | Manager at Voya | N | Escondido, CA, 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. NAME OF OTHER BUSINESS: FIXED INSURANCE WITH VARIOUS COMPANIES;
 INVESTMENT RELATED: YES;
 ADDRESS: SAME AS REGISTERED LOCATION;
 NATURE OF BUSINESS: FIXED INSURANCE;
 START DATE: 01/1997;
 APX NUMBER OF HOURS PER WEEK: 5;
 APX NUMBER OF HOURS DURING TRADING HOURS: 3;
 POSITION/TITLE/RELATIONSHIP: INSURANCE AGENT;
 BRIEF DESCRIPTION OF DUTIES: SELLS LIFE AND ANNUITIES;
- 2. NAME OF OTHER BUSINESS: HAUPT FINANCIAL GROUP INC;
 INVESTMENT RELATED: YES;
 ADDRESS: SAME AS REGISTERED LOCATION;
 NATURE OF BUSINESS: FINANCIAL SERVICES;
 START DATE: 10/2021;



Registration & Employment History



OTHER BUSINESS ACTIVITIES

POSITION/TITLE/RELATIONSHIP: TELE MARKETER;
APX NUMBER OF HOURS PER WEEK: 2;
APX NUMBER OF HOURS DURING TRADING HOURS: NONE;
BRIEF DESCRIPTION OF DUTIES: MAKE PHONE CALLS TO EXISTING CLIENTS TO HELP SERVICE THEM.



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 |
|------------------|-------|
| Regulatory Event | 3 |

Regulatory Event

This disclosure event may include a final, formal proceeding initiated by a regulatory authority (e.g., a state securities agency, a federal regulator such as the Securities and Exchange Commission or the Commodities Futures Trading Commission, or a foreign financial regulatory body) for a violation of investment-related rules or regulations. This disclosure event may also include a revocation or suspension of an Investment Adviser Representative's authority to act as an attorney, accountant or federal contractor.

Disclosure 1 of 3

| | |
|---|---|
| Reporting Source: | Individual |
| Regulatory Action Initiated By: | Ca Department of Insurance |
| Sanction(s) Sought: | Other: Restricted license |
| Date Initiated: | 12/30/2010 |
| Docket/Case Number: | unknown |
| Employing firm when activity occurred which led to the regulatory action: | None |
| Product Type: | Insurance |
| Allegations: | I did not promptly update getting a misdemeanor as required for my life license and was issued a restricted life license. |
| Current Status: | Final |
| Limitation Details: | My California Life License was issued as a restricted license. |
| Resolution: | Decision |
| Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct? | No |
| Resolution Date: | 12/30/2010 |
| Sanctions Ordered: | Other: Restricted life license |



Broker Statement I have initiated many protocols to make sure all information is always updated in a timely manner.

Disclosure 2 of 3

Reporting Source: Individual
Regulatory Action Initiated By: Nevada Division of Insurance
Sanction(s) Sought: Denial
Date Initiated: 07/13/2016
Docket/Case Number: Cause# 16.0083
Employing firm when activity occurred which led to the regulatory action: None
Product Type: Insurance
Allegations: I did not respond to Nevada regarding a consent to fine, or a withdrawal of my non resident life license application
Current Status: Final
Resolution: Decision
Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct? No
Resolution Date: 07/13/2016
Sanctions Ordered: Denial
Broker Statement My life license was no longer needed in the state of Nevada. Regardless, I should have responded to their consent to fine, or withdrew my application.

Disclosure 3 of 3

Reporting Source: Individual
Regulatory Action Initiated By: California Department of Insurance
Sanction(s) Sought: Suspension
Date Initiated: 03/15/2018
Docket/Case Number: LBB 5061-B
Employing firm when activity occurred which led to the regulatory action: N/A - VOYA Agent
Product Type: Insurance
Allegations: In November of 2010, I did not promptly report a DUI, and was issued a restricted license. 8 Years later, when applying for a state license in Nevada, it was not disclosed that my license had been restricted, and I accepted a 7 day suspension



of my life license, rather than have a hearing.

| | |
|---|--------------|
| Current Status: | Final |
| Resolution: | Order |
| Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct? | No |
| Resolution Date: | 03/15/2018 |
| Sanctions Ordered: | Suspension |
| Sanction 1 of 1 | |
| Sanction Type: | Suspension |
| Capacities Affected: | Life License |
| Duration: | 7 days |
| Start Date: | 03/30/2018 |
| End Date: | 04/06/2018 |



End of Report

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