



IAPD Report

Jordan Ross Rudick

CRD# 7625295

<u>Section Title</u>	<u>Page(s)</u>
Report Summary	1
Qualifications	2 - 3
Registration and Employment History	4 - 6
Disclosure Information	7

i 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

Jordan Ross Rudick (CRD# 7625295)

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
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 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
B	AVANTAX INVESTMENT SERVICES, INC.	13686	DALLAS, TX	10/05/2023 - 09/05/2025
IA	AVANTAX ADVISORY SERVICES	104556	Bald Knob, AR	09/15/2023 - 09/05/2025
IA	PRUITT INVESTMENT ADVISORS LLC	323333	BALD KNOB, AR	12/13/2022 - 09/14/2023

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
Financial	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 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

Branch Office Locations

CETERA ADVISOR NETWORKS LLC
2301 ROSECRANS AVE #5100
EL SEGUNDO, CA 90245

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
1450 AMERICAN LANE
6TH FLOOR, SUITE 650
SCHAUMBURG, IL 60173-2096



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
------	----------	------

B General Securities Representative Examination (S7TO)	Series 7TO	10/04/2023
---	------------	------------

B Securities Industry Essentials Examination (SIE)	SIE	08/13/2021
---	-----	------------

State Securities Law Exams

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

B Uniform Securities Agent State Law Examination (S63)	Series 63	10/08/2021
---	-----------	------------

IA Uniform Investment Adviser Law Examination (S65)	Series 65	09/25/2021
--	-----------	------------

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
B	10/05/2023 - 09/05/2025	AVANTAX INVESTMENT SERVICES, INC.	CRD# 13686	DALLAS, TX
IA	09/15/2023 - 09/05/2025	AVANTAX ADVISORY SERVICES	CRD# 104556	Bald Knob, AR
IA	12/13/2022 - 09/14/2023	PRUITT INVESTMENT ADVISORS LLC	CRD# 323333	BALD KNOB, 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	EL SEGUNDO, CA, United States
10/2022 - Present	The Pruitt Agency, Incorporated	Insurance Sales Agent	Y	Bald Knob, AR, United States
04/2021 - Present	Gemini Management, LLC	Officer	N	McCrary, AR, United States
03/2021 - Present	ARCARE	Corporate Accountant	N	Augusta, AR, United States
03/2021 - Present	Pruitt Financial Servcies, LLC	Tax Preparer	Y	Bald Knob, AR, United States
09/2023 - 09/2025	Avantax Advisory Services	Investment Advisor Representative	Y	Bald Knob, AR, United States
09/2023 - 09/2025	Avantax Insurance Agency, LLC	Insurance Agent	Y	Bald Knob, AR, United States
09/2023 - 09/2025	Avantax Investment Services Inc.	Registered Representative	Y	Bald Knob, AR, United States
02/2021 - 03/2021	Unemployment	Unemployed	N	McCrary, AR, United States
09/2019 - 02/2021	Frost, PLLC	Audit Associate	N	Little Rock, AR, United States
01/2017 - 09/2019	RossWood Farms LLC	Farmer	N	McCrary, AR, United States



Registration & Employment History

EMPLOYMENT HISTORY

Employment Dates	Employer Name	Position	Investment Related	Employer Location
11/2016 - 01/2017	Unemployment	Unemployed	N	McCrory, AR, United States
06/2014 - 11/2016	Helena Chemical Co	Sales Representative	N	Wynne, AR, 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) PRUITT FINANCIAL SERVICES, LLC

POSITION: Tax Preparer NATURE: Tax Preparation, Bookkeeping, Payroll Services, Business Consulting, Business Entity Formation INVESTMENT RELATED: Yes NUMBER OF HOURS: 80 SECURITIES TRADING HOURS: 3 START DATE: 02/16/2022

ADDRESS: PO Box 1326, Bald Knob AR 72010, United States

DESCRIPTION: Review all tax returns. Review monthly financials for all Bookkeeping clients. File monthly tax payments for Payroll clients. Supervise all staff on daily basis. File corporate documents to form business entities for clients

2) AVANTAX INSURANCE AGENCY AND/OR AVANTAX INSURANCE SERVICES

POSITION: Insurance Agent NATURE: Selling insurance products through Avantax INVESTMENT RELATED: Yes NUMBER OF HOURS: 40 SECURITIES TRADING HOURS: 10 START DATE: 09/29/2023

ADDRESS: PO Box 1326, 3413 Hwy 367 N, Bald Knob AR 72010, United States

DESCRIPTION: Provide clients with knowledge about the insurance products offered through Avantax. Offer the proper insurance products to the client that meet their needs. Promote insurance products as an investment tool and resource to the client

3) GEMINI MANAGEMENT, LLC

POSITION: Officer NATURE: Consulting for Residential & Commercial Contractors, Residential Construction and blueprints, Financial reviews and compilations INVESTMENT RELATED: No NUMBER OF HOURS: 3 SECURITIES TRADING HOURS: 0 START DATE: 04/07/2021

ADDRESS: PO Box 116, McCrory AR 72101, United States

DESCRIPTION: Review and advise contractors on applications and financials for residential and commercial contractors, Design house plans for Residential construction. Contract Residential construction of homes for individuals

4) THE PRUITT AGENCY, INCORPORATED

POSITION: Insurance Sales Agent NATURE: P & C insurance products (Property Insurance, Commercial Insurance, General Liability Insurance, Workman's Compensation Insurance)Health & Life Insurance products. Crop Insurance products. supplemental Insurance products. E & O insurance products INVESTMENT RELATED: Yes NUMBER OF HOURS: 10 SECURITIES TRADING HOURS: 5 START DATE: 10/31/2022

ADDRESS: PO Box 1326, 3413 Hwy 367 N, Bald Knob AR 72010, United States

DESCRIPTION: Manage and oversee the Financial Services company that is a subsidiary of The Pruitt Agency, Inc. It offers the following services. Tax Preparation Bookkeeping, Payroll Services, Business Consulting, Business Entity Formation. Any future traditional life, long-term care, and disability insurance activity will solely be directed through Avantax Insurance Agency, LLC, while any (list P&C insurance products given in answer to Question 4) and health insurance activity may continue with Pruitt Agency, Incorporated.?

5) ARCARE

POSITION: Corporate Accountant NATURE: Healthcare provider. Behavior health services, Pharmacy services, Chronic care



Registration & Employment History



OTHER BUSINESS ACTIVITIES

provider, Health screenings. Immunizations INVESTMENT RELATED: No NUMBER OF HOURS: 4 SECURITIES TRADING HOURS: 0 START DATE: 03/01/2021
ADDRESS: PO Box 497, 117 N 2nd St, Augusta AR 72006, United States
DESCRIPTION: Serve on the investment committee. Right now there are no selections on investment or advisor related matters nor will I vote in the future on any investment or advisor related matters. Serve as corporate accountant - tax division, work with Finance Director corporate controller to review monthly financial statements for BOD. Work with controller on corporate filing compliance. Assist CFO on financial analysis of the different departments on ARCARE



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
------	-------

Financial	1
-----------	---

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 1

Reporting Source:	Individual
Action Type:	Bankruptcy
Bankruptcy:	Chapter 13
Action Date:	10/18/2019
Organization Investment-Related?	
Type of Court:	Federal Court
Name of Court:	United States Bankruptcy Court Eastern District of Arkansas
Location of Court:	Little Rock, Arkansas
Docket/Case #:	2:19-bk-15554
Action Pending?	No
Disposition:	Discharged
Disposition Date:	07/24/2023
Amount Paid:	\$34,917.49
SIPA (Securities Investor Protection Act)Trustee:	Mark T. McCarty
Currently Open?	Yes
Date Direct Payment Initiated/Filed or Trustee Appointed:	10/19/2019



End of Report

This page is intentionally left blank.