



IAPD Report

Michael Ray Broussard

CRD# 7985835

<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

Michael Ray Broussard (CRD# 7985835)

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
IA	AVANTAX ADVISORY SERVICES	104556	Beaumont, TX	02/11/2025 - 09/05/2025
B	AVANTAX INVESTMENT SERVICES, INC.	13686	Beaumont, TX	11/04/2024 - 09/05/2025

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 Texas	Agent	Approved	09/05/2025

Branch Office Locations

CETERA ADVISOR NETWORKS LLC
3450 Eastex Fwy #1
Beaumont, TX 77703

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 Texas	Investment Adviser Representative	Approved	09/05/2025

Branch Office Locations

CETERA INVESTMENT ADVISERS LLC
3450 EASTEX FREEWAY
BEAUMONT, TX 77703



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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 General Securities Representative Examination (S7TO)	Series 7TO	11/04/2024
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 Securities Industry Essentials Examination (SIE)	SIE	09/05/2024
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State Securities Law Exams

Exam	Category	Date
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  Uniform Combined State Law Examination (S66)	Series 66	02/11/2025
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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	02/11/2025 - 09/05/2025	AVANTAX ADVISORY SERVICES	CRD# 104556	Beaumont, TX
B	11/04/2024 - 09/05/2025	AVANTAX INVESTMENT SERVICES, INC.	CRD# 13686	Beaumont, TX

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	Beaumont, TX, United States
06/2018 - Present	Splinter Investing Company LLC	Manager	Y	Beaumont, TX, United States
01/2003 - Present	Pollans & Cohen, P.C.	Shareholder	N	Beaumont, TX, United States
09/2024 - 09/2025	Avantax Advisory Services	Investment Advisor Representative	Y	Beaumont, TX, United States
09/2024 - 09/2025	Avantax Investment Services Inc.	Registered Representative	Y	Beaumont, TX, United States
06/2018 - 01/2023	Michelangelo Investments, Ltd.	Partner	N	Beaumont, TX, United States
09/2016 - 01/2023	Pour Brothers Brewery LLC	Member	N	Beaumont, TX, 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)SPLINTER INVESTING COMPANY LLC
 POSITION: Manager NATURE: Splinter owns the building in which my accounting practice (Pollans & Cohen, P.C.) resides. Splinter was originally created as a general partner of Michelangelo Investments, Ltd. which held the non-participating owners of Pour Brothers Brewery LLC, however, Pour Brothers permanently closed January 28, 2023. INVESTMENT RELATED: Yes
 NUMBER OF HOURS: 1 SECURITIES TRADING HOURS: 1 START DATE: 06/25/2018
 ADDRESS: 3450 Eastex Fwy #1, Beaumont TX 77703, United States



Registration & Employment History



OTHER BUSINESS ACTIVITIES

DESCRIPTION: Collect rent, maintain property, hire professionals to perform repairs.

2)POUR BROTHERS BREWERY LLC

POSITION: Member NATURE: Previously a beer brewery in Beaumont, TX, however, this entity was closed on January 28, 2023 and there is no longer any activity. INVESTMENT RELATED: No NUMBER OF HOURS: 0 SECURITIES TRADING HOURS: 0 START DATE: 09/14/2016

ADDRESS: 3450 Eastex Fwy #1, Beaumont TX 77703, United States

DESCRIPTION: No duties as this entity is inactive.

POSITION: Shareholder NATURE: CPA firm providing bookkeeping; federal and state tax returns for businesses, individuals, and nonprofits; audits and reviews; payroll reports for federal and state; information reporting Forms 1099, general business consulting INVESTMENT RELATED: No NUMBER OF HOURS: 160 SECURITIES TRADING HOURS: 130 START DATE: 01/02/2003

ADDRESS: 3450 Eastex Fwy #1, Beaumont TX 77703, United States

DESCRIPTION: Tax Compliance: preparation of state and federal tax returns

Bookkeeping: maintaining books and records for client businesses

Information reporting: file required information returns such as 940,941, 1099 series, BOI, Texas Franchise

Forecasting and consulting: Assist clients in understanding current and projected financial position and assisting client in their understanding of the business

Oversee staff: Training of staff, review work produced by staff, interview/hire new candidates

3) GUADALUPE PEAK WEALTH MANAGEMENT LLC

POSITION: managing member NATURE: This entity has not conducted any activity yet as it was created as the entity we will be using to run our Avantax business under once licensed. INVESTMENT RELATED: No NUMBER OF HOURS: 0 SECURITIES TRADING HOURS: 0 START DATE: 05/09/2024

ADDRESS: 3450 Eastex Fwy #1, Beaumont TX 77703, United States

DESCRIPTION: Currently inactive until we pass required tests

4)MICHELANGELO INVESTMENTS, LTD.

POSITION: Partner NATURE: This partnership was created to hold the ownership of the non-participating owners of Pour Brothers Brewery LLC, however, Pour Brothers Brewery LLC closed in January 2023 and this entity has had no activity.

INVESTMENT RELATED: No NUMBER OF HOURS: 0 SECURITIES TRADING HOURS: 0 START DATE: 06/26/2018

ADDRESS: 3450 Eastex Fwy #1, Beaumont TX 77703, United States

DESCRIPTION: This entity was just holding the ownership of the non-participating owners of Pour Brothers Brewery, however there is no activity and I have no duties with Pour Brothers having closed.

5) "Pollans & Cohen, P.C.; Shareholder; CPA firm providing bookkeeping; federal and state tax returns for businesses, individuals, and nonprofits; audits and reviews; payroll reports for federal and state; information reporting Forms 1099, general business consulting; NIR; 130; 01/02/2003; 3450 Eastex Fwy #1 Beaumont TX 77703; Tax Compliance: preparation of state and federal tax returns

Bookkeeping: maintaining books and records for client businesses

Information reporting: file required information returns such as 940,941, 1099 series, BOI, Texas Franchise

Forecasting and consulting: Assist clients in understanding current and projected financial position and assisting client in their understanding of the business

Oversee staff: Training of staff, review work produced by staff, interview/hire new candidates



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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Financial	1
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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 7
Action Date:	09/22/2023
Organization Investment-Related?	
Type of Court:	Federal Court
Name of Court:	United States Bankruptcy Court Eastern District of Texas
Location of Court:	Beaumont, Texas
Docket/Case #:	23-10378
Action Pending?	No
Disposition:	Discharged
Disposition Date:	12/20/2023



End of Report

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