



## IAPD Report

# Samuel Weintraub

CRD# 8137148

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



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

### Samuel Weintraub (CRD# 8137148)

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 **05/12/2026**.

### CURRENT EMPLOYERS

This individual is not currently registered as an Investment Adviser Representative.

### QUALIFICATIONS

This individual is not currently registered as an Investment Adviser Representative.

**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>IA</b>	CETERA INVESTMENT ADVISERS LLC	105644	Atlanta, GA	02/09/2026 - 05/12/2026

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	2



## 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 not currently registered as an Investment Adviser Representative.



## 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, 0 general industry/product exams, and 1 state securities law exam.**

#### Principal/Supervisory Exams

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

No information reported.

#### General Industry/Product Exams

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

No information reported.

#### State Securities Law Exams

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

<b>IA</b> <b>B</b>	Uniform Combined State Law Examination (S66)	Series 66	02/05/2026
--------------------	--	-----------	------------

### 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	02/09/2026 - 05/12/2026	CETERA INVESTMENT ADVISERS LLC	CRD# 105644	Atlanta, GA

#### 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
02/2026 - Present	CETERA INVESTMENT ADVISERS LLC	INVESTMENT ADVISOR REPRESENTATIVE	Y	SCHAUMBURG, IL, United States
12/2025 - Present	CETERA ADVISORS LLC	REGISTERED REPRESENTATIVE	Y	ST CLOUD, MN, United States
10/2025 - Present	THE PLANNING STUDIO	ASSOCIATE FINANCIAL ADVISOR	Y	ATLANTA, GA, United States
07/2025 - 12/2025	CETERA ADVISORS LLC	NON REGISTERED ASSOCIATED PERSON	Y	ST CLOUD, MN, United States
04/2024 - 07/2025	N/A	Unemployed	N	Chicago, IL, United States
11/2022 - 04/2024	Deloitte	Solution Analyst	N	Chicago, IL, United States
04/2022 - 11/2022	N/A	Unemployed	N	Atlanta, GA, United States
03/2021 - 04/2022	Treliant	Contractor/Consultant (staffed on project w/USAA)	N	Atlanta, GA, United States
01/2020 - 03/2021	Truist Bank	Financial Crimes Investigator (work not investment-related)	Y	Atlanta, GA, United States
03/2019 - 01/2020	Robert Half	Contractor/Analyst (staffed w/Truist Bank for work not investment-related)	N	Atlanta, GA, United States
02/2019 - 03/2019	N/A	Unemployed	N	Atlanta, GA, United States
01/2019 - 02/2019	Network 1 Consulting	Sales Operations Analyst	N	Atlanta, GA, United States
11/2018 - 01/2019	N/A	Unemployed	N	Atlanta, GA, United States



### Registration & Employment History

#### EMPLOYMENT HISTORY

Employment Dates	Employer Name	Position	Investment Related	Employer Location
10/2018 - 11/2018	KORE Wireless	Sales Development Representative	N	Atlanta, GA, United States
07/2018 - 10/2018	N/A	Unemployed	N	Atlanta, GA, United States
05/2018 - 07/2018	BigTeam	Customer Success Associate	N	Atlanta, GA, United States
01/2018 - 05/2018	N/A	Unemployed	N	Atlanta, GA, United States
08/2017 - 05/2018	N/A	Part-time student at Georgia State University	N	Atlanta, GA, United States
08/2017 - 01/2018	RG Weinstein & Associates	Sales Associate (independent jewelry sales representative serving clients in the Southeastern United States)	N	Atlanta, GA, United States
11/2016 - 08/2017	Jobo's Inc	Bar staff (bar DBA BJ Rooster's)	N	Atlanta, GA, United States
01/2015 - 05/2017	N/A	Full-time student at Georgia State University	N	Atlanta, GA, United States
08/2016 - 03/2017	Brezza Cucina	Server (restaurant)	N	Atlanta, GA, United States
05/2016 - 08/2016	The Consulate Restaurant	Server (restaurant)	N	Atlanta, GA, 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: 01/2026  
 APX NUMBER OF HOURS PER WEEK: 2  
 APX NUMBER OF HOURS DURING TRADING HOURS: 2  
 POSITION/TITLE/RELATIONSHIP: INSURANCE AGENT  
 BRIEF DESCRIPTION OF DUTIES: SELLS FIXED INSURANCE PRODUCTS;
- 2. NAME OF OTHER BUSINESS: THE PLANNING STUDIO



## Registration & Employment History



### OTHER BUSINESS ACTIVITIES

INVESTMENT RELATED: YES  
ADDRESS: SAME AS REGISTERED LOCATION  
NATURE OF BUSINESS: FINANCIAL SERVICES  
START DATE: 10/2025  
POSITION/TITLE/RELATIONSHIP: ASSOCIATE FINANCIAL ADVISOR  
APX NUMBER OF HOURS PER WEEK: 40  
APX NUMBER OF HOURS DURING TRADING HOURS: 37.5  
BRIEF DESCRIPTION OF DUTIES: PROVIDE FINANCIAL SERVICES;  
3. NAME OF OTHER BUSINESS: NOTARY PUBLIC  
INVESTMENT RELATED: NO  
ADDRESS: SAME AS REGISTERED LOCATION;  
NATURE OF BUSINESS: NOTARY SERVICES  
START DATE: 4/2/2026  
POSITION/TITLE/RELATIONSHIP: NOTARY  
APX NUMBER OF HOURS PER WEEK: 0  
APX NUMBER OF HOURS DURING TRADING HOURS: 0  
BRIEF DESCRIPTION OF DUTIES: NOTARIZING THINGS



## 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	2
----------	---

### 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 2

<b>Reporting Source:</b>	Individual
<b>Formal Charges were brought in:</b>	State Court
<b>Name of Court:</b>	Athens-Clarke County State Court
<b>Location of Court:</b>	Athens-Clarke County, Georgia
<b>Docket/Case #:</b>	ST12CR0633
<b>Charge Date:</b>	02/03/2012
<b>Charge(s) 1 of 1</b>	
<b>Formal Charge(s)/Description:</b>	Formal charge: 16-9-4(b)(1)UNLAWFUL TO POSSESS, DISPLAY, OR USE ANY FALSE, FR

Description: Title 16 of the Official Code of Georgia Annotated, relating to crimes and offenses, is amended by striking Code Section 16-9-4, relating to definitions of identification documents and prohibitions regarding false documents, in its entirety and inserting in lieu thereof the following:  
"16-9-4.

(b)(1) It shall be unlawful for any person to knowingly possess, display, or use any false, fictitious, fraudulent, or altered identification document.

<b>No of Counts:</b>	1
<b>Felony or Misdemeanor:</b>	Misdemeanor
<b>Plea for each charge:</b>	Guilty
<b>Disposition of charge:</b>	Pled guilty
<b>Current Status:</b>	Final



**Status Date:** 07/20/2012  
**Disposition Date:** 07/20/2012  
**Sentence/Penalty:** 1 WEEKEND IN JAIL W/CREDIT, 12 MONTHS PROBATION, \$300 FINE + S/C, 70 HRS. COMMUNITY SERVICE, EVALUATION/TREATMENT FOR SUBSTANCE ABUSE, BARRED FROM DOWNTOWN ATHENS FROM 8PM TO 8 AM CT

**Disclosure 2 of 2**

**Reporting Source:** Individual

**If charge(s) were brought against an organization over which individual exercised control:**

**Organization Name:**

**Investment Related Business:** No

**Position:**

**Formal Charges were brought in:** Municipal Court

**Name of Court:** Roswell Municipal Court

**Location of Court:** Roswell, GA

**Docket/Case #:** 88373410193001

**Charge Date:** 01/29/2010

**Charge(s) 1 of 1**

**Formal Charge(s)/Description:** MANUFACTURE, SALE, DISTRIBUTE, ETC. IDENTIFICATION DOCUMENT WITH TRADEMARK - 1ST OFFENSE

**No of Counts:** 1

**Felony or Misdemeanor:** Misdemeanor

**Plea for each charge:** Not Guilty (Pre-trial Intervention)

**Disposition of charge:** Pre-trial Intervention

**Current Status:** Final

**Status Date:** 06/01/2010

**Disposition Date:** 06/01/2010

**Sentence/Penalty:** Sentenced to probation, community service and a fine, all of which were completed within the terms of the pre-trial intervention program.



## End of Report

This page is intentionally left blank.