

BrokerCheck Report

SAMUEL JAMES ANGELO JR

CRD# 1126535

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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.

About BrokerCheck®



BrokerCheck offers information on all current, and many former, registered securities brokers, and all current and former registered securities firms. FINRA strongly encourages investors to use BrokerCheck to check the background of securities brokers and brokerage firms before deciding to conduct, or continue to conduct, business with them.

- **What is included in a BrokerCheck report?**

- BrokerCheck reports for individual brokers include information such as employment history, professional qualifications, disciplinary actions, criminal convictions, civil judgments and arbitration awards. BrokerCheck reports for brokerage firms include information on a firm's profile, history, and operations, as well as many of the same disclosure events mentioned above.
- Please note that the information contained in a BrokerCheck 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 broker or brokerage firm, or concluded through a negotiated settlement with no admission or finding of wrongdoing.

- **Where did this information come from?**

- The information contained in BrokerCheck comes from FINRA's Central Registration Depository, or CRD® and is a combination of:
 - information FINRA and/or the Securities and Exchange Commission (SEC) require brokers and brokerage firms to submit as part of the registration and licensing process, and
 - information that regulators report regarding disciplinary actions or allegations against firms or brokers.

- **How current is this information?**

- Generally, active brokerage firms and brokers are required to update their professional and disciplinary information in CRD within 30 days. Under most circumstances, information reported by brokerage firms, brokers and regulators is available in BrokerCheck the next business day.

- **What if I want to check the background of an investment adviser firm or investment adviser representative?**

- To check the background of an investment adviser firm or representative, you can search for the firm or individual in BrokerCheck. If your search is successful, click on the link provided to view the available licensing and registration information in the SEC's Investment Adviser Public Disclosure (IAPD) website at <https://www.adviserinfo.sec.gov>. In the alternative, you may search the IAPD website directly or contact your state securities regulator at <http://www.finra.org/Investors/ToolsCalculators/BrokerCheck/P455414>.

- **Are there other resources I can use to check the background of investment professionals?**

- FINRA recommends that you learn as much as possible about an investment professional before deciding to work with them. Your state securities regulator can help you research brokers and investment adviser representatives doing business in your state.

Thank you for using FINRA BrokerCheck.



Using this site/information means that you accept the FINRA BrokerCheck Terms and Conditions. A complete list of Terms and Conditions can be found at brokercheck.finra.org



For additional information about the contents of this report, please refer to the User Guidance or www.finra.org/brokercheck. It provides a glossary of terms and a list of frequently asked questions, as well as additional resources. For more information about FINRA, visit www.finra.org.

**SAMUEL J. ANGELO JR**

CRD# 1126535

Currently employed by and registered with the following Firm(s):

- IA CETERA INVESTMENT ADVISERS LLC**
1450 AMERICAN LANE
6TH FLOOR, SUITE 650
SCHAUMBURG, IL 60173
CRD# 105644
Registered with this firm since: 09/05/2025
- IA AVANTAX PLANNING PARTNERS, INC.**
600 PARSIPPANY RD.
SUITE 206
PARSIPPANY, NJ 07054
CRD# 106237
Registered with this firm since: 09/07/2021
- B CETERA WEALTH SERVICES, LLC**
600 PARSIPPANY RD
SUITE 206
PARSIPPANY, NJ 07054
CRD# 13572
Registered with this firm since: 09/05/2025

Report Summary for this Broker

This report summary provides an overview of the broker's professional background and conduct. Additional information can be found in the detailed report.

Broker Qualifications

This broker is registered with:

- 1 Self-Regulatory Organization
- 26 U.S. states and territories

This broker has passed:

- 0 Principal/Supervisory Exams
- 3 General Industry/Product Exams
- 2 State Securities Law Exams

Registration History

This broker was previously registered with the following securities firm(s):

- IA AVANTAX ADVISORY SERVICES**
CRD# 104556
DALLAS, TX
10/2019 - 09/2025
- B AVANTAX INVESTMENT SERVICES, INC.**
CRD# 13686
PARSIPPANY, NJ
10/2019 - 09/2025
- IA HEADQUARTERS ADVISORY GROUP, LLC**
CRD# 125610
PARSIPPANY, NJ
02/2008 - 12/2021

Disclosure Events

All individuals registered to sell securities or provide investment advice are required to disclose customer complaints and arbitrations, regulatory actions, employment terminations, bankruptcy filings, and criminal or civil judicial proceedings.

Are there events disclosed about this broker? **No**



Broker Qualifications

Registrations

This section provides the self-regulatory organizations (SROs) and U.S. states/territories the broker is currently registered and licensed with, the category of each license, and the date on which it became effective. This section also provides, for every brokerage firm with which the broker is currently employed, the address of each branch where the broker works.

This individual is currently registered with 1 SRO and is licensed in 26 U.S. states and territories through his or her employer.

Employment 1 of 3

Firm Name: **AVANTAX PLANNING PARTNERS, INC.**

Main Office Address: **3390 ASBURY ROAD
DUBUQUE, IA 52002-2801**

Firm CRD#: **106237**

	U.S. State/ Territory	Category	Status	Date
IA	New Jersey	Investment Adviser Representative	Approved	09/07/2021

Branch Office Locations

3390 ASBURY ROAD
DUBUQUE, IA 52002-2801

600 PARSIPPANY RD.
SUITE 206
PARSIPPANY, NJ 07054

Employment 2 of 3

Firm Name: **CETERA INVESTMENT ADVISERS LLC**

Main Office Address: **1450 AMERICAN LANE
6TH FLOOR, SUITE 650
SCHAUMBURG, IL 60173-2096**

Firm CRD#: **105644**



Broker Qualifications

Employment 2 of 3, continued

	U.S. State/ Territory	Category	Status	Date
IA	New Jersey	Investment Adviser Representative	Approved	09/05/2025

Branch Office Locations

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

Employment 3 of 3

Firm Name: **CETERA WEALTH SERVICES, LLC**

Main Office Address: **2301 ROSECRANS AVE #5100
EL SEGUNDO, CA 90245**

Firm CRD#: **13572**

	SRO	Category	Status	Date
B	FINRA	General Securities Representative	Approved	09/05/2025
B	FINRA	Invest. Co and Variable Contracts	Approved	09/05/2025

	U.S. State/ Territory	Category	Status	Date
B	Arizona	Agent	Approved	09/05/2025
B	California	Agent	Approved	09/05/2025
B	Colorado	Agent	Approved	09/05/2025
B	Connecticut	Agent	Approved	09/05/2025
B	Delaware	Agent	Approved	09/05/2025
B	District of Columbia	Agent	Approved	09/05/2025
B	Florida	Agent	Approved	09/05/2025



Broker Qualifications

Employment 3 of 3, continued

	U.S. State/ Territory	Category	Status	Date
B	Georgia	Agent	Approved	09/05/2025
B	Maine	Agent	Approved	09/05/2025
B	Maryland	Agent	Approved	09/05/2025
B	Massachusetts	Agent	Approved	09/05/2025
B	Michigan	Agent	Approved	09/05/2025
B	Montana	Agent	Approved	09/05/2025
B	Nevada	Agent	Approved	09/05/2025
B	New Hampshire	Agent	Approved	09/05/2025
B	New Jersey	Agent	Approved	09/05/2025
B	New Mexico	Agent	Approved	09/05/2025
B	New York	Agent	Approved	09/05/2025
B	North Carolina	Agent	Approved	09/05/2025
B	Ohio	Agent	Approved	09/05/2025
B	Pennsylvania	Agent	Approved	09/05/2025
B	Rhode Island	Agent	Approved	09/05/2025
B	South Carolina	Agent	Approved	09/05/2025
B	Vermont	Agent	Approved	09/05/2025
B	Virginia	Agent	Approved	09/05/2025
B	Wisconsin	Agent	Approved	09/05/2025

Branch Office Locations

Broker Qualifications



Employment 3 of 3, continued

CETERA WEALTH SERVICES, LLC

600 PARSIPPANY RD
SUITE 206
PARSIPPANY, NJ 07054



Broker Qualifications

Industry Exams this Broker has Passed

This section includes all securities industry exams that the broker has passed. Under limited circumstances, a broker may attain a registration after receiving an exam waiver based on exams the broker has passed and/or qualifying work experience. Any exam waivers that the broker has received are not included below. A passed exam or exam waiver does not permit a broker to do business without an active SRO or state registration.

This individual has passed 0 principal/supervisory exams, 3 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 Securities Industry Essentials Examination	SIE	10/01/2018
B General Securities Representative Examination	Series 7	01/28/1999
B Investment Company Products/Variable Contracts Representative Examination	Series 6	05/27/1983

State Securities Law Exams

Exam	Category	Date
IA Uniform Investment Adviser Law Examination	Series 65	09/18/1998
B Uniform Securities Agent State Law Examination	Series 63	09/11/1998

Additional information about the above exams or other exams FINRA administers to brokers and other securities professionals can be found at www.finra.org/brokerqualifications/registeredrep/.

Broker Qualifications



Professional Designations

This section details that the representative has reported **0** professional designation(s).

No information reported.



Registration and Employment History

Registration History

The broker previously was registered with the following firms:

	Registration Dates	Firm Name	CRD#	Branch Location
IA	10/2019 - 09/2025	AVANTAX ADVISORY SERVICES	104556	PARSIPPANY, NJ
B	10/2019 - 09/2025	AVANTAX INVESTMENT SERVICES, INC.	13686	PARSIPPANY, NJ
IA	02/2008 - 12/2021	HEADQUARTERS ADVISORY GROUP, LLC	125610	PARSIPPANY, NJ
IA	05/2006 - 10/2019	1ST GLOBAL ADVISORS INC	111133	PARSIPPANY, NJ
B	01/2001 - 10/2019	1ST GLOBAL CAPITAL CORP.	30349	PARSIPPANY, NJ
IA	07/2005 - 11/2017	HUNTER FINANCIAL SERVICES, INC.	128680	FAIR LAWN, NJ
IA	12/2009 - 07/2014	POWER WEALTH MANAGEMENT LLC	134765	HACKENSACK, NJ
IA	06/2005 - 12/2007	PLAZA WEALTH MANAGEMENT LLC	134765	HACKENSACK, NJ
IA	04/2005 - 12/2007	HEADQUARTERS ADVISORY GROUP, LLC	125610	PARSIPPANY, NJ
B	12/1996 - 01/2001	SIGNATOR INVESTORS, INC.	468	BOSTON, MA
B	12/1996 - 05/1997	JOHN HANCOCK MUTUAL LIFE INSURANCE COMPANY	5181	BOSTON, MA
B	05/1983 - 10/1996	MONY SECURITIES CORP.	4386	NEW YORK, NY

Employment History

This section provides up to 10 years of an individual broker's employment history as reported by the individual broker on the most recently filed Form U4.

Please note that the broker is required to provide this information only while registered with FINRA or a national securities exchange and the information is not updated via Form U4 after the broker ceases to be registered. Therefore, an employment end date of "Present" may not reflect the broker's current employment status.

Employment	Employer Name	Position	Investment Related	Employer Location
09/2025 - Present	CETERA WEALTH SERVICES, LLC	Mass Transfer	Y	PARSIPPANY, NJ, United States
08/2021 - Present	AVANTAX PLANNING PARTNERS, INC.	FINANCIAL PLANNING CONSULTANT	Y	PARSIPPANY, NJ, United States



Registration and Employment History

Employment History, continued

Employment	Employer Name	Position	Investment Related	Employer Location
10/2019 - Present	AVANTAX ADVISORY SERVICES	INVESTMENT ADVISER REPRESENTATIVE	Y	IRVING, TX, United States
10/2019 - Present	AVANTAX INVESTMENT SERVICES, INC.	REGISTERED REPRESENTATIVE	Y	PARSIPPANY, NJ, United States
06/2005 - Present	HUNTER FINANCIAL SERVICES, INC.	INVESTMENT ADVISER REPRESENTATIVE	Y	FAIR LAWN, NJ, United States
03/2004 - Present	AVANTAX INSURANCE SERVICES, INC.	INSURANCE AGENT	Y	PARSIPPANY, NJ, United States
02/2001 - Present	HEADQUARTERS ADVISORY GROUP, LLC	MANAGING MEMBER / INVESTMENT ADVISER REPRESENTATIVE	Y	PARSIPPANY, NJ, United States
05/2006 - 10/2019	1ST GLOBAL ADVISORS, INC.	INVESTMENT ADVISER REPRESENTATIVE	Y	PARSIPPANY, NJ, United States
01/2001 - 10/2019	1ST GLOBAL CAPITAL CORP	FINANCIAL ADVISOR	Y	PARSIPPANY, NJ, United States

Other Business Activities

This section includes information, if any, as provided by the broker regarding other business activities the broker 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) HEADQUARTERS ADVISORY GROUP

POSITION: Financial advisor NATURE: Financial advisor INVESTMENT RELATED: Yes NUMBER OF HOURS: 160 SECURITIES TRADING HOURS: 160 START DATE: 02/01/2001.

2) CENTRAL JERSEY FEDERAL CREDIT UNION

POSITION: Board Member NATURE: Meet monthly to review past months procedures and activity for the firm. INVESTMENT RELATED: No NUMBER OF HOURS: 1 SECURITIES TRADING HOURS: 0 START DATE: 10/19/2022 ADDRESS: 380 Berry St, Woodbridge NJ 07095, United States DESCRIPTION: I need to vote on whether the activity followed pre established guidelines.

End of Report



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