

## BrokerCheck Report

**STEVEN CRAIG HENNINGSON**

CRD# 1279547

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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](http://brokercheck.finra.org)



For additional information about the contents of this report, please refer to the User Guidance or [www.finra.org/brokercheck](http://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](http://www.finra.org).



## STEVEN C. HENNINGSON

CRD# 1279547

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

**IA CETERA INVESTMENT ADVISERS LLC**  
100 PACIFICA STE 400  
IRVINE, CA 92618  
CRD# 105644  
Registered with this firm since: 06/29/2023

**IA CWM, LLC**  
100 Pacifica, Ste. 450  
Irvine, CA 92618  
CRD# 155344  
Registered with this firm since: 07/17/2018

**B CETERA WEALTH SERVICES, LLC**  
100 PACIFICA STE 400  
IRVINE, CA 92618  
CRD# 13572  
Registered with this firm since: 08/12/2004

## 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
- 14 U.S. states and territories

**This broker has passed:**

- 3 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 CETERA ADVISOR NETWORKS LLC**  
CRD# 13572  
EL SEGUNDO, CA  
02/2020 - 06/2023
- IA CETERA ADVISOR NETWORKS LLC**  
CRD# 13572  
EL SEGUNDO, CA  
08/2004 - 12/2018
- IA SAGEVIEW ADVISORY GROUP, LLC**  
CRD# 126777  
NEWPORT BEACH, CA  
04/2005 - 07/2014

### 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 14 U.S. states and territories through his or her employer.**

### Employment 1 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**

	U.S. State/ Territory	Category	Status	Date
IA	California	Investment Adviser Representative	Approved	06/29/2023
IA	Texas	Investment Adviser Representative	Approved	01/21/2025

### Branch Office Locations

100 PACIFICA STE 400  
IRVINE, CA 92618

### Employment 2 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	08/12/2004
B	FINRA	General Securities Sales Supervisor	Approved	10/04/2004



## Broker Qualifications

### Employment 2 of 3, continued

	U.S. State/ Territory	Category	Status	Date
B	Arizona	Agent	Approved	08/12/2004
B	California	Agent	Approved	08/12/2004
B	Colorado	Agent	Approved	09/13/2017
B	Idaho	Agent	Approved	06/25/2020
B	Illinois	Agent	Approved	08/12/2004
B	Michigan	Agent	Approved	03/24/2005
B	Missouri	Agent	Approved	08/10/2022
B	Nevada	Agent	Approved	01/05/2024
B	Oregon	Agent	Approved	08/12/2004
B	Pennsylvania	Agent	Approved	12/06/2017
B	South Carolina	Agent	Approved	10/14/2015
B	Texas	Agent	Approved	01/21/2025
B	Virginia	Agent	Approved	08/28/2017
B	Washington	Agent	Approved	08/12/2004

### Branch Office Locations

**CETERA WEALTH SERVICES, LLC**  
 100 PACIFICA STE 400  
 IRVINE, CA 92618

### Employment 3 of 3

Firm Name: **CWM, LLC**  
 Main Office Address: **14600 BRANCH ST.**  
**OMAHA, NE 68154**



Broker Qualifications

Employment 3 of 3, continued

Firm CRD#: 155344

	U.S. State/ Territory	Category	Status	Date
IA	California	Investment Adviser Representative	Approved	07/17/2018
IA	Texas	Investment Adviser Representative	Restricted Approval	07/17/2018

Branch Office Locations

14600 BRANCH ST.  
OMAHA, NE 68154

100 Pacifica, Ste. 450  
Irvine, CA 92618



## 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 3 principal/supervisory exams, 3 general industry/product exams, and 2 state securities law exams.**

### Principal/Supervisory Exams

Exam	Category	Date
<b>B</b> General Securities Sales Supervisor - Options Module Examination	Series 9	01/02/2023
<b>B</b> General Securities Sales Supervisor - General Module Examination	Series 10	01/02/2023
<b>B</b> General Securities Sales Supervisor Examination (Options Module & General Module)	Series 8	07/25/1988

### General Industry/Product Exams

Exam	Category	Date
<b>B</b> Securities Industry Essentials Examination	SIE	10/01/2018
<b>B</b> Futures Managed Funds Examination	Series 31	07/27/1994
<b>B</b> General Securities Representative Examination	Series 7	09/21/1985

### State Securities Law Exams

Exam	Category	Date
<b>IA</b> Uniform Investment Adviser Law Examination	Series 65	06/16/1992
<b>B</b> Uniform Securities Agent State Law Examination	Series 63	01/03/1986

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/](http://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 02/2020 - 06/2023	CETERA ADVISOR NETWORKS LLC	13572	IRVINE, CA
IA 08/2004 - 12/2018	CETERA ADVISOR NETWORKS LLC	13572	IRVINE, CA
IA 04/2005 - 07/2014	SAGEVIEW ADVISORY GROUP, LLC	126777	IRVINE, CA
B 07/1993 - 08/2004	CITIGROUP GLOBAL MARKETS INC.	7059	NEW YORK, NY
IA 07/1993 - 08/2004	CITIGROUP GLOBAL MARKETS INC.	7059	LAGUNA NIGUEL, CA
B 04/1988 - 07/1993	LEHMAN BROTHERS INC.	7506	NEW YORK, NY
B 09/1985 - 04/1988	E. F. HUTTON & COMPANY INC	235	

### 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
06/2023 - Present	CETERA INVESTMENT ADVISERS LLC	INVESTMENT ADVISOR REPRESENTATIVE	Y	SCHAUMBURG, IL, United States
07/2018 - Present	CWM, LLC	WEALTH ADVISOR	Y	OMAHA, NE, United States
01/2013 - Present	CETERA WEALTH SERVICES, LLC	REGISTERED REPRESENTATIVE	Y	EL SEGUNDO, CA, 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. FIXED INSURANCE WITH VARIOUS COMPANIES,  
INVESTMENT RELATED,



## Registration and Employment History

### Other Business Activities, continued

SAME AS REGISTERED ADDRESS,  
FIXED INSURANCE,  
START 2004,  
1-2 HRS/WK (TRADING HOURS),  
INSURANCE AGENT - SELLS LIFE, ANNUITIES, AND LONG-TERM CARE;

2. RONALD REAGAN PRESIDENTIAL FOUNDATION & LIBRARY,  
NOT INVESTMENT RELATED,  
40 PRESIDENTIAL DRIVE, SIMI VALLEY, CA 93065,  
NON-PROFIT SUSTAINING REAGAN LIBRARY & MUSEUM,  
START 08/10/2011,  
<1HR/WK (NON-TRADING HOURS),  
INFORM & EDUCATE PEOPLE ABOUT EVENTS & EDUCATIONAL OPPORTUNITIES OF THE LIBRARY & MUSEUM;

3. CONCIERGE WEALTH MANAGEMENT GROUP,  
INVESTMENT RELATED,  
SAME AS REGISTERED ADDRESS,  
DBA NAME FOR ADVISORY SERVICES, INVESTMENT CONSULTING,  
START 10/14/2013,  
40HRS/WK (32.5 TRADING HOURS),  
PRESIDENT/OWNER;

4. NAME OF OTHER BUSINESS: THE EFFECT RECOVERY MINISTRY;  
INVESTMENT RELATED: NO;  
ADDRESS: 27122A PAESO ESPADA, SUITE 904, SAN JUAN CAPISTRANO, CA 92675  
NATURE OF BUSINESS: COMMUNITY CHURCH WITH RECOVERY MINISTRIES;  
START DATE: 12/2014;  
POSITION/TITLE/RELATIONSHIP: VOLUNTEER ON THE ADVISORY BOARD;  
APX NUMBER OF HOURS PER WEEK: 4;  
APX NUMBER OF HOURS DURING TRADING HOURS: NONE;  
BRIEF DESCRIPTION OF DUTIES: HELP THE CHURCH WITH MINISTRY OPERATIONS AND PROGRAMS;

5. NAME OF OTHER BUSINESS: CWM, LLC  
INVESTMENT RELATED: YES  
ADDRESS: SAME AS REGISTERED LOCATION  
NATURE OF BUSINESS: ADVISORY BUSINESS  
POSITION/TITLE/RELATIONSHIP: ADVISORY REPRESENTATIVE  
START DATE: 7/2018

APX NUMBER OF HOURS PER WEEK: 40  
APX NUMBER OF HOURS DURING TRADING HOURS: 32.5  
BRIEF DESCRIPTION OF DUTIES: ASSET MANAGEMENT  
6. NAME OF OTHER BUSINESS: CWM, LLC DBA CARSON GROUP PARTNERS  
INVESTMENT RELATED: YES  
ADDRESS: SAME AS REGISTERED LOCATION

## Registration and Employment History



### Other Business Activities, continued

NATURE OF BUSINESS: FINANCIAL SERVICES

START DATE: 7/2018

POSITION/TITLE/RELATIONSHIP: REGISTERED REPRESENTATIVE

APX NUMBER OF HOURS PER WEEK: 40

APX NUMBER OF HOURS DURING TRADING HOURS: 32.5

BRIEF DESCRIPTION OF DUTIES: DBA FOR FINANCIAL SERVICES

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## End of Report



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