

BrokerCheck Report

WAYNE LEROY LOCKE JR

CRD# 1682299

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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.

WAYNE L. LOCKE JR

CRD# 1682299

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

IA CETERA INVESTMENT ADVISERS LLC
 NEW MILFORD, CT
 CRD# 105644
 Registered with this firm since: 06/29/2023

B CETERA WEALTH SERVICES, LLC
 NEW MILFORD, CT
 CRD# 13572
 Registered with this firm since: 09/03/2013

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
- 21 U.S. states and territories

This broker has passed:

- 1 Principal/Supervisory Exam
- 5 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
 09/2013 - 06/2023

IA MATSON FINANCIAL ADVISORS, INC.
 CRD# 122480
 DANBURY, CT
 11/2001 - 12/2022

IA WALNUT STREET SECURITIES, INC.
 CRD# 15840
 EL SEGUNDO, CA
 08/2003 - 09/2013

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

Employment 1 of 2

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	Connecticut	Investment Adviser Representative	Approved	06/29/2023
IA	Texas	Investment Adviser Representative	Restricted Approval	06/29/2023

Branch Office Locations

NEW MILFORD, CT

158 Prospect Hill Rd
New Milford, CT 06776

Employment 2 of 2

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	Corporate Securities Represent	Approved	09/03/2013
B	FINRA	General Securities Representative	Approved	09/03/2013



Broker Qualifications

Employment 2 of 2, continued

SRO	Category	Status	Date
B FINRA	Invest. Co and Variable Contracts	Approved	09/03/2013
B FINRA	Investment Co./Variable Contracts Prin	Approved	09/03/2013
B FINRA	Municipal Securities Representative	Approved	09/03/2013

U.S. State/ Territory	Category	Status	Date
B Arizona	Agent	Approved	09/03/2013
B California	Agent	Approved	09/03/2013
B Colorado	Agent	Approved	09/03/2013
B Connecticut	Agent	Approved	09/03/2013
B Delaware	Agent	Approved	07/21/2022
B Florida	Agent	Approved	09/03/2013
B Georgia	Agent	Approved	11/27/2018
B Maryland	Agent	Approved	09/03/2013
B Massachusetts	Agent	Approved	09/03/2013
B Missouri	Agent	Approved	04/30/2021
B New Jersey	Agent	Approved	09/03/2013
B New Mexico	Agent	Approved	01/06/2014
B New York	Agent	Approved	09/03/2013
B North Carolina	Agent	Approved	09/03/2013
B Oregon	Agent	Approved	05/25/2023
B Pennsylvania	Agent	Approved	09/03/2013
B South Carolina	Agent	Approved	09/03/2013

Broker Qualifications



Employment 2 of 2, continued

	U.S. State/ Territory	Category	Status	Date
B	Tennessee	Agent	Approved	11/08/2016
B	Texas	Agent	Approved	09/03/2013
B	Utah	Agent	Approved	11/29/2022
B	Virginia	Agent	Approved	09/03/2013

Branch Office Locations

CETERA WEALTH SERVICES, LLC
NEW MILFORD, CT



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 1 principal/supervisory exam, 5 general industry/product exams, and 2 state securities law exams.

Principal/Supervisory Exams

Exam	Category	Date
B Investment Company Products/Variable Contracts Principal Examination	Series 26	11/27/1989

General Industry/Product Exams

Exam	Category	Date
B Securities Industry Essentials Examination	SIE	10/01/2018
B General Securities Representative Examination	Series 7	04/14/2006
B Municipal Securities Representative Examination	Series 52	03/01/2004
B Corporate Securities Limited Representative Examination	Series 62	08/26/2001
B Investment Company Products/Variable Contracts Representative Examination	Series 6	06/03/1987

State Securities Law Exams

Exam	Category	Date
IA Uniform Investment Adviser Law Examination	Series 65	10/22/2001
B Uniform Securities Agent State Law Examination	Series 63	06/23/1987

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 **1** professional designation(s).

Certified Financial Planner

This representative holds or did hold **1** professional designation(s) that may have been used to qualify as an Investment Advisor representative. Please check with the appropriate designation authority for verification that the designation is still in effect. The contact information for these professional designation authorities can be found on the website for the North American Securities Administrators Association at <http://www.nasaa.org>



Registration and Employment History

Registration History

The broker previously was registered with the following firms:

Registration Dates	Firm Name	CRD#	Branch Location
IA 09/2013 - 06/2023	CETERA ADVISOR NETWORKS LLC	13572	DANBURY, CT
IA 11/2001 - 12/2022	MATSON FINANCIAL ADVISORS, INC.	122480	DANBURY, CT
B 08/2003 - 09/2013	WALNUT STREET SECURITIES, INC.	15840	DANBURY, CT
IA 08/2003 - 09/2013	WALNUT STREET SECURITIES, INC.	15840	DANBURY, CT
IA 01/2001 - 08/2003	NATHAN & LEWIS SECURITIES, INC.	8503	DANBURY, CT
B 01/2001 - 08/2003	NATHAN & LEWIS SECURITIES, INC.	8503	NEW YORK, NY
B 06/1987 - 01/2001	PFS INVESTMENTS INC.	10111	DULUTH, GA

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
11/2023 - Present	PROSPECT HILL ADVISORS	OWNER	Y	DANBURY, CT, United States
06/2023 - Present	CETERA INVESTMENT ADVISERS LLC	INVESTMENT ADVISOR REPRESENTATIVE	Y	SCHAUMBURG, IL, United States
09/2013 - Present	CETERA WEALTH SERVICES, LLC	REGISTERED REPRESENTATIVE	Y	EL SEGUNDO, CA, United States
01/2001 - 10/2022	MATSON FINANCIAL ADVISOR'S, INC	INVESTMENT ADVISOR	Y	DANBURY, CT, 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.



Registration and Employment History

Other Business Activities, continued

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: 05/2022;
APX NUMBER OF HOURS PER WEEK: VARIES;
APX NUMBER OF HOURS DURING TRADING HOURS: VARIES;
POSITION/TITLE/RELATIONSHIP: INSURANCE AGENT;
BRIEF DESCRIPTION OF DUTIES: SELLS LIFE, DISABILITY, FIXED ANNUITIES, AND LONG-TERM CARE

2) NAME OF OTHER BUSINESS: PROSPECT HILL ADVISORS;
INVESTMENT RELATED: YES,
ADDRESS: SAME AS REGISTERED LOCATION,
NATURE OF BUSINESS: FINANCIAL SERVICES,
START DATE: 11/2023,
POSITION/TITLE/RELATIONSHIP: OWNER,
APX NUMBER OF HOURS PER WEEK: 40,
APX NUMBER OF HOURS DURING TRADING HOURS: 32.5,
BRIEF DESCRIPTION OF DUTIES: DBA FOR FINANCIAL SERVICES & SALE & SERVICE OF FIXED INSURANCE;

3) NAME OF OTHER BUSINESS: NEW MILFORD CHAMBER OF COMMERCE;
INVESTMENT RELATED: NO;
ADDRESS: 11 RAILROAD ST, NEW MILFORD, CT 06776;
NATURE OF BUSINESS: BOARD;
START DATE: 10/2023;
POSITION/TITLE/RELATIONSHIP: BOARD MEMBER;
APX NUMBER OF HOURS PER WEEK: 2;
APX NUMBER OF HOURS DURING TRADING HOURS: 0;
BRIEF DESCRIPTION OF DUTIES: ATTEND BOARD MEETINGS, SUPPORTS AND PROMOTES LOCAL BUSINESSES;

4) NAME OF OTHER BUSINESS: FINANCIAL PLANNING CONSULTANTS LLC;
INVESTMENT RELATED: NO;
ADDRESS: SAME AS REGISTERED LOCATION;
NATURE OF BUSINESS: EXPENSE MANAGEMENT;
START DATE: 10/2024;
POSITION/TITLE/RELATIONSHIP: OWNER/MANAGING MEMBER;
APX NUMBER OF HOURS PER WEEK: 1;
APX NUMBER OF HOURS DURING TRADING HOURS: 0;
BRIEF DESCRIPTION OF DUTIES: DBA FOR BUSINESS EXPENSE MANAGEMENT;

5) NAME OF OTHER BUSINESS: STONEGATE PROPERTIES LLC;
INVESTMENT RELATED: NO;
ADDRESS: 158 PROSPECT HILL RD NEW MILFORD, CT 06776;

Registration and Employment History



Other Business Activities, continued

NATURE OF BUSINESS: REAL ESTATE;
START DATE: 10/2024;
POSITION/TITLE/RELATIONSHIP: OWNER/MANAGING MEMBER;
APX NUMBER OF HOURS PER WEEK: 1;
APX NUMBER OF HOURS DURING TRADING HOURS: 0;
BRIEF DESCRIPTION OF DUTIES: MAMAGE AND MAINTAIN INVESTMENT PROPERTY;

End of Report



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