

BrokerCheck Report

WILLIAM ANTHONY NARDUZZI

CRD# 1817706

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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.

**WILLIAM A. NARDUZZI**

CRD# 1817706

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

IA CETERA INVESTMENT ADVISERS LLC
 60 COLUMBIA ROAD
 BUILDING B, SUITE 200
 MORRISTOWN, NJ 07960
 CRD# 105644
 Registered with this firm since: 01/11/2024

B CETERA WEALTH SERVICES, LLC
 60 COLUMBIA ROAD
 BUILDING B, SUITE 200
 Morristown, NJ 07960
 CRD# 13572
 Registered with this firm since: 08/10/2023

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
- 13 U.S. states and territories

This broker has passed:

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

Registration History

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

- B SECURIAN FINANCIAL SERVICES, INC.**
 CRD# 15296
 Morristown, NJ
 07/2017 - 08/2023
- IA SECURIAN FINANCIAL SERVICES, INC.**
 CRD# 15296
 ST PAUL, MN
 02/2018 - 03/2019
- IA MML INVESTORS SERVICES, LLC**
 CRD# 10409
 SPRINGFIELD, MA
 03/2017 - 07/2017

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 13 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	New Jersey	Investment Adviser Representative	Approved	01/11/2024

Branch Office Locations

60 COLUMBIA ROAD
BUILDING B, SUITE 200
MORRISTOWN, NJ 07960

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	Invest. Co and Variable Contracts	Approved	08/10/2023

	U.S. State/ Territory	Category	Status	Date
B	California	Agent	Approved	08/10/2023

Broker Qualifications



Employment 2 of 2, continued

	U.S. State/ Territory	Category	Status	Date
B	Delaware	Agent	Approved	08/10/2023
B	Florida	Agent	Approved	08/11/2023
B	Georgia	Agent	Approved	08/10/2023
B	Illinois	Agent	Approved	08/10/2023
B	Maryland	Agent	Approved	08/10/2023
B	Missouri	Agent	Approved	08/10/2023
B	New Jersey	Agent	Approved	08/10/2023
B	New York	Agent	Approved	08/10/2023
B	North Carolina	Agent	Approved	08/10/2023
B	Ohio	Agent	Approved	08/10/2023
B	Pennsylvania	Agent	Approved	08/10/2023
B	Virginia	Agent	Approved	08/10/2023

Branch Office Locations

CETERA WEALTH SERVICES, LLC

60 COLUMBIA ROAD
BUILDING B, SUITE 200
Morristown, NJ 07960



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, 2 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
B Securities Industry Essentials Examination	SIE	10/01/2018
B Investment Company Products/Variable Contracts Representative Examination	Series 6	05/16/1988

State Securities Law Exams

Exam	Category	Date
B Uniform Securities Agent State Law Examination	Series 63	12/20/1991

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).

Chartered Financial Consultant

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
B 07/2017 - 08/2023	SECURIAN FINANCIAL SERVICES, INC.	15296	Morristown, NJ
IA 02/2018 - 03/2019	SECURIAN FINANCIAL SERVICES, INC.	15296	Morristown, NJ
B 03/2017 - 07/2017	MML INVESTORS SERVICES, LLC	10409	ROSELAND, NJ
IA 03/2017 - 07/2017	MML INVESTORS SERVICES, LLC	10409	ROSELAND, NJ
IA 05/2006 - 03/2017	MSI FINANCIAL SERVICES, INC.	14251	ROSELAND, NJ
B 10/2001 - 03/2017	MSI FINANCIAL SERVICES, INC.	14251	ROSELAND, NJ
B 10/2001 - 07/2007	METROPOLITAN LIFE INSURANCE COMPANY	4095	SHORT HILLS, NJ
B 06/1993 - 10/2001	WS GRIFFITH SECURITIES, INC.	10410	HARTFORD, CT
B 01/1999 - 01/1999	ZACHARY JACKSON SECURITIES, LP	38553	SPRINGFIELD, NJ
B 05/1988 - 06/1993	PHOENIX EQUITY PLANNING CORPORATION	3036	HARTFORD, CT

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
01/2024 - Present	CETERA INVESTMENT ADVISERS LLC	INVESTMENT ADVISOR REPRESENTATIVE	Y	SCHAUMBURG, IL, United States
08/2023 - Present	CETERA WEALTH SERVICES, LLC	REGISTERED REPRESENTATIVE	Y	Morristown, NJ, United States
07/2017 - Present	Allied Wealth Partners	Agent	Y	East Hanover, NJ, United States



Registration and Employment History

Employment History, continued

Employment	Employer Name	Position	Investment Related	Employer Location
07/2017 - 08/2023	Minnesota Life Insurance Co	Agent	Y	ST Paul, MN, United States
07/2017 - 08/2023	Securian Financial Services Inc	Registered Rep	Y	St Paul, MN, United States
03/2017 - 07/2017	MML INVESTORS SERVICES, LLC	Mass Transfer	Y	ROSELAND, NJ, United States
10/2001 - 07/2017	METLIFE SECURITIES, INC.	SALES	Y	EAGLE ROCK, NJ, United States
10/2001 - 07/2017	METROPOLITAN LIFE INSURANCE COMPANY	SALES	Y	EAGLE ROCK, 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. ALLIED WEALTH PARTNERS

POSITION: Independent Contractor NATURE: Fixed Insurance Sales INVESTMENT RELATED: No NUMBER OF HOURS: 3 SECURITIES TRADING HOURS: 3 START DATE: 07/01/2017
 ADDRESS: , Parsipanny NJ , United States
 DESCRIPTION: Independent Contractor;

2. ST JOHNS ROMAN CATHOLIC CHURCH

POSITION: Volunteer NATURE: Trustee INVESTMENT RELATED: No NUMBER OF HOURS: 4 SECURITIES TRADING HOURS: 0 START DATE: 01/01/2005
 ADDRESS: , Orange NJ , United States
 DESCRIPTION: Volunteer;

3. LIBERTY CO.

POSITION: Salesperson NATURE: Fixed Insurance Sales INVESTMENT RELATED: No NUMBER OF HOURS: 20 SECURITIES TRADING HOURS: 1 START DATE: 07/01/2022
 ADDRESS: 245 South Street, Morristown NJ 07960, United States
 DESCRIPTION: Partnering with Liberty Co. to manage and grow our group medical/benefits book of business.
 We are selling a material portion and will retain the balance. we will receive a draw for managing and maintaining the block of business;

4. STRATEGIC BENEFITS GROUP

POSITION: Owner NATURE: Fixed Insurance Sales INVESTMENT RELATED: No NUMBER OF HOURS: 20 SECURITIES TRADING HOURS: 15 START DATE: 01/01/2008
 ADDRESS: 245 South Street, Morristown NJ 07960, United States
 DESCRIPTION: Co-owner with Brian Bushwell;



Registration and Employment History

Other Business Activities, continued

5. SWG PARTNERS LLC

POSITION: Owner NATURE: Fixed Insurance Sales INVESTMENT RELATED: No NUMBER OF HOURS: 20 SECURITIES TRADING HOURS: 1

START DATE: 01/01/2007

ADDRESS: 245 South Street, Morristown NJ 07960, United States

DESCRIPTION: Group Medical/Benefits Sales;

6. NAME OF OTHER BUSINESS: FIXED INSURANCE WITH VARIOUS COMPANIES

INVESTMENT RELATED: NO

ADDRESS: SAME AS REGISTERED LOCATION

NATURE OF BUSINESS: FIXED INSURANCE

START DATE: 9/1988;

APX NUMBER OF HOURS PER WEEK: 1;

APX NUMBER OF HOURS DURING TRADING HOURS: 1;

POSITION/TITLE/RELATIONSHIP: INSURANCE AGENT

BRIEF DESCRIPTION OF DUTIES: SALES OF FIXED INSURANCE PRODUCTS

7. NAME OF OTHER BUSINESS: LIFE SETTLEMENT BUSINESS;

INVESTMENT RELATED: NO;

ADDRESS: SAME AS REGISTERED LOCATION;

NATURE OF BUSINESS: LIFE SETTLEMENT;

START DATE: 12/2023;

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 SETTLEMENTS THROUGH WELCOME FUNDS, INC. & ASHAR GROUP;

End of Report



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