

## BrokerCheck Report

**MARY RUTH QUIST-NEWINS**

CRD# 2051404

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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).

**MARY R. QUIST-NEWINS**

CRD# 2051404

This broker is not currently registered.

## 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 not currently registered.**

#### **This broker has passed:**

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

### Registration History

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

- B CETERA ADVISOR NETWORKS LLC**  
CRD# 13572  
MINNEAPOLIS, MN  
03/2014 - 12/2018
- B CAMBRIDGE INVESTMENT RESEARCH, INC.**  
CRD# 39543  
FREDERICK, MD  
11/2011 - 04/2012
- B THRIVENT INVESTMENT MANAGEMENT INC.**  
CRD# 18387  
GERMANTOWN, MD  
06/2003 - 11/2009

### 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**

### Investment Adviser Representative Information

The information below represents the individual's record as a broker. For details on this individual's record as an investment adviser representative, visit the SEC's Investment Adviser Public Disclosure website at

<https://www.adviserinfo.sec.gov>

## 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 broker is not currently registered.



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

### Principal/Supervisory Exams

Exam	Category	Date
<b>B</b> General Securities Principal Examination	Series 24	10/19/2000

### General Industry/Product Exams

Exam	Category	Date
<b>B</b> Securities Industry Essentials Examination	SIE	10/01/2018
<b>B</b> General Securities Representative Examination	Series 7	04/21/1990

### State Securities Law Exams

Exam	Category	Date
<b>B IA</b> Uniform Combined State Law Examination	Series 66	08/05/2003
<b>B</b> Uniform Securities Agent State Law Examination	Series 63	02/12/1991

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/](http://www.finra.org/brokerqualifications/registeredrep/).



Broker Qualifications

Professional Designations

This section details that the representative has reported **2** professional designation(s).

Certified Financial Planner
Chartered Financial Consultant

This representative holds or did hold **2** 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>B</b> 03/2014 - 12/2018	CETERA ADVISOR NETWORKS LLC	13572	MINNEAPOLIS, MN
<b>B</b> 11/2011 - 04/2012	CAMBRIDGE INVESTMENT RESEARCH, INC.	39543	FREDERICK, MD
<b>B</b> 06/2003 - 11/2009	THRIVENT INVESTMENT MANAGEMENT INC.	18387	GERMANTOWN, MD
<b>B</b> 07/2001 - 01/2003	VESTAX SECURITIES CORPORATION	10332	HUDSON, OH
<b>B</b> 07/2001 - 01/2003	IFG NETWORK SECURITIES, INC.	19948	ATLANTA, GA
<b>B</b> 07/2001 - 01/2003	MULTI-FINANCIAL SECURITIES CORPORATION	10299	GREENWOOD VILLAGE, CO
<b>B</b> 07/2001 - 01/2003	BANCWEST INVESTMENT SERVICES, INC.	29357	OMAHA, NE
<b>B</b> 07/2001 - 01/2003	GRANITE INVESTMENT SERVICES, INC.	31299	ST. CLOUD, MN
<b>B</b> 07/2001 - 01/2003	GUARANTY BROKERAGE SERVICES, INC.	23302	ST. CLOUD, MN
<b>B</b> 07/2001 - 01/2003	PRIMEVEST FINANCIAL SERVICES, INC.	15340	ST. CLOUD, MN
<b>B</b> 09/2001 - 12/2002	WASHINGTON SQUARE SECURITIES, INC.	2882	WINDSOR, CT
<b>B</b> 06/2001 - 12/2002	LOCUST STREET SECURITIES, INC.	1703	DES MOINES, IA
<b>B</b> 04/1990 - 06/2001	AMERICAN EXPRESS FINANCIAL ADVISORS INC.	6363	MINNEAPOLIS, MN
<b>B</b> 04/1990 - 06/2001	IDS LIFE INSURANCE COMPANY	6321	MINNEAPOLIS, MN

### Employment History



## Registration and Employment History

### Employment History, continued

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
03/2014 - Present	CETERA ADVISOR NETWORKS	REGISTERED REPRESENTATIVE	Y	MINNEAPOLIS, MN, United States
01/2013 - Present	MONEYWEAVE	CONSULTANT/INSTRUCTOR	N	EDINA, MN, United States
09/2016 - 12/2018	AdvisorNet Wealth Management	IAR	Y	Minneapolis, MN, 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. NAME OF OTHER BUSINESS: FIXED INSURANCE WITH VARIOUS COMPANIES

INVESTMENT RELATED: YES

ADDRESS: SAME AS REGISTERED LOCATION

NATURE OF BUSINESS: FIXED INSURANCE

START DATE: 03/2014

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, HEALTH, DISABILITY, ANNUITIES AND LONG TERM CARE

#### 2. NAME OF OTHER BUSINESS: MONEYWEAVE, LLC

INVESTMENT RELATED: YES

ADDRESS: SAME AS REGISTERED LOCATION

NATURE OF BUSINESS: FINANCIAL SERVICES / FINANCIAL EDUCATION

START DATE: 01/2013

APX NUMBER OF HOURS PER WEEK: 50

APX NUMBER OF HOURS DURING TRADING HOURS: 50

BRIEF DESCRIPTION OF DUTIES: DBA FOR FINANCIAL SERVICES, INSTRUCTOR FOR CLU, CHFC AND CFP COURSES.

#### 3. NAME OF OTHER BUSINESS: NATIONAL ASSOCIATION OF WOMEN BUSINESS OWNERS - MN;

INVESTMENT RELATED: NO;





## Registration and Employment History

### Other Business Activities, continued

ADDRESS: 2828 UNIVERSITY AVE. SUITE 150, MINNEAPOLIS, MN 55414;  
NATURE OF BUSINESS: WOMEN'S ORGANIZATION;  
START DATE: 06/23/2016;  
POSITION/TITLE/RELATIONSHIP: BOARD MEMBER & PRESIDENT;  
APX NUMBER OF HOURS PER WEEK: 5-10 HOURS;  
APX NUMBER OF HOURS DURING TRADING HOURS: VARIES;  
BRIEF DESCRIPTION OF DUTIES: OVERSEE STRATEGIC LEADERSHIP OF ORGANIZATION IN MINNESOTA.

4. NAME OF OTHER BUSINESS: KAPLAN FOR UNIVERSITY OF ST. THOMAS;  
INVESTMENT RELATED: NO;  
ADDRESS: 46 SOUTH 11TH STREET, MINNEAPOLIS, MN 55403;  
NATURE OF BUSINESS: INSTRUCTOR;  
START DATE: 05/2013;  
POSITION/TITLE/RELATIONSHIP: CFP INSTRUCTOR;  
APX NUMBER OF HOURS PER WEEK: LESS THAN 1 HOUR;  
APX NUMBER OF HOURS DURING TRADING HOURS: VARIES;  
BRIEF DESCRIPTION OF DUTIES: TEACH CERTIFIED FINANCIAL PLANNER (CFP) COURSES.

5.NAME OF OTHER BUSINESS: ADVISORNET WEALTH MANAGEMENT  
INVESTMENT RELATED: YES  
ADDRESS: SAME AS REGISTERED LOCATION  
NATURE OF BUSINESS: ADVISORY SERVICES  
START DATE: 9/2017  
POSITION/TITLE/RELATIONSHIP: INVESTMENT ADVISOR REPRESENTATIVE  
APX NUMBER OF HOURS PER WEEK: 40  
APX NUMBER OF HOURS DURING TRADING HOURS: 32.5  
BRIEF DESCRIPTION OF DUTIES: INVESTMENT ADVISING

6.NAME OF OTHER BUSINESS: BOX FINANCIAL ADVISORS (BFA)  
INVESTMENT RELATED: YES  
ADDRESS: SAME AS REGISTERED LOCATION  
NATURE OF BUSINESS: FINANCIAL PLANNING, WEALTH MANAGEMENT, & INSURANCE  
START DATE: 9/2017  
POSITION/TITLE/RELATIONSHIP: AFFLIATION  
APX NUMBER OF HOURS PER WEEK: 30  
APX NUMBER OF HOURS DURING TRADING HOURS: 30  
BRIEF DESCRIPTION OF DUTIES: MARKET TO PROSPECTS, GENERATE LEADS, DEVELOP FINANCIAL PLANS

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## End of Report



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