BrokerCheck Report

TIMOTHY FRANK MCFALL

CRD# 2128484

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.

TIMOTHY F. MCFALL

CRD# 2128484

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

IA **CETERA INVESTMENT ADVISERS LLC**
LAS VEGAS, NV
CRD# 105644
Registered with this firm since: 09/05/2025

B **CETERA WEALTH SERVICES, LLC**
520 Kirkland Way
STE 102
KIRKLAND, WA 98033
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
- 14 U.S. states and territories

This broker has passed:

- 1 Principal/Supervisory Exam
- 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
11/2022 - 09/2025

B **AVANTAX INVESTMENT SERVICES, INC.**
CRD# 13686
LAS VEGAS, NV
11/2022 - 09/2025

IA **INDEPENDENT FINANCIAL GROUP, LLC**
CRD# 7717
SAN DIEGO, CA
05/2017 - 11/2022

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 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	Nevada	Investment Adviser Representative	Approved	09/05/2025
IA	Washington	Investment Adviser Representative	Approved	09/05/2025

Branch Office Locations

LAS VEGAS, NV

520 KIRKLAND WAY STE 102
KIRKLAND, WA 98033

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	General Securities Principal	Approved	09/05/2025
B	FINRA	General Securities Representative	Approved	09/05/2025

Broker Qualifications

Employment 2 of 2, continued

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

	U.S. State/ Territory	Category	Status	Date
B	Alaska	Agent	Approved	09/05/2025
B	Arizona	Agent	Approved	09/05/2025
B	Arkansas	Agent	Approved	09/05/2025
B	California	Agent	Approved	09/05/2025
B	Florida	Agent	Approved	09/05/2025
B	Idaho	Agent	Approved	09/05/2025
B	Missouri	Agent	Approved	09/05/2025
B	Nebraska	Agent	Approved	09/05/2025
B	Nevada	Agent	Approved	09/05/2025
B	North Carolina	Agent	Approved	09/05/2025
B	Oregon	Agent	Approved	09/05/2025
B	Utah	Agent	Approved	09/05/2025
B	Virginia	Agent	Approved	09/05/2025
B	Washington	Agent	Approved	09/05/2025

Branch Office Locations

CETERA WEALTH SERVICES, LLC
520 Kirkland Way
STE 102
KIRKLAND, WA 98033

CETERA WEALTH SERVICES, LLC

Broker Qualifications

Employment 2 of 2, continued

LAS VEGAS, NV

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

Principal/Supervisory Exams

	Exam	Category	Date
B	General Securities Principal Examination	Series 24	01/12/2001

General Industry/Product Exams

	Exam	Category	Date
B	Securities Industry Essentials Examination	SIE	10/01/2018
B	General Securities Representative Examination	Series 7	03/09/1998
B	Investment Company Products/Variable Contracts Representative Examination	Series 6	03/11/1991

State Securities Law Exams

	Exam	Category	Date
IA	Uniform Investment Adviser Law Examination	Series 65	01/22/1998
B	Uniform Securities Agent State Law Examination	Series 63	03/11/1991

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 **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
IA	11/2022 - 09/2025	AVANTAX ADVISORY SERVICES	104556	LAS VEGAS, NV
B	11/2022 - 09/2025	AVANTAX INVESTMENT SERVICES, INC.	13686	LAS VEGAS, NV
B	05/2017 - 11/2022	INDEPENDENT FINANCIAL GROUP, LLC	7717	Kirkland, WA
IA	05/2017 - 11/2022	INDEPENDENT FINANCIAL GROUP, LLC	7717	Kirkland, WA
B	10/2013 - 05/2017	PLANMEMBER SECURITIES CORPORATION	11869	KIRKLAND, WA
IA	10/2013 - 05/2017	PLANMEMBER SECURITIES CORPORATION	11869	KIRKLAND, WA
B	05/2005 - 10/2013	VERITRUST FINANCIAL, LLC	106594	KIRKLAND, WA
IA	05/2005 - 10/2013	VERITRUST FINANCIAL, LLC	106594	KIRKLAND, WA
B	01/2004 - 05/2005	MULTI-FINANCIAL SECURITIES CORPORATION	10299	GREENWOOD VILLAGE, CO
IA	01/2004 - 05/2005	MULTI-FINANCIAL SECURITIES CORPORATION	10299	KIRKLAND, WA
IA	03/1998 - 01/2004	VESTAX SECURITIES CORPORATION	10332	KIRKLAND, WA
B	01/1998 - 01/2004	VESTAX SECURITIES CORPORATION	10332	HUDSON, OH
B	10/1997 - 01/1998	JEFFERSON PILOT SECURITIES CORPORATION	3870	FORT WAYNE, IN
B	01/1996 - 10/1997	JEFFERSON-PILOT INVESTOR SERVICES, INC.	5178	FORT WAYNE, IN
B	03/1995 - 01/1996	EQUITY PROGRAMS CORPORATION	6100	SAN DIEGO, CA
B	03/1991 - 03/1995	INVESTORS BROKERAGE SERVICES, INC.	4257	ELGIN, IL

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
09/2025 - Present	CETERA INVESTMENT ADVISERS LLC	INVESTMENT ADVISOR REPRESENTATIVE	Y	SCHAUMBURG, IL, United States
09/2025 - Present	CETERA WEALTH SERVICES, LLC	REGISTERED REPRESENTATIVE	Y	KIRKLAND, WA, United States
08/2022 - Present	My Financial Compass, LLC	Manager	Y	Las Vegas, NV, United States
04/1989 - Present	US CAPITAL STRATEGIES, INC.	PRESIDENT	Y	KIRKLAND, WA, United States
11/2022 - 09/2025	AVANTAX ADVISORY SERVICES	INVESTMENT ADVISOR REPRESENTATIVE	Y	KIRKLAND, WA, United States
11/2022 - 09/2025	AVANTAX INVESTMENT SERVICES, INC.	REGISTERED REPRESENTATIVE	Y	KIRKLAND, WA, United States
11/2022 - 09/2025	Avantax Insurance Agency and/or Avantax Insurance Services	Insurance Agent	Y	Kirkland, WA, United States
08/2022 - 05/2023	MY FINANCIAL COMPASS, LLC	Manager	Y	LAS VEGAS, NV, United States
11/2022 - 11/2022	AVANTAX INSURANCE AGENCY, LLC	INSURANCE AGENT	Y	KIRKLAND, WA, United States
05/2017 - 11/2022	INDEPENDENT FINANCIAL GROUP, LLC	REGISTERED REPRESENTATIVE	Y	KIRKLAND, WA, United States
09/1998 - 06/2022	PESALORO, LTD	OWNER	N	KIRKLAND, WA, United States
10/2013 - 05/2017	PLANMEMBER SECURITIES CORPORATION	REGISTERED REPRESENTATIVE	Y	CARPINTERIA, CA, United States

Registration and Employment History

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) U.S CAPITAL STRATEGIES, INC.; POSITION: President NATURE: Operating company for my securities and insurance related financial services business. INVESTMENT RELATED: Yes NUMBER OF HOURS: 30 SECURITIES TRADING HOURS: 20 START DATE: 04/24/1989; ADDRESS: 520 Kirkland Way, STE 102, Kirkland WA 98033; Meet with clients, analyze financial needs, provide recommendations for clients. Ongoing service to clients.

2) AVANTAX INSURANCE AGENCY AND/OR AVANTAX INSURANCE SERVICES; POSITION: Insurance Agent NATURE: Insurance sales through Avantax Insurance Agency. INVESTMENT RELATED: Yes NUMBER OF HOURS: 10 SECURITIES TRADING HOURS: 10 START DATE: 11/01/2022; ADDRESS: 520 Kirkland Way, STE 102, Kirkland WA 98033; Meet with clients to identify insurance needs, evaluate suitable options, present and apply for various insurance related products and services.

3) MY FINANCIAL COMPASS, LLC
POSITION: Manager NATURE: Operating company for my securities and insurance related financial services business. INVESTMENT RELATED: Yes NUMBER OF HOURS: 10 SECURITIES TRADING HOURS: 8 START DATE: 08/03/2022
ADDRESS: 3164 Bel Air Dr, Las Vegas NV 89109, United States
DESCRIPTION: Meet with clients, analyze financial needs, provide recommendations for clients. Ongoing service to clients.

End of Report

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