

BrokerCheck Report

SEAN PATRICK CASEY

CRD# 2156290

<u>Section Title</u>	<u>Page(s)</u>
Report Summary	1
Broker Qualifications	2 - 4
Registration and Employment History	6 - 7



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.

**SEAN P. CASEY**

CRD# 2156290

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

IA CETERA INVESTMENT ADVISERS LLC
 400 1ST ST S STE 300
 ST CLOUD, MN 56301
 CRD# 105644
 Registered with this firm since: 01/07/2022

B CETERA INVESTMENT SERVICES LLC
 400 1ST ST S STE 300
 ST CLOUD, MN 56301
 CRD# 15340
 Registered with this firm since: 01/29/2004

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
- 3 U.S. states and territories

This broker has passed:

- 2 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):

- B GUARANTY BROKERAGE SERVICES, INC.**
 CRD# 23302
 ST. CLOUD, MN
 04/2009 - 12/2010
- B BANCNORTH INVESTMENT GROUP, INC.**
 CRD# 31299
 ST. CLOUD, MN
 04/2009 - 11/2009
- B IFMG SECURITIES, INC.**
 CRD# 14416
 PURCHASE, NY
 11/2002 - 02/2004

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 3 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	Minnesota	Investment Adviser Representative	Approved	09/13/2022
IA	South Carolina	Investment Adviser Representative	Approved	01/07/2022

Branch Office Locations

400 1ST ST S STE 300
ST CLOUD, MN 56301

BLUFFTON, SC

Employment 2 of 2

Firm Name: **CETERA INVESTMENT SERVICES LLC**

Main Office Address: **400 FIRST ST. S. SUITE 300
ST. CLOUD, MN 56301**

Firm CRD#: **15340**

	SRO	Category	Status	Date
B	FINRA	Invest. Co and Variable Contracts	Approved	01/29/2004
B	FINRA	Investment Co./Variable Contracts Prin	Approved	01/29/2004



Broker Qualifications

Employment 2 of 2, continued

SRO	Category	Status	Date
B FINRA	General Securities Representative	Approved	07/25/2020
B FINRA	General Securities Principal	Approved	01/25/2021

U.S. State/ Territory	Category	Status	Date
B Georgia	Agent	Approved	01/29/2004
B Minnesota	Agent	Approved	09/13/2022
B South Carolina	Agent	Approved	01/29/2004

Branch Office Locations

CETERA INVESTMENT SERVICES LLC

400 1ST ST S STE 300
ST CLOUD, MN 56301



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

Principal/Supervisory Exams

Exam	Category	Date
B General Securities Principal Examination	Series 24	01/24/2021
B Investment Company Products/Variable Contracts Principal Examination	Series 26	01/27/1995

General Industry/Product Exams

Exam	Category	Date
B General Securities Representative Examination	Series 7TO	07/25/2020
B Securities Industry Essentials Examination	SIE	10/01/2018
B Investment Company Products/Variable Contracts Representative Examination	Series 6	07/16/1991

State Securities Law Exams

Exam	Category	Date
B IA Uniform Combined State Law Examination	Series 66	01/07/2022
B Uniform Securities Agent State Law Examination	Series 63	01/12/1994

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 **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
B 04/2009 - 12/2010	GUARANTY BROKERAGE SERVICES, INC.	23302	ST. CLOUD, MN
B 04/2009 - 11/2009	BANCNORTH INVESTMENT GROUP, INC.	31299	ST. CLOUD, MN
B 11/2002 - 02/2004	IFMG SECURITIES, INC.	14416	PURCHASE, NY
B 07/1999 - 09/2002	INVEST FINANCIAL CORPORATION	12984	APPLETON, WI
B 11/1998 - 06/1999	FSC SECURITIES CORPORATION	7461	ATLANTA, GA
B 07/1996 - 08/1998	NATIONWIDE INVESTMENT SERVICES CORPORATION	7110	COLUMBUS, OH
B 07/1991 - 07/1996	FINANCIAL HORIZONS SECURITIES CORPORATION	20221	

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
01/2022 - Present	CETERA INVESTMENT ADVISERS LLC	INVESTMENT ADVISOR REPRESENTATIVE	Y	SAINT CLOUD, MN, United States
01/2004 - Present	CETERA INVESTMENT SERVICES LLC	REGIONAL MANAGER	Y	MARIETTA, GA, 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)ROSE HILL PLANTATION HOME OWNERS ASSOCIATION; BOARD MEMBER; NOT INVESTMENT RELATED; NO COMPENSATION; 4 HOURS/MONTH

Registration and Employment History



Other Business Activities, continued

2)OWNER OF RENTAL PROPERTY

End of Report



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