

BrokerCheck Report

TRACY BENJAMIN VEILLETTE

CRD# 2227000

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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.

TRACY B. VEILLETTE

CRD# 2227000

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

IA **CETERA INVESTMENT ADVISERS LLC**
101 BROADWAY STREET WEST SUITE
103
MAPLE GROVE, MN 55369
CRD# 105644
Registered with this firm since: 06/29/2023

B **CETERA WEALTH SERVICES, LLC**
101 BROADWAY STREET WEST SUITE
103
MAPLE GROVE, MN 55369
CRD# 13572
Registered with this firm since: 12/07/2021

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
- 19 U.S. states and territories

This broker has passed:

- 0 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):**

IA **CETERA ADVISOR NETWORKS LLC**
CRD# 13572
EL SEGUNDO, CA
12/2021 - 06/2023

IA **VOYA FINANCIAL ADVISORS, INC.**
CRD# 2882
WINDSOR, CT
01/2014 - 12/2021

B **VOYA FINANCIAL ADVISORS, INC.**
CRD# 2882
MINNEAPOLIS, MN
01/2011 - 12/2021

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 19 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	06/29/2023
IA Texas	Investment Adviser Representative	Approved	06/29/2023

Branch Office Locations

101 BROADWAY STREET WEST SUITE 103
MAPLE GROVE, MN 55369

NEW BRIGHTON, MN

NEW BRIGHTON, MN

Employment 2 of 2

Firm Name: **CETERA WEALTH SERVICES, LLC**

Main Office Address: **2301 ROSECRANS AVE #5100
EL SEGUNDO, CA 90245**

Firm CRD#: **13572**

Broker Qualifications



Employment 2 of 2, continued

SRO	Category	Status	Date
B FINRA	General Securities Representative	Approved	12/07/2021
B FINRA	Invest. Co and Variable Contracts	Approved	12/07/2021

U.S. State/ Territory	Category	Status	Date
B Alabama	Agent	Approved	01/03/2023
B Arizona	Agent	Approved	12/07/2021
B California	Agent	Approved	12/07/2021
B Colorado	Agent	Approved	01/06/2022
B Florida	Agent	Approved	12/07/2021
B Illinois	Agent	Approved	12/07/2021
B Kansas	Agent	Approved	02/13/2023
B Michigan	Agent	Approved	01/06/2022
B Minnesota	Agent	Approved	12/07/2021
B New Jersey	Agent	Approved	12/07/2021
B New York	Agent	Approved	12/07/2021
B North Carolina	Agent	Approved	12/07/2021
B Ohio	Agent	Approved	01/02/2026
B Oklahoma	Agent	Approved	01/09/2026
B Pennsylvania	Agent	Approved	12/07/2021
B South Carolina	Agent	Approved	12/07/2021
B Texas	Agent	Approved	12/07/2021
B Virginia	Agent	Approved	02/12/2024

Broker Qualifications



Employment 2 of 2, continued

U.S. State/ Territory	Category	Status	Date
B Wisconsin	Agent	Approved	12/07/2021

Branch Office Locations

CETERA WEALTH SERVICES, LLC
101 BROADWAY STREET WEST SUITE 103
MAPLE GROVE, MN 55369

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

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 General Securities Representative Examination	Series 7	05/12/1997
B Investment Company Products/Variable Contracts Representative Examination	Series 6	05/01/1992

State Securities Law Exams

Exam	Category	Date
IA Uniform Investment Adviser Law Examination	Series 65	10/13/1999
B Uniform Securities Agent State Law Examination	Series 63	03/22/1994

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 **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 12/2021 - 06/2023	CETERA ADVISOR NETWORKS LLC	13572	EL SEGUNDO, CA
IA 01/2014 - 12/2021	VOYA FINANCIAL ADVISORS, INC.	2882	MINNEAPOLIS, MN
B 01/2011 - 12/2021	VOYA FINANCIAL ADVISORS, INC.	2882	MINNEAPOLIS, MN
B 10/1993 - 01/2011	ING FINANCIAL ADVISERS, LLC	34815	MINNEAPOLIS, MN
B 12/1997 - 09/2000	AETNA FINANCIAL SERVICES, INC.	13255	HARTFORD, CT
B 05/1992 - 10/1993	AETNA LIFE INSURANCE AND ANNUITY COMPANY	13256	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
06/2023 - Present	CETERA INVESTMENT ADVISERS LLC	INVESTMENT ADVISOR REPRESENTATIVE	Y	SCHAUMBURG, IL, United States
12/2021 - Present	CETERA WEALTH SERVICES, LLC	REGISTERED REPRESENTATIVE	Y	EL SEGUNDO, CA, United States
09/2014 - 12/2021	VOYA FINANCIAL ADVISORS	REG REP	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;

Registration and Employment History



Other Business Activities, continued

ADDRESS: SAME AS REGISTERED LOCATION;
NATURE OF BUSINESS: FIXED INSURANCE;
START DATE: 11/2022;
APX NUMBER OF HOURS PER WEEK: LESS THAN 1;
APX NUMBER OF HOURS DURING TRADING HOURS: LESS THAN 1;
POSITION/TITLE/RELATIONSHIP: INSURANCE AGENT;
BRIEF DESCRIPTION OF DUTIES: SELLS FIXED ANNUITIES;

2. NAME OF OTHER BUSINESS: TRACY VEILLETTE

INVESTMENT RELATED: NO
ADDRESS: 3519 EDWARD ST NE SAINT ANTHONY MN 55418
NATURE OF BUSINESS: FINANCIAL SERVICES
START DATE: 01/2020
POSITION/TITLE/RELATIONSHIP: OWNER
APX NUMBER OF HOURS PER WEEK: 40
APX NUMBER OF HOURS DURING TRADING HOURS: 40
BRIEF DESCRIPTION OF DUTIES: LANDORD DUTIES

End of Report



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