BrokerCheck Report

THOMAS PAUL BELLOS II

CRD# 2333813

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.
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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.

THOMAS P. BELLOS II

CRD# 2333813

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

IA **CETERA INVESTMENT ADVISERS LLC**
34034 Eight Mile Road, Suite 102
Farmington Hills, MI 48335
CRD# 105644
Registered with this firm since: 06/29/2023

B **CETERA WEALTH SERVICES, LLC**
50 W BIG BEAVER RD SUITE 600
TROY, MI 48084
CRD# 13572
Registered with this firm since: 06/09/2021

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
- 13 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
06/2021 - 06/2023

IA **VOYA FINANCIAL ADVISORS, INC.**
CRD# 2882
WINDSOR, CT
04/2017 - 06/2021

B **VOYA FINANCIAL ADVISORS, INC.**
CRD# 2882
TROY, MI
05/2013 - 06/2021

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 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	Michigan	Investment Adviser Representative	Approved	06/29/2023
IA	Texas	Investment Adviser Representative	Restricted Approval	06/29/2023

Branch Office Locations

34034 Eight Mile Road, Suite 102
Farmington Hills, MI 48335

757 S. Main St, Plymouth
Plymouth, MI 48170

50 W BIG BEAVER RD SUITE 600
TROY, MI 48084

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	06/09/2021
B	FINRA	Invest. Co and Variable Contracts	Approved	06/09/2021

	U.S. State/ Territory	Category	Status	Date
B	Florida	Agent	Approved	06/10/2021
B	Georgia	Agent	Approved	12/22/2021
B	Illinois	Agent	Approved	07/19/2023
B	Maryland	Agent	Approved	01/04/2022
B	Michigan	Agent	Approved	06/09/2021
B	Missouri	Agent	Approved	05/05/2022
B	New York	Agent	Approved	06/09/2021
B	North Carolina	Agent	Approved	10/31/2024
B	South Carolina	Agent	Approved	07/08/2024
B	Tennessee	Agent	Approved	06/09/2021
B	Texas	Agent	Approved	01/04/2022
B	Virginia	Agent	Approved	06/09/2021
B	Wisconsin	Agent	Approved	12/04/2024

Branch Office Locations

CETERA WEALTH SERVICES, LLC
50 W BIG BEAVER RD SUITE 600
TROY, MI 48084

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	08/14/2018
B	Investment Company Products/Variable Contracts Representative Examination	Series 6	05/12/2011

State Securities Law Exams

	Exam	Category	Date
IA	Uniform Investment Adviser Law Examination	Series 65	03/27/2017
B	Uniform Securities Agent State Law Examination	Series 63	05/27/2011

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
IA	06/2021 - 06/2023	CETERA ADVISOR NETWORKS LLC	13572	EL SEGUNDO, CA
IA	04/2017 - 06/2021	VOYA FINANCIAL ADVISORS, INC.	2882	TROY, MI
B	05/2013 - 06/2021	VOYA FINANCIAL ADVISORS, INC.	2882	TROY, MI
B	10/2012 - 04/2013	THE O.N. EQUITY SALES COMPANY	2936	STERLING HEIGHTS, MI
B	05/2011 - 10/2012	NEW ENGLAND SECURITIES	615	SOUTHFIELD, MI
B	05/2000 - 02/2004	OPPENHEIMER & CO. INC.	249	NEW YORK, NY
B	07/1998 - 05/1999	ABN AMRO INVESTMENT SERVICES, INC.	20373	CHICAGO, IL
B	09/1997 - 07/1998	STANDARD BROKERAGE SERVICES, INC.	14387	

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
06/2021 - Present	CETERA WEALTH SERVICES, LLC	REGISTERED REPRESENTATIVE	Y	EL SEGUNDO, CA, United States
08/2013 - Present	HORIZON WEALTH MANAGEMENT	ASSOCIATE	Y	TROY, MI, United States
09/2014 - 06/2021	VOYA FINANCIAL ADVISORS	REGISTERED REPRESENTATIVE	Y	TROY, MI, 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) NAME OF ENTITY: INDEPENDENT INSURANCE AGENT; Yes; 5455 CORPORATE DR STE 210; TROY; MI; 48098; FIXED INSURANCE SALES; INDEPENDENT INSURANCE AGENT; 5/30/2013; 160; 160; SALES OF FIXED INSURANCE PRODUCTS|

2) NAME OF ENTITY: HORIZON ADVISERS; Yes; 5455 CORPORATE DR STE 210; TROY; MI; 48098; FINANCIAL SERVICES/DBA; INVESTMENT EXECUTIVE; 4/1/2016; 160; 160; SALE OF FIXED INSURANCE,SECURITIES,INVESTMENT PRODUCTS/GENERAL CPA PRACTICE. Horizon Adviser University (HAU) is part of the Horizon Adviser DBA, and the purpose of HAU is to educate. We keep our approved videos, podcast, blogs, etc. all here in one central place|

3) NAME OF ENTITY: HORIZON WEALTH MANAGEMENT; Yes; 5455 CORPORATE DR STE 210; TROY; MI; 48098; FINANCIAL SERVICES/DBA; ASSOCIATE; 8/21/2013; 40; 40; INSURANCE & INVESTMENT SERVICES|

4) NAME OF ENTITY: EMPTY BOWLS DETROIT; No; 11745 ROSA BANKS BLVD; DETROIT; MI; 48206; NON-PROFIT ORGANIZATION; MEMBER; 9/1/2016; 6; 0; PREPPING BOWLS,ATTEND PLANNING MEEETINGS.|

5) NAME OF OTHER BUSINESS: KOS ISLAND, LLC;
INVESTMENT RELATED: YES;
ADDRESS: 755 W. BIG BEAVER RD STE 2020R TROY, MI 48084;
NATURE OF BUSINESS: EXPENSE MANAGEMENT;
START DATE: 01/2024;
POSITION/TITLE/RELATIONSHIP: MEMBER;
APX NUMBER OF HOURS PER WEEK: 0.25;
APX NUMBER OF HOURS DURING TRADING HOURS: 0;
BRIEF DESCRIPTION OF DUTIES: DBA FOR ACCOUNTING PURPOSES ONLY;

End of Report

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