

BrokerCheck Report

Mark Wojtowicz

CRD# 2613904

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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.

Mark Wojtowicz

CRD# 2613904

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

IA CETERA INVESTMENT ADVISERS LLC

Glastonbury, CT
CRD# 105644

Registered with this firm since: 06/29/2023

B CETERA FINANCIAL SPECIALISTS LLC

2301 ROSECRANS AVE #5100
EL SEGUNDO, CA 90245
CRD# 10358

Registered with this firm since: 02/07/2025

B CETERA INVESTMENT SERVICES LLC

2301 ROSECRANS AVE #5100
EL SEGUNDO, CA 90245
CRD# 15340

Registered with this firm since: 02/07/2025

B CETERA ADVISORS LLC

2301 ROSECRANS AVE #5100
EL SEGUNDO, CA 90245
CRD# 10299

Registered with this firm since: 11/01/2023

This broker is currently registered with FINRA or a national securities exchange at more than four brokerage firms. Please see the Registration History section of the report for a list of these brokerage firms.

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
- 1 U.S. state or territory

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):

IA CETERA ADVISOR NETWORKS LLC

CRD# 13572
EL SEGUNDO, CA
07/2022 - 06/2023

B ASSETMARK BROKERAGE, LLC

CRD# 169804
CONCORD, CA
02/2022 - 05/2022

IA ASSETMARK, INC.

CRD# 109018
CONCORD, CA
02/2022 - 05/2022

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 1 U.S. state or territory through his or her employer.

Employment 1 of 5

Firm Name: **CETERA ADVISORS LLC**
 Main Office Address: **5299 DTC BLVD #800
GREENWOOD VILLAGE, CO 80111**
 Firm CRD#: **10299**

SRO	Category	Status	Date
B FINRA	General Securities Principal	Approved	11/01/2023
B FINRA	General Securities Representative	Approved	11/01/2023
B FINRA	Municipal Securities Principal	Approved	11/01/2023
B FINRA	Municipal Securities Representative	Approved	11/01/2023

Branch Office Locations

CETERA ADVISORS LLC
 2301 ROSECRANS AVE #5100
 EL SEGUNDO, CA 90245

Employment 2 of 5

Firm Name: **CETERA FINANCIAL SPECIALISTS LLC**
 Main Office Address: **1450 AMERICAN LANE
6TH FLOOR, SUITE #650
SCHAUMBURG, IL 60173**
 Firm CRD#: **10358**

SRO	Category	Status	Date
B FINRA	General Securities Principal	Approved	02/07/2025



Broker Qualifications

Employment 2 of 5, continued

SRO	Category	Status	Date
B FINRA	General Securities Representative	Approved	02/07/2025
B FINRA	Municipal Securities Principal	Approved	02/07/2025
B FINRA	Municipal Securities Representative	Approved	02/07/2025

Branch Office Locations

CETERA FINANCIAL SPECIALISTS LLC

2301 ROSECRANS AVE #5100
EL SEGUNDO, CA 90245

Employment 3 of 5

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 Connecticut	Investment Adviser Representative	Approved	06/29/2023

Branch Office Locations

Glastonbury, CT

2301 ROSECRANS AVE #5100
EL SEGUNDO, CA 90245

Employment 4 of 5

Firm Name: **CETERA INVESTMENT SERVICES LLC**

Broker Qualifications



Employment 4 of 5, continued

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

Firm CRD#: **15340**

SRO	Category	Status	Date
B FINRA	General Securities Principal	Approved	02/07/2025
B FINRA	General Securities Representative	Approved	02/07/2025
B FINRA	Municipal Securities Principal	Approved	02/07/2025
B FINRA	Municipal Securities Representative	Approved	02/07/2025

Branch Office Locations

CETERA INVESTMENT SERVICES LLC
2301 ROSECRANS AVE #5100
EL SEGUNDO, CA 90245

Employment 5 of 5

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	07/05/2022
B FINRA	General Securities Representative	Approved	07/05/2022
B FINRA	Municipal Securities Principal	Approved	07/05/2022
B FINRA	Municipal Securities Representative	Approved	07/05/2022

U.S. State/ Territory	Category	Status	Date
B Connecticut	Agent	Approved	07/05/2022

Broker Qualifications



Employment 5 of 5, continued

Branch Office Locations

CETERA WEALTH SERVICES, LLC

2301 ROSECRAWS AVE #5100
EL SEGUNDO, CA 90245

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
Municipal Securities Principal Examination	Series 53	06/10/2003
General Securities Principal Examination	Series 24	06/29/2001

General Industry/Product Exams

Exam	Category	Date
Municipal Securities Representative Examination	Series 52TO	01/02/2023
Securities Industry Essentials Examination	SIE	10/01/2018
General Securities Representative Examination	Series 7	10/16/1995

State Securities Law Exams

Exam	Category	Date
Uniform Investment Adviser Law Examination	Series 65	02/04/2003
Uniform Securities Agent State Law Examination	Series 63	10/23/1995

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 07/2022 - 06/2023	CETERA ADVISOR NETWORKS LLC	13572	GLASTONBURY, CT
B 02/2022 - 05/2022	ASSETMARK BROKERAGE, LLC	169804	CONCORD, CA
IA 02/2022 - 05/2022	ASSETMARK, INC.	109018	Glastonbury, CT
IA 05/2019 - 01/2022	MML INVESTORS SERVICES, LLC	10409	SPRINGFIELD, MA
B 05/2019 - 01/2022	MML INVESTORS SERVICES, LLC	10409	SPRINGFIELD, MA
IA 02/2015 - 03/2019	VOYA FINANCIAL ADVISORS, INC.	2882	GLASTONBURY, CT
B 06/2014 - 03/2019	VOYA FINANCIAL ADVISORS, INC.	2882	WINDSOR, CT
IA 08/2013 - 03/2014	GLOBALT INVESTMENTS	168405	ATLANTA, GA
IA 04/2013 - 08/2013	GLOBALT INC	106430	ATLANTA, GA
B 11/2012 - 12/2012	ALPS DISTRIBUTORS, INC.	16853	DENVER, CO
IA 03/2012 - 09/2012	GLOBALT INC	106430	ATLANTA, GA
IA 05/2004 - 12/2011	LOCKWOOD ADVISORS INC	106108	MALVERN, PA
B 05/2004 - 12/2011	PERSHING LLC	7560	KING OF PRUSSIA, PA
B 05/2000 - 04/2004	AXA ADVISORS, LLC	6627	NEW YORK, NY
B 06/1999 - 01/2000	ALLIANCE FUND DISTRIBUTORS, INC.	14549	NASHVILLE, TN
B 06/1996 - 12/1998	ALLIANCE FUND DISTRIBUTORS, INC.	14549	NASHVILLE, TN
B 04/1996 - 05/1996	MURIEL SIEBERT & CO., INC.	5376	NEW YORK, NY
B 10/1995 - 11/1995	LEW LIEBERBAUM & CO., INC.	17341	GARDEN CITY, NY

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
10/2023 - Present	CETERA ADVISORS LLC	REGISTERED REPRESENTATIVE/PRINCIPAL	Y	ST. CLOUD, MN, United States
06/2023 - Present	CETERA INVESTMENT ADVISERS LLC	INVESTMENT ADVISOR REPRESENTATIVE	Y	SCHAUMBURG, IL, United States
05/2022 - Present	CETERA WEALTH SERVICES, LLC	REGISTERED REPRESENTATIVE	Y	Glastonbury, CT, United States
01/2022 - 05/2022	AssetMark Brokerage, LLC	Business Development Consultant	Y	Glastonbury, CT, United States
01/2022 - 05/2022	AssetMark Financial, Inc	Business Development Consultant	Y	Glastonbury, CT, United States
04/2019 - 12/2021	MML Investors Services, LLC	Reg Rep	Y	Springfield, MA, United States
04/2019 - 12/2021	MassMutual	Investment Product Consultant	Y	Springfield, MA, United States
03/2019 - 04/2019	UNEMPLOYED	UNEMPLOYED	N	Glastonbury, CT, United States
09/2014 - 03/2019	VOYA FINANCIAL ADVISORS	VICE PRESIDENT, RETAIL ADVISORY BUSINESS DEVELOPMENT	Y	DES MOINES, IA, 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.

No information reported.

End of Report



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