

## BrokerCheck Report

# SCOTT AMBROSE WINSLOW

CRD# 2847965

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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.

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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](http://brokercheck.finra.org)



For additional information about the contents of this report, please refer to the User Guidance or [www.finra.org/brokercheck](http://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.](http://www.finra.org)



## SCOTT A. WINSLOW

CRD# 2847965

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

**IA CETERA INVESTMENT ADVISERS LLC**  
 219 RACINE DR  
 STE A-1  
 WILMINGTON, NC 28403  
 CRD# 105644  
 Registered with this firm since: 03/21/2024

**B CETERA ADVISORS LLC**  
 219 RACINE DR  
 STE A-1  
 WILMINGTON, NC 28403  
 CRD# 10299  
 Registered with this firm since: 09/05/2013

## 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
- 18 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 ADVISORS LLC**  
 CRD# 10299  
 GREENWOOD VILLAGE, IL  
 09/2013 - 03/2024
- IA FIRST CITIZENS INVESTOR SERVICES, INC.**  
 CRD# 44430  
 RALEIGH, NC  
 12/2007 - 09/2013
- B FIRST CITIZENS INVESTOR SERVICES, INC.**  
 CRD# 44430  
 WILMINGTON, NC  
 09/2001 - 09/2013

### 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 18 U.S. states and territories through his or her employer.**

### Employment 1 of 2

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 Representative	Approved	09/05/2013
B	FINRA	Invest. Co and Variable Contracts	Approved	09/05/2013

	U.S. State/ Territory	Category	Status	Date
B	Arizona	Agent	Approved	06/08/2018
B	Colorado	Agent	Approved	12/04/2025
B	Florida	Agent	Approved	09/05/2013
B	Georgia	Agent	Approved	09/22/2020
B	Idaho	Agent	Approved	12/07/2017
B	Indiana	Agent	Approved	07/21/2015
B	Maine	Agent	Approved	02/06/2026
B	Maryland	Agent	Approved	10/16/2017
B	Massachusetts	Agent	Approved	09/25/2020
B	New York	Agent	Approved	01/02/2024
B	North Carolina	Agent	Approved	09/05/2013



## Broker Qualifications

### Employment 1 of 2, continued

	U.S. State/ Territory	Category	Status	Date
<b>B</b>	Ohio	Agent	Approved	08/26/2020
<b>B</b>	Oregon	Agent	Approved	05/18/2016
<b>B</b>	Rhode Island	Agent	Approved	12/10/2019
<b>B</b>	South Carolina	Agent	Approved	09/05/2013
<b>B</b>	Tennessee	Agent	Approved	08/29/2025
<b>B</b>	Texas	Agent	Approved	05/08/2015
<b>B</b>	Virginia	Agent	Approved	09/05/2013

### Branch Office Locations

#### CETERA ADVISORS LLC

219 RACINE DR  
STE A-1  
WILMINGTON, NC 28403

### Employment 2 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
<b>IA</b>	North Carolina	Investment Adviser Representative	Approved	03/21/2024
<b>IA</b>	Texas	Investment Adviser Representative	Approved	03/21/2024

## Broker Qualifications



### Employment 2 of 2, continued Branch Office Locations

219 RACINE DR  
STE A-1  
WILMINGTON, NC 28403

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## 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>B</b> Securities Industry Essentials Examination	SIE	10/01/2018
<b>B</b> General Securities Representative Examination	Series 7	11/12/2007
<b>B</b> Investment Company Products/Variable Contracts Representative Examination	Series 6	02/07/1997

### State Securities Law Exams

Exam	Category	Date
<b>IA</b> Uniform Investment Adviser Law Examination	Series 65	12/18/2007
<b>B</b> Uniform Securities Agent State Law Examination	Series 63	02/13/1997

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/](http://www.finra.org/brokerqualifications/registeredrep/).



## Broker Qualifications

## Professional Designations

This section details that the representative has reported **1** professional designation(s).

### Chartered Financial Consultant

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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 09/2013 - 03/2024	CETERA ADVISORS LLC	10299	GREENWOOD VILLAGE, IL
IA 12/2007 - 09/2013	FIRST CITIZENS INVESTOR SERVICES, INC.	44430	WILMINGTON, NC
B 09/2001 - 09/2013	FIRST CITIZENS INVESTOR SERVICES, INC.	44430	WILMINGTON, NC
B 01/1998 - 08/2001	CAPITAL BROKERAGE CORPORATION	10465	GLEN ALLEN, VA
B 10/1997 - 11/1997	CHUBB SECURITIES CORPORATION	3870	FORT WAYNE, IN
B 02/1997 - 10/1997	JEFFERSON-PILOT INVESTOR SERVICES, INC.	5178	FORT WAYNE, IN

### 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
03/2024 - Present	CETERA INVESTMENT ADVISORS LLC	INVESTMENT ADVISOR REPRESENTATIVE	Y	SCHAUMBURG, IL, United States
09/2013 - Present	CETERA ADVISORS LLC	REGISTERED REPRESENTATIVE	Y	DENVER, CO, United States
09/2013 - Present	NABELL WINSLOW INSURANCE	OWNER	Y	WILMINGTON, NC, United States
09/2013 - Present	NABELL WINSLOW INVESTMENTS & WEALTH MANAGEMENT	OWNER	Y	WILMINGTON, NC, United States
09/2013 - Present	NABELL WINSLOW LIFE INSURANCE	OWNER	Y	WILMINGTON, NC, United States
09/2013 - Present	NABELL WINSLOW WEALTH MANAGEMENT	OWNER	Y	WILMINGTON, NC, 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 DBA: NABELL WINSLOW, INVESTMENT RELATED, SAME AS REGISTERED LOCATION, 09/2013, OVER 40 HRS/WK, DURING TRADING HRS, PART OWNER - RR, IAR
- 2 LIFE SETTLEMENT BUSINESS, INVESTMENT RELATED, SAME AS REGISTERED LOCATION, LIFE SETTLEMENTS, 09/2013, LESS THAN 1 HR/WK - VARIES DURING TRADING HOURS, INSURANCE AGENT, SELLS LIFE SETTLEMENTS THROUGH WELCOME FUNDS, INC
- 3 FIXED INSURANCE WITH VARIOUS COMPANIES, INVESTMENT RELATED, SAME AS REGISTERED LOCATION, 09/2013, 1 HR/WK - VARIES DURING TRADING HRS, INSURANCE AGENT - SELLS LIFE, HEALTH, DISABILITY, LONG-TERM CARE & ANNUITIES
- 4 PROPERTY OWNER, NOT INVESTMENT RELATED, FARMLAND LOCATED IN NC, 2007, LESS THAN 1 HR/WK - NOT DURING TRADING HRS, 100% OWNER, RENTS FARMLAND TO A FARMER
- 5 PARTNERS SQUARE LLC, INVESTMENT RELATED; SAME AS REGISTERED LOCATION; INSURANCE MARKETING ORGANIZATION; 7/2015; 5-10 HRS/WK DURING SECURITY TRADING HRS; OWNER
- 6 MASONBORO CAPITAL PROPERTIES, INVESTMENT RELATED: NO ADDRESS: 1015 ASHES DR SUITE 100 WILMINGTON NC 28405, NATURE OF BUSINESS: PURCHASE BUILDING TO DOMICILE NABELL WINSLOW, 2/2016, APX # OF HRS/WK: 1, TITLE: OWNER
- 7 SAWW HOLDINGS LLC, NOT INVESTMENT RELATED, SAME AS RESIDENTIAL LOCATION NATURE OF BUSINESS: REAL ESTATE HOLDING, 11/2016, APX # OF HRS/WK: 1, POSITION: 100% OWNER, DUTIES: SET UP FOR ASSET PROTECTION FOR REAL ESTATE
- 8 CMAP HOLDINGS, LLC., INVESTMENT RELATED: NO, SAME AS RESIDENTIAL LOCATION, NATURE: REAL ESTATE HOLDING, 11/2016, APX # OF HRS/WK: 1, POSITION: OWNER DUTIES: SET UP FOR ASSET PROTECTION FOR REAL ESTATE
- 9 TREE FARM PROPERTIES LLC INVESTMENT RELATED: NO SAME AS RESIDENTIAL LOCATION NATURE OF BUSINESS: REAL ESTATE HOLDING 4/2018 APX # OF HRS/WK: 1 POSITION: OWNER DUTIES: GENERAL DUTIES
- 10 BUTLER ROAD PROPERTIES, LLC INVESTMENT RELATED: NO SAME AS RESIDENTIAL LOCATION NATURE OF BUSINESS: REAL ESTATE HOLDING START: 4/2018 APX # OF HRS/WK: 1 POSITION: OWNER DUTIES: GENERAL DUTIES
- 11 MASONBORO CAPITAL GROUP, LLC INVESTMENT RELATED, SAME AS REGISTERED LOCATION, FINANCIAL SERVICES, STARTED 09/2013, RR APX # OF HRS/WK: 50, 32.5 DURING TRADING HRS; DUTIES: DBA FOR FINANCIAL SERVICES
- 12 THE AMERICAN COLLEGE OF FINANCIAL SERVICES; INVESTMENT RELATED: NO; 630 ALLENDALE ROAD SUITE 400 KING OF PRUSSIA, PA 19406; NATURE OF BUSINESS: BOARD; 1/2021; TITLE: BOARD MEMBER; APX # OF HRS/WK: 1; DUTIES: SUPPORT COLLEGE MISSION, PROVIDE INSIGHT ON CURRICULUM AND INITIATIVES
- 13 UNIVERSITY OF MOUNT OLIVE; INVESTMENT RELATED: NO; MOUNT OLIVE NC 28365; NATURE OF BUSINESS: BOARD; 12/2020; TITLE: DIRECTOR; APX # OF HRS/WK: VARIES; DUTIES: FUNDRAISING, STEWARDSHIP FOR UNIVERSITY
- 14 AICFC; INVESTMENT RELATED: NO; 472 BARTON POST RD, ORANGE CT 66477; NATURE OF BUSINESS: ADVISORY BOARD; 09/2021; TITLE: BOARD MEMBER; APX # OF HRS/WK: 1-3; DUTIES: OFFER ADVICE ON CURRICULUM AND GROWTH
- 15 NABELL WINSLOW INVESTMENTS & WEALTH MANAGEMENT; INVESTMENT RELATED, SAME AS REGISTERED LOCATION, FINANCIAL SERVICES, 09/2013, OWNER; APX # HRS/WK/DURING TRADING HRS: 40/32.5; DBA FOR FINANCIAL SERVICES;
- 16 NABELL WINSLOW WEALTH MANAGEMENT; INVESTMENT RELATED, SAME AS REGISTERED LOCATION, FINANCIAL SERVICES, 09/2013; OWNER; APX # HRS/WK/DURING TRADING HRS: 40/32.5; DBA FOR FINANCIAL SERVICES;
- 17 NABELL WINSLOW INSURANCE; INVESTMENT RELATED, SAME AS REGISTERED LOCATION, FINANCIAL SERVICES, 09/2013, OWNER; APX # HRS/WK/DURING TRADING HRS: 40/32.5; DBA FOR FINANCIAL SERVICES;
- 18 NABELL WINSLOW LIFE INSURANCE; INVESTMENT RELATED, SAME AS REGISTERED LOCATION, FINANCIAL SERVICES, 09/2013, OWNER; APX # HRS/WK/DURING TRADING HRS: 40/32.5; DBA FOR FINANCIAL SERVICES;
- 19 THE AMERICAN COLLEGE O. GRANUM CENTER FOR FINANCIAL SECURITY; NO; 630 ALLENDALE RD KING OF PRUSSIA, PA 19406; NON PROF; 06/2023; CHAIRMAN; VARIES; EXPLORE AND ADDRESS ISSUES IN WEALTH PLANNING INDUSTRY;

## Registration and Employment History



### Other Business Activities, continued

20)THE AMERICAN COLLEGE OF FINANCIAL SERVICES;NO;630 ALLENDALE RD KING OF PRUSSIA, PA 19406;NON  
PROF;09/2023;FINSERV AMBASSADOR;VARIES;PROMOTING COLLEGE AND FINANCIAL LITERACY;

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## End of Report



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