

## BrokerCheck Report

### JOSHUA ERIC REIDER

CRD# 2921674

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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](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).

**JOSHUA E. REIDER**

CRD# 2921674

**Currently employed by and registered with the following Firm(s):****IA CAMBRIDGE INVESTMENT RESEARCH ADVISORS, INC.**

919 Reserve Drive, Suite 129  
Roseville, CA 95678  
CRD# 134139  
Registered with this firm since: 10/04/2019

**B CAMBRIDGE INVESTMENT RESEARCH, INC.**

919 Reserve Drive, Suite 129  
Roseville, CA 95678  
CRD# 39543  
Registered with this firm since: 10/04/2019

**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
- 2 General Industry/Product Exams
- 2 State Securities Law Exams

**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**

**Registration History****This broker was previously registered with the following securities firm(s):****IA FSC SECURITIES CORPORATION**

CRD# 7461  
ATLANTA, GA  
08/2013 - 10/2019

**B FSC SECURITIES CORPORATION**

CRD# 7461  
SACRAMENTO, CA  
08/2013 - 10/2019

**B ONEAMERICA SECURITIES, INC.**

CRD# 4173  
ROSEVILLE, CA  
05/2009 - 08/2013

## 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: **CAMBRIDGE INVESTMENT RESEARCH ADVISORS, INC.**

Main Office Address: **1776 PLEASANT PLAIN RD.  
FAIRFIELD, IA 52556-8757**

Firm CRD#: **134139**

U.S. State/ Territory	Category	Status	Date
IA California	Investment Adviser Representative	Approved	10/04/2019
IA Texas	Investment Adviser Representative	Restricted Approval	01/03/2022

### Branch Office Locations

919 Reserve Drive, Suite 129  
Roseville, CA 95678

Rocklin, CA

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### Employment 2 of 2

Firm Name: **CAMBRIDGE INVESTMENT RESEARCH, INC.**

Main Office Address: **1776 PLEASANT PLAIN RD.  
FAIRFIELD, IA 52556-8757**

Firm CRD#: **39543**

SRO	Category	Status	Date
B FINRA	General Securities Representative	Approved	10/04/2019

## Broker Qualifications



### Employment 2 of 2, continued

U.S. State/ Territory	Category	Status	Date
B Alabama	Agent	Approved	04/27/2021
B Arizona	Agent	Approved	10/04/2019
B California	Agent	Approved	10/04/2019
B Colorado	Agent	Approved	01/03/2022
B Georgia	Agent	Approved	07/12/2023
B Idaho	Agent	Approved	04/27/2021
B Kansas	Agent	Approved	05/09/2022
B Nevada	Agent	Approved	10/04/2019
B New Mexico	Agent	Approved	04/27/2021
B North Carolina	Agent	Approved	10/19/2023
B Oregon	Agent	Approved	09/01/2020
B Pennsylvania	Agent	Approved	12/05/2025
B South Carolina	Agent	Approved	04/27/2021
B Tennessee	Agent	Approved	09/25/2024
B Texas	Agent	Approved	01/03/2022
B Utah	Agent	Approved	04/27/2021
B Virginia	Agent	Approved	10/04/2019
B Washington	Agent	Approved	10/04/2019

### Branch Office Locations

**CAMBRIDGE INVESTMENT RESEARCH, INC.**  
919 Reserve Drive, Suite 129

## Broker Qualifications



### Employment 2 of 2, continued

Roseville, CA 95678

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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, 2 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	11/06/2006

### State Securities Law Exams

Exam	Category	Date
B IA Uniform Combined State Law Examination	Series 66	04/16/2007
B Uniform Securities Agent State Law Examination	Series 63	09/22/1997

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 **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 08/2013 - 10/2019	FSC SECURITIES CORPORATION	7461	SACRAMENTO, CA
IA 08/2013 - 10/2019	FSC SECURITIES CORPORATION	7461	SACRAMENTO, CA
B 05/2009 - 08/2013	ONEAMERICA SECURITIES, INC.	4173	ROSEVILLE, CA
IA 05/2009 - 08/2013	ONEAMERICA SECURITIES, INC.	4173	ROSEVILLE, CA
IA 06/2008 - 03/2009	BANC OF AMERICA INVESTMENT SERVICES, INC.	16361	PALO ALTO, CA
B 06/2008 - 03/2009	BANC OF AMERICA INVESTMENT SERVICES, INC.	16361	PALO ALTO, CA
IA 04/2007 - 06/2008	CITIGROUP GLOBAL MARKETS INC.	7059	MENLO PARK, CA
B 03/2007 - 06/2008	CITIGROUP GLOBAL MARKETS INC.	7059	MENLO PARK, CA
B 08/2005 - 11/2006	CITADEL DERIVATIVES GROUP LLC	116797	MIAMI, FL
B 09/1997 - 09/1997	AMERICAN EXPRESS FINANCIAL ADVISORS INC.	6363	MINNEAPOLIS, MN
B 09/1997 - 09/1997	IDS LIFE INSURANCE COMPANY	6321	MINNEAPOLIS, MN

## 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
10/2019 - Present	Cambridge Investment Research Advisors, Inc.	Investment Advisor Representative	Y	Fairfield, IA, United States
10/2019 - Present	Cambridge Investment Research, Inc.	Registered Representative	Y	Fairfield, IA, United States

# Registration and Employment History



## Employment History, continued

Employment	Employer Name	Position	Investment Related	Employer Location
04/2009 - Present	AMERICAN UNITED LIFE	AGENT	N	SAN JOSE, CA, United States
08/2013 - 10/2019	FSC SECURITIES CORPORATION	REGISTERED REP	Y	ROSEVILLE, CA, 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. JOSHUA REIDER, INDEPENDENT INSURANCE AGENT, 919 RESERVE DRIVE, SUITE 129, ROSEVILLE CA 95678, FOR VARIOUS INDEPENDENT INSURANCE COMPANIES. INV REL - 3/01/2006 - 20 HR/MO - 0 HR/MO TRADING.
2. CIRA, 1776 PLEASANT PLAIN RD, FAIRFIELD, IA, AS ADVISORY REP OF A RIA. INV REL-20/WK-20/TRADING. 10/04/19.
3. THE REIDER GROUP INC., 919 RESERVE DRIVE, SUITE 129, ROSEVILLE CA 95678, 03/2023, OWNER, SHELL COMPANY, NIR, 2 HR/MO - 0 HR TRADING.
4. NETT WORTH FINANCIAL GROUP, 919 Reserve Drive, Suite 129, Roseville CA 95678, 10/2019, Investment Advisor Representative, DBA Name, INV REL, 160 HR/MO, 120 HR/MO TRADING.

## End of Report



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