BrokerCheck Report

Travis Andrew Teague

CRD# 3123021

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

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.

Travis A. Teague

CRD# 3123021

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

IA **CETERA INVESTMENT ADVISERS LLC**
3101 SOUTH 70TH STREET
FORT SMITH, AR 72903
CRD# 105644
Registered with this firm since: 09/05/2025

B **CETERA WEALTH SERVICES, LLC**
710 Merriman Street
Conway, AR 72032
CRD# 13572
Registered with this firm since: 09/05/2025

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
- 20 U.S. states and territories

This broker has passed:

- 3 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 **AVANTAX ADVISORY SERVICES**
CRD# 104556
DALLAS, TX
10/2019 - 09/2025

B **AVANTAX INVESTMENT SERVICES, INC.**
CRD# 13686
FORT SMITH, AR
10/2019 - 09/2025

IA **1ST GLOBAL ADVISORS INC**
CRD# 111133
DALLAS, TX
10/2005 - 10/2019

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 20 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	Arkansas	Investment Adviser Representative	Approved	09/05/2025
IA	Texas	Investment Adviser Representative	Restricted Approval	09/05/2025

Branch Office Locations

3101 SOUTH 70TH STREET
FORT SMITH, AR 72903

209 WEST MAIN STREET
SUITE 2
RUSSELLVILLE, AR 72801

209 WEST MAIN STREET
SUITE 2
RUSSELLVILLE, AR 72801

Employment 2 of 2

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

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

Broker Qualifications

Employment 2 of 2, continued

Firm CRD#: **13572**

	SRO	Category	Status	Date
B	FINRA	General Securities Principal	Approved	09/05/2025
B	FINRA	General Securities Representative	Approved	09/05/2025
B	FINRA	Municipal Securities Principal	Approved	09/05/2025
B	FINRA	Municipal Securities Representative	Approved	09/05/2025
B	FINRA	Registered Options Principal	Approved	09/05/2025

	U.S. State/ Territory	Category	Status	Date
B	Alabama	Agent	Approved	09/18/2025
B	Arizona	Agent	Approved	09/05/2025
B	Arkansas	Agent	Approved	09/05/2025
B	California	Agent	Approved	09/05/2025
B	Colorado	Agent	Approved	09/05/2025
B	District of Columbia	Agent	Approved	09/18/2025
B	Florida	Agent	Approved	09/05/2025
B	Kansas	Agent	Approved	09/05/2025
B	Louisiana	Agent	Approved	09/05/2025
B	Mississippi	Agent	Approved	09/05/2025
B	Missouri	Agent	Approved	09/05/2025
B	North Carolina	Agent	Approved	09/05/2025
B	Ohio	Agent	Approved	09/05/2025
B	Oklahoma	Agent	Approved	09/05/2025

Broker Qualifications

Employment 2 of 2, continued

	U.S. State/ Territory	Category	Status	Date
B	Pennsylvania	Agent	Approved	09/05/2025
B	South Dakota	Agent	Approved	09/18/2025
B	Tennessee	Agent	Approved	09/05/2025
B	Texas	Agent	Approved	09/05/2025
B	Utah	Agent	Approved	09/18/2025
B	Virginia	Agent	Approved	09/05/2025

Branch Office Locations

CETERA WEALTH SERVICES, LLC
710 Merriman Street
Conway, AR 72032

CETERA WEALTH SERVICES, LLC
4109 East Johnson Avenue
Suite B
Jonesboro, AR 72405

CETERA WEALTH SERVICES, LLC
209 West Main Street
Suite 2
Russellville, AR 72801

CETERA WEALTH SERVICES, LLC
200 West Capitol Ave.
Suite 1700
Little Rock, AR 72201

CETERA WEALTH SERVICES, LLC
3101 SOUTH 70TH STREET
FORT SMITH, AR 72903

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

Principal/Supervisory Exams

	Exam	Category	Date
B	Municipal Securities Principal Examination	Series 53	05/28/2003
B	General Securities Principal Examination	Series 24	03/11/2002
B	Registered Options Principal Examination	Series 4	08/31/2000

General Industry/Product Exams

	Exam	Category	Date
B	Municipal Securities Representative Examination	Series 52TO	09/25/2025
B	Securities Industry Essentials Examination	SIE	10/01/2018
B	General Securities Representative Examination	Series 7	11/23/1998

State Securities Law Exams

	Exam	Category	Date
B IA	Uniform Combined State Law Examination	Series 66	08/18/2005
B	Uniform Securities Agent State Law Examination	Series 63	01/12/1999

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	10/2019 - 09/2025	AVANTAX ADVISORY SERVICES	104556	Russellville, AR
B	10/2019 - 09/2025	AVANTAX INVESTMENT SERVICES, INC.	13686	FORT SMITH, AR
IA	10/2005 - 10/2019	1ST GLOBAL ADVISORS INC	111133	FORT SMITH, AR
B	09/2004 - 10/2019	1ST GLOBAL CAPITAL CORP.	30349	FORT SMITH, AR
IA	04/2008 - 10/2008	BEALL BARCLAY ADVISORS, LLC	133278	FORT SMITH, AR
B	01/2001 - 09/2004	STERNE, AGEE & LEACH, INC.	791	BIRMINGHAM, AL
B	12/1998 - 02/2001	JOHN R. TAYLOR FINANCIAL GROUP, INC.	39312	BIRMINGHAM, AL

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
09/2025 - Present	CETERA INVESTMENT ADVISERS LLC	INVESTMENT ADVISOR REPRESENTATIVE	Y	SCHAUMBURG, IL, United States
09/2025 - Present	CETERA WEALTH SERVICES, LLC	REGISTERED REPRESENTATIVE	Y	Conway, AR, United States
10/2018 - Present	LANDMARK FINANCIAL, LLC	FINANCIAL ADVISOR	Y	FORT SMITH, AR, United States
10/2019 - 09/2025	AVANTAX INVESTMENT SERVICES, INC.	Registered Representative	Y	FORT SMITH, AR, United States
10/2019 - 09/2025	Avantax Advisory Services	Investment Adviser Representative	Y	Fort Smith, TX, United States
01/2005 - 09/2025	Avantax Insurance Services	INSURANCE AGENT	Y	FORT SMITH, AR, United States

Registration and Employment History

Employment History, continued

Employment	Employer Name	Position	Investment Related	Employer Location
09/2005 - 10/2019	1ST GLOBAL ADVISORS INC.	INVESTMENT ADVISER REPRESENTATIVE	Y	FORT SMITH, AR, United States
09/2004 - 10/2019	1ST GLOBAL CAPITAL CORP.	FINANCIAL ADVISOR	Y	FORT SMITH, AR, United States
09/2004 - 10/2018	BEALL BARCLAY & COMPANY, PLC	FINANCIAL ADVISOR	N	FORT SMITH, AR, 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) LANDMARK FINANCIAL, LLC
POSITION: BMS Advisor NATURE: BMS Advisor INVESTMENT RELATED: Yes NUMBER OF HOURS: 310 SECURITIES TRADING HOURS: 248 START DATE: 10/01/2018 ADDRESS: 3101 S 70th St, Fort Smith AR 72903, DESCRIPTION: BMS Advisor

2) LANDMARK FINANCIAL MANAGEMENT, LLC
POSITION: Advisor NATURE: Entity is the wealth management division of Landmark Financial, LLC in the state of Arizona. it is jointly owned by Landmark Financial, LLC and David Monheit through his wealth management entity. The entity name of Landmark Financial, LLC was already taken in AZ so we could not use this name. INVESTMENT RELATED: Yes NUMBER OF HOURS: 5 SECURITIES TRADING HOURS: 5 START DATE: 01/01/2021 ADDRESS: 12455 West Bell Rd, Surprise AZ 85378, DESCRIPTION: Financial Advisor / Member

3) COMPASS PROPERTIES, LLC
POSITION: Owner NATURE: LLC created for the purchase of current office building from previous retired CPA partners INVESTMENT RELATED: Yes NUMBER OF HOURS: 1 SECURITIES TRADING HOURS: 0 START DATE: 10/01/2021
ADDRESS: 3101 South 70th Street, Fort Smith AR 72903, DESCRIPTION: Passive Owner - I don't do anything related to the operations of this OBA. I signed my name to be liable for a portion of the debt on the property.

4) TTNT HOLDINGS, LLC
POSITION: Member / Owner NATURE: Passive Real Estate for a commercial building INVESTMENT RELATED: No NUMBER OF HOURS: 1 SECURITIES TRADING HOURS: 0 START DATE: 08/21/2023
ADDRESS: 2711 Parkway Ln, Van Buren AR 72956, United States
DESCRIPTION: No duties - I just own the commercial building for potential rent or selling later on

End of Report

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