

BrokerCheck Report

STACI CHAMBERLAIN

CRD# 3202644

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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.

STACI CHAMBERLAIN

CRD# 3202644

This broker is not currently registered.

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 not currently registered.

This broker has passed:

- 2 Principal/Supervisory Exams
- 4 General Industry/Product Exams
- 2 State Securities Law Exams

Registration History

This broker was previously registered with the following securities firm(s):

- B CETERA ADVISOR NETWORKS LLC**
CRD# 13572
LAS VEGAS, NV
10/2019 - 12/2022
- B FIRST ALLIED SECURITIES, INC.**
CRD# 32444
LAS VEGAS, NV
06/2005 - 10/2019
- B ROUND HILL SECURITIES, INC.**
CRD# 35223
ALAMO, CA
01/2001 - 06/2005

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**

Investment Adviser Representative Information

The information below represents the individual's record as a broker. For details on this individual's record as an investment adviser representative, visit the SEC's Investment Adviser Public Disclosure website at

<https://www.adviserinfo.sec.gov>

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 broker is not currently registered.



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, 4 general industry/product exams, and 2 state securities law exams.

Principal/Supervisory Exams

Exam	Category	Date
B General Securities Sales Supervisor - General Module Examination	Series 10	10/16/2006
B General Securities Sales Supervisor - Options Module Examination	Series 9	04/17/2006

General Industry/Product Exams

Exam	Category	Date
B Operations Professional Examination	Series 99TO	01/02/2023
B Securities Industry Essentials Examination	SIE	10/01/2018
B General Securities Representative Examination	Series 7	02/22/2001
B Investment Company Products/Variable Contracts Representative Examination	Series 6	06/19/1999

State Securities Law Exams

Exam	Category	Date
B IA Uniform Combined State Law Examination	Series 66	11/07/2003
B Uniform Securities Agent State Law Examination	Series 63	06/03/1999

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
B 10/2019 - 12/2022	CETERA ADVISOR NETWORKS LLC	13572	LAS VEGAS, NV
B 06/2005 - 10/2019	FIRST ALLIED SECURITIES, INC.	32444	LAS VEGAS, NV
B 01/2001 - 06/2005	ROUND HILL SECURITIES, INC.	35223	ALAMO, CA
B 02/2000 - 12/2000	PFS INVESTMENTS INC.	10111	DULUTH, GA
B 06/1999 - 12/1999	PFS INVESTMENTS INC.	10111	DULUTH, GA

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	CETERA ADVISOR NETWORKS	REGISTERED REP/ INVESTMENT ADVISOR REP	Y	EL SEGUNDO, CA, United States
10/2019 - Present	CWM, LLC	INVESTMENT ADVISORY REPRESENTATIVE	Y	LAS VEGAS, NV, United States
10/2018 - Present	RUBY RE, LLC	MEMBER	N	LAS VEGAS, NV, United States
08/2015 - Present	LEGACY PLANNING & INVESMENT MGMT DBA DIAMOND MAX	OWNER	N	LAS VEGAS, NV, United States
09/2015 - 02/2020	LAKESIDE WEALTH MANAGEMENT GROUP, LLC	INVESTMENT ADVISORY REPRESENTATIVE	Y	LAS VEGAS, NV, United States
07/2012 - 10/2019	FIRST ALLIED ADVISORY SERVICES, INC.	MASS TRANSFER - INVESTMENT ADVISOR REPRESENTATIVE	Y	CHESTERFIELD, MO, United States



Registration and Employment History

Employment History, continued

Employment	Employer Name	Position	Investment Related	Employer Location
06/2005 - 10/2019	FIRST ALLIED SECURITIES, INC.	Mass Transfer	Y	SAN DIEGO, 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) NAME OF OTHER BUSINESS: CWM, LLC

INVESTMENT RELATED: YES

ADDRESS: SAME AS REGISTERED LOCATION

NATURE OF BUSINESS: SEC REGISTERED INVESTMENT ADVISORY FIRM THAT PROVIDES PORTFOLIO MANAGEMENT, FINANCIAL PLANNING, ESTATE PLANNING, AND ADDITIONAL ADVISORY SERVICES.

POSITION/TITLE/RELATIONSHIP: INVESTMENT ADVISORY REPRESENTATIVE

START DATE: 10/2019

APX NUMBER OF HOURS PER WEEK: 40

APX NUMBER OF HOURS DURING TRADING HOURS: 32.5

BRIEF DESCRIPTION OF DUTIES: INVESTMENT ADVISORY REPRESENTATIVE

(2) NAME OF OTHER BUSINESS: FIXED INSURANCE WITH VARIOUS COMPANIES

INVESTMENT RELATED: YES

ADDRESS: SAME AS REGISTERED LOCATION

NATURE OF BUSINESS: FIXED INSURANCE

START DATE: 10/2019

APX NUMBER OF HOURS PER WEEK: VARIES

APX NUMBER OF HOURS DURING TRADING HOURS: VARIES

POSITION/TITLE/RELATIONSHIP: INSURANCE AGENT

BRIEF DESCRIPTION OF DUTIES: SELLS LIFE AND ANNUITIES

(3) NAME OF OTHER BUSINESS: RUBY RE, LLC

INVESTMENT RELATED: NO

ADDRESS: SAME AS REGISTERED LOCATION

NATURE OF BUSINESS: COMMERCIAL REAL ESTATE OFFICE CONDO

START DATE: 10/2018

POSITION/TITLE/RELATIONSHIP: MEMBER

APX NUMBER OF HOURS PER WEEK: 1

APX NUMBER OF HOURS DURING TRADING HOURS: 1

BRIEF DESCRIPTION OF DUTIES: OWN THE PROPERTY JOINTLY, MANAGE THIS COMMERCIAL REAL ESTATE AND MANAGE THE FINANCES THEREOF



Registration and Employment History

Other Business Activities, continued

(4) NAME OF OTHER BUSINESS: STACI CHAMBERLAIN

INVESTMENT RELATED: NO

ADDRESS: SALT LAKE CITY, UT

NATURE OF BUSINESS: POA

START DATE: 10/2018

POSITION/TITLE/RELATIONSHIP: POA FOR FAMILY MEMBER

APX NUMBER OF HOURS PER WEEK: 1 PER MONTH

APX NUMBER OF HOURS DURING TRADING HOURS: MINIMAL

BRIEF DESCRIPTION OF DUTIES: POA FOR FAMILY MEMBER

(5) NAME OF OTHER BUSINESS: LEGACY PLANNING & INVESTMENT MGMT DBA DIAMOND WEALTH MANAGEMENT

INVESTMENT RELATED: YES

ADDRESS: SAME AS REGISTERED LOCATION

NATURE OF BUSINESS: FINANCIAL SERVICES

START DATE: 09/2007

POSITION/TITLE/RELATIONSHIP: OWNER

APX NUMBER OF HOURS PER WEEK: 40

APX NUMBER OF HOURS DURING TRADING HOURS: 40

BRIEF DESCRIPTION OF DUTIES: OWNER / ADVISOR

(6) NAME OF OTHER BUSINESS: LEGACY PLANNING & INVESTMENT MGMT DBA DIAMOND MAX

INVESTMENT RELATED: NO

ADDRESS: SAME AS REGISTERED LOCATION

NATURE OF BUSINESS: BUSINESS EXIT PLANNING

START DATE: 08/2015

POSITION/TITLE/RELATIONSHIP: OWNER

APX NUMBER OF HOURS PER WEEK: 1

APX NUMBER OF HOURS DURING TRADING HOURS: 1

BRIEF DESCRIPTION OF DUTIES: ANALYSIS AND EXIT PLANNING STRATEGIES FOR BUSINESS OWNERS ;

(7) NAME OF OTHER BUSINESS: DIAMOND DIABLO AZ LLC ;

INVESTMENT RELATED: NO ;

ADDRESS: SAME AS REGISTERED LOCATION ;

NATURE OF BUSINESS: REAL ESTATE

POSITION/TITLE/RELATIONSHIP: OWNER ;

START DATE: 09/2020

APX NUMBER OF HOURS PER WEEK: 1 ;

APX NUMBER OF HOURS DURING TRADING HOURS: 1 ;

BRIEF DESCRIPTION OF DUTIES: REVIEW BOOKS SUBMITTED BY PROPERTY MGMT CO ;

(8) NAME OF OTHER BUSINESS: DIAMOND FLAME NV LLC;

INVESTMENT RELATED: NO;

ADDRESS: 7850 W FLAMINGO UNIT 2141 LAS VEGAS, NV 89117;

Registration and Employment History



Other Business Activities, continued

NATURE OF BUSINESS: REAL ESTATE RENTAL;

START DATE: 3/2021;

POSITION/TITLE/RELATIONSHIP: OWNER;

APX NUMBER OF HOURS PER WEEK: 1;

APX NUMBER OF HOURS DURING TRADING HOURS: 1;

BRIEF DESCRIPTION OF DUTIES: REVIEW BOOKS SUBMITTED BY PROPERTY MANAGEMENT COMPANY;

(9) NAME OF OTHER BUSINESS: 3519 FREMONT CONDO ASSOCIATION;

INVESTMENT RELATED: NO;

ADDRESS: 3519 N. FERMENT ST CHICAGO, IL 60657;

NATURE OF BUSINESS: CONDO ASSOCIATION;

START DATE: 6/2022;

POSITION/TITLE/RELATIONSHIP: PRESIDENT;

APX NUMBER OF HOURS PER WEEK: LESS THAN 1 ;

APX NUMBER OF HOURS DURING TRADING HOURS: LESS THAN 1 ;

BRIEF DESCRIPTION OF DUTIES: MANAGING ASSOCIATION, PAY BILLS , ASSEMBLE MEETINGS AND MINUTES;

End of Report



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