BrokerCheck Report

John Surace

CRD# 4006689

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.

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CRD# 4006689

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

IA **CETERA INVESTMENT ADVISERS LLC**
1300 VETERANS MEMORIAL HWY
SUITE 120
HAUPPAUGE, NY 11788
CRD# 105644
Registered with this firm since: 09/05/2025

B **CETERA WEALTH SERVICES, LLC**
1300 Veterans Memorial Hwy
Suite 120
Hauppauge, NY 11788
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
- 23 U.S. states and territories

This broker has passed:

- 1 Principal/Supervisory Exam
- 3 General Industry/Product Exams
- 1 State Securities Law Exam

Registration History

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

IA **AVANTAX ADVISORY SERVICES**
CRD# 104556
DALLAS, TX
11/2023 - 09/2025

B **AVANTAX INVESTMENT SERVICES, INC.**
CRD# 13686
Hauppauge, NY
11/2023 - 09/2025

B **OSAIC WEALTH, INC.**
CRD# 23131
HAUPPAUGE, NY
09/2021 - 11/2023

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 23 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	New York	Investment Adviser Representative	Approved	09/05/2025
IA	Texas	Investment Adviser Representative	Restricted Approval	09/05/2025

Branch Office Locations

1300 VETERANS MEMORIAL HWY
SUITE 120
HAUPPAUGE, NY 11788

888 VETERANS MEMORIAL HIGHWAY
SUITE 220
HAUPPAUGE, NY 11788

Employment 2 of 2

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

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

Firm CRD#: **13572**

Broker Qualifications

Employment 2 of 2, continued

	SRO	Category	Status	Date
B	FINRA	General Securities Principal	Approved	09/05/2025
B	FINRA	General Securities Representative	Approved	09/05/2025
B	FINRA	Invest. Co and Variable Contracts	Approved	09/05/2025

	U.S. State/ Territory	Category	Status	Date
B	Arizona	Agent	Approved	09/05/2025
B	California	Agent	Approved	09/05/2025
B	Colorado	Agent	Approved	09/05/2025
B	Connecticut	Agent	Approved	09/05/2025
B	Delaware	Agent	Approved	09/05/2025
B	Florida	Agent	Approved	09/05/2025
B	Georgia	Agent	Approved	09/05/2025
B	Illinois	Agent	Approved	09/05/2025
B	Kansas	Agent	Approved	09/05/2025
B	Maine	Agent	Approved	09/05/2025
B	Maryland	Agent	Approved	09/05/2025
B	Massachusetts	Agent	Approved	09/05/2025
B	New Jersey	Agent	Approved	09/05/2025
B	New York	Agent	Approved	09/05/2025
B	North Carolina	Agent	Approved	09/05/2025
B	Ohio	Agent	Approved	09/05/2025
B	Pennsylvania	Agent	Approved	09/05/2025

Broker Qualifications

Employment 2 of 2, continued

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

Branch Office Locations

CETERA WEALTH SERVICES, LLC
1300 Veterans Memorial Hwy
Suite 120
Hauppauge, NY 11788

CETERA WEALTH SERVICES, LLC
888 Veterans Memorial Highway
Suite 220
Hauppauge, NY 11788

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 1 principal/supervisory exam, 3 general industry/product exams, and 1 state securities law exam.

Principal/Supervisory Exams

	Exam	Category	Date
B	General Securities Principal Examination	Series 24	11/21/2013

General Industry/Product Exams

	Exam	Category	Date
B	Securities Industry Essentials Examination	SIE	10/01/2018
B	General Securities Representative Examination	Series 7	07/19/2013
B	Investment Company Products/Variable Contracts Representative Examination	Series 6	09/03/1999

State Securities Law Exams

	Exam	Category	Date
B	Uniform Securities Agent State Law Examination	Series 63	09/30/1999

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 **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	11/2023 - 09/2025	AVANTAX ADVISORY SERVICES	104556	Hauppauge, NY
B	11/2023 - 09/2025	AVANTAX INVESTMENT SERVICES, INC.	13686	Hauppauge, NY
B	09/2021 - 11/2023	OSAIC WEALTH, INC.	23131	HAUPPAUGE, NY
IA	09/2021 - 11/2023	OSAIC WEALTH, INC.	23131	HAUPPAUGE, NY
IA	04/2021 - 09/2021	CETERA INVESTMENT ADVISERS LLC	105644	MELVILLE, NY
B	08/2020 - 09/2021	CETERA INVESTMENT SERVICES LLC	15340	MELVILLE, NY
B	05/2012 - 09/2020	EQUITABLE ADVISORS, LLC	6627	WOODBURY, NY
B	09/2008 - 05/2012	SIGNATOR INVESTORS, INC.	468	HAUPPAUGE, NY
B	10/2005 - 09/2008	PARK AVENUE SECURITIES LLC	46173	BOHEMIA, NY
B	09/2005 - 10/2005	SIGNATOR INVESTORS, INC.	468	BOSTON, MA
B	01/2002 - 08/2005	HORNOR, TOWNSEND & KENT, INC.	4031	CONSHOHOCKEN, PA
B	09/1999 - 01/2002	METLIFE SECURITIES INC.	14251	SPRINGFIELD, MA
B	09/1999 - 01/2002	METROPOLITAN LIFE INSURANCE COMPANY	4095	NEW YORK, NY

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

Registration and Employment History

Employment History, continued

Employment	Employer Name	Position	Investment Related	Employer Location
09/2025 - Present	CETERA WEALTH SERVICES, LLC	REGISTERED REPRESENTATIVE	Y	Hauppauge, NY, United States
04/2025 - Present	CINCINATTI LIFE	FINANCIAL ADVISOR	Y	HAUPPAUGE, NY, United States
07/2021 - Present	Insurance Sales- Equitable, Mass Mutual & Annuco	Insurance Agent	Y	Hauppauge, NY, United States
07/2021 - Present	Insurance Sales- Equitable, Mass Mutual and Annuco	insurance agent	Y	hauppauge, NY, United States
06/2021 - Present	S&P Associates of LI IncdbaS&PFinancialServices&dbaS& PFinancial	President	Y	Hauppauge, NY, United States
06/2021 - Present	S&P Associates of LI, INC. dba S&P Financial Services and DBA S&	President	Y	HAUPPAUGE, NY, United States
11/2023 - 09/2025	AVANTAX INSURANCE AGENGY AND/OR AVANTAX INSURANCE SERVICES	INSURANCE AGENT	Y	HAUPPAUGE, NY, United States
11/2023 - 09/2025	Avantax Advisory Services	Investment Advisor Representative	Y	Hauppauge, NY, United States
11/2023 - 09/2025	Avantax Insurance Agency, LLC	Insurance Agent	Y	Hauppauge, NY, United States
11/2023 - 09/2025	Avantax Investment Services Inc.	Registered Representative	Y	Hauppauge, NY, United States
09/2021 - 11/2023	OSAIC WEALTH, INC.	REGISTERED REPRESENTATIVE	Y	HAUPPAUGE, NY, United States
03/2021 - 09/2021	CETERA INVESTMENT ADVISERS LLC	INVESTMENT ADVISER REPRESENTATIVE	Y	CHEEKTOWAGA, NY, United States
08/2020 - 09/2021	CETERA INVESTMENT SERVICES LLC	REGISTERED REP	Y	CHEEKTOWAGA, NY, United States
05/2012 - 08/2020	AXA ADVISORS, LLC	FINANCIAL PROFESSIONAL	Y	NEW YORK, NY, United States
05/2012 - 08/2020	EQUITABLE ADVISORS, LLC	SVP	Y	NEW YORK, NY, 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)S&P ASSOCIATES OF LI, INC. DBA S&P FINANCIAL SERVICES AND DBA S&P FINANCIAL
POSITION: President NATURE: we offer clients, investment management, retirement planning, estate planning,and overall financial planning through S&P Financial Services. INVESTMENT RELATED: Yes NUMBER OF HOURS: 140 SECURITIES TRADING HOURS: 100 START DATE: 06/02/2021
ADDRESS: 1300 VETERANS HIGHWAY, SUITE 120, HAUPPAUGE NY 11788, United States
DESCRIPTION: meet with clients, review investment performance,manage client relationships, review and approve trades, monitor models and rebalance

2)INSURANCE SALES- EQUITABLE, MASS MUTUAL AND ANNUCO
POSITION: insurance agent NATURE: sale of fixed life insurance to retail and commercial customers INVESTMENT RELATED: No NUMBER OF HOURS: 2 SECURITIES TRADING HOURS: 2 START DATE: 07/20/2021
ADDRESS: 1300 Veterans Highway, Suite 120, hauppauge NY 11788, United States
DESCRIPTION: promote the sale of fixed life insurance, prospect clients, process paperwork?

3) FINEST RETIREMENT SERVICES
POSITION: financal advisor NATURE: To provide financial services INVESTMENT RELATED: No NUMBER OF HOURS: 40 SECURITIES TRADING HOURS: 40 START DATE: 06/12/2024
ADDRESS: 1300 VETERANS MEMORIAL HWY, SUITE 120, HAUPPAUGE NY 11788, United States
DESCRIPTION: To provide financial services to clients of finest retirement services

4) CINCINATTI LIFE
POSITION: FINANCIAL ADVISOR NATURE: FIXED LIFE INSURANCE INVESTMENT RELATED: No NUMBER OF HOURS: 5 SECURITIES TRADING HOURS: 5 START DATE: 04/02/2025
ADDRESS: 1300 VETERANS MEMORIAL HWY, SUITE 120, HAUPPAUGE NY 11788, United States
DESCRIPTION: FIXED LIFE INSURANCE ONLY

End of Report

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