

BrokerCheck Report

JAMES HARDIN SHOEMAKER

CRD# 422451

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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.

**JAMES H. SHOEMAKER**

CRD# 422451

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

IA CETERA INVESTMENT ADVISERS LLC
 2176 WEST ST
 STE 100
 GERMANTOWN, TN 38138
 CRD# 105644
 Registered with this firm since: 08/10/2023

B CETERA WEALTH SERVICES, LLC
 2176 WEST STREET
 SUITE 100
 GERMANTOWN, TN 38138
 CRD# 13572
 Registered with this firm since: 08/10/2023

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
- 26 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 SECURIAN FINANCIAL SERVICES, INC.
 CRD# 15296
 ST PAUL, MN
 02/2003 - 08/2023

B SECURIAN FINANCIAL SERVICES, INC.
 CRD# 15296
 GERMANTOWN, TN
 08/1990 - 08/2023

IA SHOEMAKER ADVISORY CORPORATION
 CRD# 111322
 GERMANTOWN, TN
 06/2005 - 12/2007

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? **Yes**

The following types of disclosures have been reported:

Type	Count
Regulatory Event	1
Customer Dispute	1



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 26 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	Tennessee	Investment Adviser Representative	Approved	08/10/2023
IA	Texas	Investment Adviser Representative	Restricted Approval	08/10/2023

Branch Office Locations

2176 WEST ST
STE 100
GERMANTOWN, TN 38138

Employment 2 of 2

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

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

Firm CRD#: **13572**

	SRO	Category	Status	Date
B	FINRA	General Securities Principal	Approved	08/10/2023
B	FINRA	General Securities Representative	Approved	08/10/2023

Broker Qualifications



Employment 2 of 2, continued

	U.S. State/ Territory	Category	Status	Date
B	Alabama	Agent	Approved	10/17/2023
B	Arizona	Agent	Approved	03/27/2024
B	Arkansas	Agent	Approved	08/10/2023
B	California	Agent	Approved	08/10/2023
B	Colorado	Agent	Approved	08/10/2023
B	Florida	Agent	Approved	08/14/2023
B	Georgia	Agent	Approved	08/10/2023
B	Illinois	Agent	Approved	08/10/2023
B	Indiana	Agent	Approved	08/10/2023
B	Kentucky	Agent	Approved	08/10/2023
B	Louisiana	Agent	Approved	10/23/2023
B	Maryland	Agent	Approved	08/10/2023
B	Mississippi	Agent	Approved	08/10/2023
B	Missouri	Agent	Approved	08/10/2023
B	New Mexico	Agent	Approved	08/10/2023
B	New York	Agent	Approved	08/12/2023
B	North Carolina	Agent	Approved	08/10/2023
B	Ohio	Agent	Approved	08/10/2023
B	Oklahoma	Agent	Approved	08/10/2023
B	Oregon	Agent	Approved	08/10/2023
B	Pennsylvania	Agent	Approved	07/12/2024

Broker Qualifications



Employment 2 of 2, continued

	U.S. State/ Territory	Category	Status	Date
B	South Carolina	Agent	Approved	08/10/2023
B	Tennessee	Agent	Approved	08/10/2023
B	Texas	Agent	Approved	08/10/2023
B	Utah	Agent	Approved	08/10/2023
B	Virginia	Agent	Approved	08/10/2023

Branch Office Locations

CETERA WEALTH SERVICES, LLC
2176 WEST STREET
SUITE 100
GERMANTOWN, TN 38138



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	01/27/1984

General Industry/Product Exams

Exam	Category	Date
B General Securities Representative Examination	Series 7TO	01/02/2023
B Securities Industry Essentials Examination	SIE	10/01/2018
B Registered Representative Examination	Series 1	02/13/1974

State Securities Law Exams

Exam	Category	Date
B Uniform Securities Agent State Law Examination	Series 63	12/07/1981

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 **2** professional designation(s).

Certified Financial Planner
Chartered Financial Consultant

This representative holds or did hold **2** 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 02/2003 - 08/2023	SECURIAN FINANCIAL SERVICES, INC.	15296	GERMANTOWN, TN
B 08/1990 - 08/2023	SECURIAN FINANCIAL SERVICES, INC.	15296	GERMANTOWN, TN
IA 06/2005 - 12/2007	SHOEMAKER ADVISORY CORPORATION	111322	GERMANTOWN, TN
B 03/1989 - 02/1990	SHOEMAKER SECURITIES COMPANY, INC.	23233	
B 12/1988 - 04/1989	CAREY JAMISON & COMPANY	14129	
B 09/1987 - 10/1988	HIBBARD BROWN & CO., INC.	18246	
B 11/1981 - 09/1987	FSC SECURITIES CORPORATION	7461	

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
08/2023 - Present	CETERA INVESTMENT ADVISERS LLC	INVESTMENT ADVISOR REPRESENTATIVE	Y	SCHAUMBURG, IL, United States
08/2023 - Present	CETERA WEALTH SERVICES, LLC	REGISTERED REPRESENTATIVE	Y	GERMANTOWN, TN, United States
04/1984 - Present	SHOEMAKER ADVISORY CORPORATION	INVESTMENT ADVISOR REP	Y	GERMANTOWN, TN, United States
10/1978 - Present	MINNESOTA MUTUAL LIFE	GENERAL AGENT	Y	ST. PAUL, MN, United States
10/1978 - Present	SHOEMAKER AGENCY	GENERAL AGENT	Y	GERMANTOWN, TN, United States
01/2004 - 08/2023	SECURIAN FINANCIAL SERVICES, INC.	INVESTMENT ADVISOR REPRESENTATIVE	Y	ST. PAUL, MN, United States



Registration and Employment History

Employment History, continued

Employment	Employer Name	Position	Investment Related	Employer Location
07/1990 - 08/2023	SECURIAN FINANCIAL SERVICES, INC.	REGISTERED REP	Y	ST. PAUL, MN, 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.

KINGDOM ADVISORS

POSITION: Director NATURE: Board Member INVESTMENT RELATED: No NUMBER OF HOURS: 1 SECURITIES TRADING HOURS: 0 START DATE: 06/01/1998

ADDRESS: , Atlanta GA , United States

DESCRIPTION: Director

SHOEMAKER INSURANCE SOLUTIONS

POSITION: Owner NATURE: Fixed Insurance Sales INVESTMENT RELATED: No NUMBER OF HOURS: 10 SECURITIES TRADING HOURS: 4 START DATE: 01/01/2018

ADDRESS: , Germantown TN , United States

DESCRIPTION: Owner

Disclosure Events



What you should know about reported disclosure events:

1. 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.
2. **Certain thresholds must be met before an event is reported to CRD, for example:**
 - A law enforcement agency must file formal charges before a broker is required to disclose a particular criminal event.
 - A customer dispute must involve allegations that a broker engaged in activity that violates certain rules or conduct governing the industry and that the activity resulted in damages of at least \$5,000.
 -
3. **Disclosure events in BrokerCheck reports come from different sources:**
 - As mentioned at the beginning of this report, information contained in BrokerCheck comes from brokers, brokerage firms and regulators. When more than one of these sources reports information for the same disclosure event, all versions of the event will appear in the BrokerCheck report. The different versions will be separated by a solid line with the reporting source labeled.
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4. **There are different statuses and dispositions for disclosure events:**
 - A disclosure event may have a status of *pending*, *on appeal*, or *final*.
 - A "pending" event involves allegations that have not been proven or formally adjudicated.
 - An event that is "on appeal" involves allegations that have been adjudicated but are currently being appealed.
 - A "final" event has been concluded and its resolution is not subject to change.
 - A final event generally has a disposition of *adjudicated*, *settled* or *otherwise resolved*.
 - An "adjudicated" matter includes a disposition by (1) a court of law in a criminal or civil matter, or (2) an administrative panel in an action brought by a regulator that is contested by the party charged with some alleged wrongdoing.
 - A "settled" matter generally involves an agreement by the parties to resolve the matter. Please note that brokers and brokerage firms may choose to settle customer disputes or regulatory matters for business or other reasons.
 - A "resolved" matter usually involves no payment to the customer and no finding of wrongdoing on the part of the individual broker. Such matters generally involve customer disputes.

For your convenience, below is a matrix of the number and status of disclosure events involving this broker. Further information regarding these events can be found in the subsequent pages of this report. You also may wish to contact the broker to obtain further information regarding these events.

	Pending	Final	On Appeal
Regulatory Event	0	1	0
Customer Dispute	0	1	N/A



Disclosure Event Details

When evaluating this information, please keep in mind that a disclosure event may be pending or involve allegations that are contested and have not been resolved or proven. The matter may, in the end, be withdrawn, dismissed, resolved in favor of the broker, or concluded through a negotiated settlement for certain business reasons (e.g., to maintain customer relationships or to limit the litigation costs associated with disputing the allegations) with no admission or finding of wrongdoing.

This report provides the information exactly as it was reported to CRD and therefore some of the specific data fields contained in the report may be blank if the information was not provided to CRD.

Regulatory - Final

This type of disclosure event may involve (1) a final, formal proceeding initiated by a regulatory authority (e.g., a state securities agency, self-regulatory organization, federal regulatory such as the Securities and Exchange Commission, foreign financial regulatory body) for a violation of investment-related rules or regulations; or (2) a revocation or suspension of a broker's authority to act as an attorney, accountant, or federal contractor.

Disclosure 1 of 1

Reporting Source:	Firm
Regulatory Action Initiated By:	TENNESSEE
Sanction(s) Sought:	
Other Sanction(s) Sought:	
Date Initiated:	04/03/1989
Docket/Case Number:	12.06-A-89-0355J
Employing firm when activity occurred which led to the regulatory action:	SHOEMAKER SECURITIES COMPANY, INC.
Product Type:	
Other Product Type(s):	
Allegations:	
Current Status:	Final
Resolution:	Consent
Resolution Date:	06/01/1990
Sanctions Ordered:	Cease and Desist/Injunction Monetary/Fine \$500.00

**Other Sanctions Ordered:****Sanction Details:****Firm Statement**

WHILE ASSOCIATED WITH SHOEMAKER SECURITIES COMPANY, INC., JAMES HARDIN SHOEMAKER AND SHOEMAKER SECURITIES COMPANY, INC. WERE THE SUBJECTS OF A COMPLAINT AND NOTICE INSTITUTED BY THE TENNESSEE COMMISSIONER OF COMMERCE AND INSURANCE, SECURITIES DIVISION, DOCKET NO. 12.06-A-89-03555. THE ACTION SOUGHT THE ENTRY OF AN ORDER DENYING THE REGISTRATIONS OF SHOEMAKER SECURITIES COMPANY, INC. AND JAMES SHOEMAKER AS AN AGENT AND PRINCIPAL THEREOF IN THE STATE OF TENNESSEE, ALLEGING VIOLATIONS OF THE AGENT REGISTRATION PROVISIONS OF THE TENNESSEE SECURITIES ACT. SHOEMAKER HAD FAILED TO DISCLOSE CERTAIN MATERIAL INFORMATION IN THE FORM U-4 AND IN THE FORM BD FILED BY HIM ON BEHALF OF SHOEMAKER SECURITIES COMPANY, INC. INCLUDING THE FACT THAT HE, AMONG OTHERS, HAD BEEN NAMED IN A CONSUMER-INITIATED, INVESTMENT-RELATED SUIT IN THE UNITED STATES DISTRICT COURT FOR THE MIDDLE DISTRICT OF TENNESSEE, IN FEBRUARY, 1986, ALLEGING VIOLATIONS OF FEDERAL AND SECURITIES LAWS. THIS LITIGATION WAS SUBSEQUENTLY SETTLED BY ONE OF THE OTHER DEFENDANTS ON BEHALF OF ALL DEFENDANTS, INCLUDING MR. SHOEMAKER. JAMES HARDIN SHOEMAKER AND SHOEMAKER SECURITIES COMPANY, INC. HAVE AGREED, IN PRINCIPLE, TO THE ENTRY OF AN AGREED ORDER WITH THE SECURITIES DIVISION IN WHICH SHOEMAKER AGREES TO CEASE AND DESIST FROM ALL FURTHER VIOLATIONS OF THE ACT AND TO PAY A FINE OF \$500.00. FURTHER, THE DIVISION HAS AGREED TO ACCEPT THE WITHDRAWAL OF MR. SHOEMAKER'S APPLICATION FOR AGENT'S REGISTRATION AND THE WITHDRAWAL OF THE APPLICATION OF SHOEMAKER SECURITIES COMPANY, INC. FOR REGISTRATION AS A BROKER-DEALER AND TO PERMIT SHOEMAKER TO REAPPLY FOR AGENT REGISTRATION WITH MIMLIC SALES CORPORATION, WHICH APPLICATION IS TO BE PROMPTLY CONSIDERED AND ACTED UPON BY



THE SECURITIES DIVISION.

Reporting Source:	Broker
Regulatory Action Initiated By:	TENNESSEE SECURITIES DIVISION
Sanction(s) Sought:	
Other Sanction(s) Sought:	
Date Initiated:	04/03/1989
Docket/Case Number:	12.06-A-89-0355J
Employing firm when activity occurred which led to the regulatory action:	SHOEMAKER SECURITIES COMPANY, INC.
Product Type:	Mutual Fund(s)
Other Product Type(s):	
Allegations:	FAILURE TO DISCLOSE ALL MATERIAL INFORMATION ON U-4 AND FORM BD FOR SHOEMAKER SECURITIES COMPANY, INC. SELLING SECURITIES WHILE NOT PROPERLY REGISTERED; FAILURE TO REGISTER J. H. SHOEMAKER ADVISORY CORPORATION AS AN INVESTMENT ADVISOR IN TENNESSEE.
Current Status:	Final
Resolution:	Consent
Resolution Date:	06/01/1990
Sanctions Ordered:	Cease and Desist/Injunction Monetary/Fine \$500.00
Other Sanctions Ordered:	
Sanction Details:	AGREED ORDER ENTERED IN WHICH APPLICANT AGREED TO CEASE AND DESIST FROM FURTHER VIOLATIONS OF TENNESSEE SECURITIES ACT. \$500.00 FINE PAID; APPLICANT AGREED NOT TO SUBMIT APPLICATION AS CONTROL PERSON OF BROKER- DEALER FOR 3 YEAR PERIOD FROM AND AFTER 4-3-89; APPLICANT ALLOWED TO WITHDRAW U-4 AND FORM BD FOR SHOEMAKER SECURITIES COMPANY, INC. AND TO RE-APPLY AT ANY TIME AS AGENT FOR ANY BROKER-DEALER. ACTION AGAINST SHOEMAKER SECURITIES COMPANY, INC. DROPPED AS WELL AS CLAIM THAT APPLICANT FAILED TO REGISTER J. H. SHOEMAKER



Broker Statement

ADVISORY CORPORATION.
NOT PROVIDED



Customer Dispute - Settled

This type of disclosure event involves a consumer-initiated, investment-related complaint, arbitration proceeding or civil suit containing allegations of sale practice violations against the broker that resulted in a monetary settlement to the customer.

Disclosure 1 of 1

Reporting Source: Firm

Employing firm when activities occurred which led to the complaint: JAMES SHOEMAKER & CO.

Allegations:

Product Type:

Alleged Damages: \$40,500.00

Customer Complaint Information

Date Complaint Received:

Complaint Pending? No

Status: Litigation

Status Date:

Settlement Amount:

Individual Contribution Amount:

Civil Litigation Information

Court Details: U.S. DISTRICT; MIDDLE DISTRICT OF TN, COOKEVILLE DIVISION; 2860018

Date Notice/Process Served: 02/25/1986

Litigation Pending? No

Disposition: Settled

Disposition Date: 05/18/1987

Monetary Compensation Amount: \$25,000.00

Individual Contribution Amount: \$0.00

Firm Statement SHOEMAKER WAS NAMED IN A LAWSUIT FILED BY A CUSTOMER IN CONNECTION WITH THE SALE OF A PRIVATE LIMITED PARTNERSHIP. THE SUIT WAS SETTLED IN MAY 1987 FOR \$40,500. THE SUIT ALLEGED



MISREPRESENTATION AND BREACH OF FIDUCIARY DUTY. THE SUIT WAS SETTLED BECAUSE THE COSTS OF PROCEEDING WERE ESTIMATED TO EXCEED COSTS OF SETTLEMENT. THE ABOVE COMPLAINT WAS FILED BY CUSTOMERS [CUSTOMER] AND [SPOUSE] ON FEBRUARY 25, 1986 IN THE UNITED STATES DISTRICT COURT FOR THE MIDDLE DISTRICT OF TENNESSEE; CASE NO. 2860018. THE MATTER WAS SETTLED AND DISMISSED ON MAY 18, 1987 FOR \$25,000. CONTACT: [THIRD PARTY] AT (404) 521-6500.

Reporting Source: Broker

Employing firm when activities occurred which led to the complaint: JAMES SHOEMAKER & CO.

Allegations: VIOLATIONS OF FEDERAL AND STATE SECURITIES LAWS, RULE 106-5, RICO, TENNESSEE CONSUMER PROTECTION ACT. ALLEGED DAMAGES - \$40,500

Product Type:

Alleged Damages: \$40,500.00

Customer Complaint Information

Date Complaint Received:

Complaint Pending? No

Status: Litigation

Status Date:

Settlement Amount:

Individual Contribution Amount:

Civil Litigation Information

Court Details: U.S. DISTRICT; MIDDLE DISTRICT OF TN, COOKEVILLE DIVISION; 2860018

Date Notice/Process Served: 02/25/1986

Litigation Pending? No

Disposition: Settled

Disposition Date: 05/18/1987



Monetary Compensation Amount:	\$25,000.00
Individual Contribution Amount:	\$0.00
Broker Statement	SUIT WAS DISMISSED WITH PREJUDICEE AGAINST APPLICANT. F.S.C. CORPORATION SETTLED THIS MATTER ON BEHALF OF ALL DEFENDENTS INCLUDING APPLICANT, WITHOUT ANY LIABILITY ON PART OF APPLICANT. APPLICANT WAS NOT REQUIRED TO PARTICIPATE FINANCIALLY IN SETTLEMENT. Not Provided

End of Report



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