

BrokerCheck Report

Edward Lyle Ethington

CRD# 5644798

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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.



Edward L. Ethington

CRD# 5644798

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

IA CETERA INVESTMENT ADVISERS LLC
5702 E 22ND ST
TUCSON, AZ 85711
CRD# 105644
Registered with this firm since: 09/05/2025

B CETERA WEALTH SERVICES, LLC
5702 E 22nd St
Tucson, AZ 85711
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
- 6 U.S. states and territories

This broker has passed:

- 0 Principal/Supervisory Exams
- 2 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
01/2024 - 09/2025

B AVANTAX INVESTMENT SERVICES, INC.
CRD# 13686
Tucson, AZ
03/2020 - 09/2025

IA AVANTAX ADVISORY SERVICES
CRD# 104556
DALLAS, TX
03/2020 - 12/2023

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 6 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	Arizona	Investment Adviser Representative	Approved	09/05/2025
IA	Texas	Investment Adviser Representative	Approved	09/05/2025

Branch Office Locations

5702 E 22ND ST
TUCSON, AZ 85711

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 Representative	Approved	09/05/2025

Broker Qualifications



Employment 2 of 2, continued

	U.S. State/ Territory	Category	Status	Date
B	Arizona	Agent	Approved	09/05/2025
B	Kansas	Agent	Approved	09/05/2025
B	Missouri	Agent	Approved	09/05/2025
B	Oregon	Agent	Approved	09/05/2025
B	Texas	Agent	Approved	09/05/2025
B	Utah	Agent	Approved	09/05/2025

Branch Office Locations

CETERA WEALTH SERVICES, LLC
5702 E 22nd St
Tucson, AZ 85711



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 1 state securities law exam.

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	04/03/2009

State Securities Law Exams

Exam	Category	Date
B IA Uniform Combined State Law Examination	Series 66	04/17/2009

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 01/2024 - 09/2025	AVANTAX ADVISORY SERVICES	104556	Tucson, AZ
B 03/2020 - 09/2025	AVANTAX INVESTMENT SERVICES, INC.	13686	Tucson, AZ
IA 03/2020 - 12/2023	AVANTAX ADVISORY SERVICES	104556	Tucson, AZ
IA 09/2017 - 03/2020	MML INVESTORS SERVICES, LLC	10409	Overland Park, KS
B 09/2017 - 03/2020	MML INVESTORS SERVICES, LLC	10409	Overland Park, KS
IA 04/2009 - 08/2017	EDWARD JONES	250	SMITHVILLE, MO
B 04/2009 - 08/2017	EDWARD JONES	250	SMITHVILLE, MO

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	Tucson, AZ, United States
01/2020 - Present	Atlas Planning & Investments, LLC	Owner	Y	Tucson, AZ, United States
12/2019 - Present	Atlas Insurance Solutions	Insurance Agent	Y	Tucson, AZ, United States
11/2019 - Present	Lal's Sweet Chili Sauce LLC	Owner	Y	Kansas City, MO, United States
12/2018 - Present	ETAZ Holdings LLC	Owner	Y	Tucson, AZ, United States
06/2018 - Present	Atlas Accounting & Tax LLC	Owner	Y	Lansing, KS, United States



Registration and Employment History

Employment History, continued

Employment	Employer Name	Position	Investment Related	Employer Location
08/2017 - Present	VOR Financial LLC	Owner	Y	Kansas City, MO, United States
03/2017 - Present	Glen Ritz, LLC	Rental Property	Y	Overland Park, KS, United States
02/2017 - Present	Glen MM, LLC	Rental Property	Y	Kansas City, MO, United States
03/2012 - Present	Glen Enterprises, LLC	Owner	Y	Kansas City, MO, United States
07/2008 - Present	Egads Properties, LLC	Owner	Y	Kansas City, MO, United States
06/2008 - Present	Valida Homes, LLC	Owner	Y	Kansas City, MO, United States
03/2020 - 09/2025	Avantax Advisory Services	Investment Adviser Representative	Y	Kansas City, MO, United States
03/2020 - 09/2025	Avantax Investment Services, Inc.	Registered Representative	Y	Kansas City, MO, United States
03/2020 - 08/2025	Avantax Insurance Agency LLC	Insurance Agent	Y	Kansas City, MO, United States
12/2005 - 05/2020	Edward Ethington (no business name, rental in personal name)	Rental Property	Y	Kansas City, MO, United States
09/2017 - 02/2020	MML Investor Services, LLC	Registered Representative	Y	Overland Park, KS, United States
08/2017 - 02/2020	Mass Mutual Insurance Company	Producer	Y	Overland Park, KS, United States
08/2017 - 02/2020	Synergy Wealth Solutions	Producer	N	Chesterfield, MO, United States
02/2009 - 08/2017	Edward Jones	Financial Advisor	Y	ST LOUIS, MO, 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) VOR Financial, LLC; IR; Kansas City, MO; Other; Owner; 8/12/2017; 10hrs; 10hrs; owner mng financials of my financial planning business



Registration and Employment History

Other Business Activities, continued

through Synergy/Mass Mutual through this business. This activity will cease upon transition to Avantax.

2) Atlas Insurance Solutions, LLC~'NIR'~5702 E 22nd St~Tucson~AZ~85711~Insurance Agent~Other~12/12/2019~20hrs~12hrs~Duties are primarily to oversee my agent/employee.

3) Atlas Planning & Investments, LLC~'IR'~5702 E 22nd St~Tucson~AZ~85711~Other~Owner~1/24/2020~40hrs~20hrs~President and financial advisor.

4) Glen GG, LLC~'NIR'~8009 NE 74th Terrace~Kansas City~MO~64158~Rental Property~Owner~2/7/2017~1hrs~1hrs~President but currently have no responsibilities as the business itself has no activity.

5) Valida Homes, LLC~'NIR'~8009 NE 74th Terrace~Kansas City~MO~64158~Rental Property~Owner~6/27/2008~2hrs~2hrs~Owner~Oversee management of properties.

6) Glen Ritz, LLC~'NIR'~8905-8941 W 135th~Overland Park~KS~66221~Rental Property~Owner~3/14/2017~1hrs~1hrs~I am the president and oversee all operations.

7) ETAZ Holdings LLC~'NIR'~5702 E 22nd St~Tucson~AZ~85711~Rental Property~Owner~12/6/2018~1hrs~1hrs~I am the president.

8) Lal's Sweet Chili Sauce, LLC~'NIR'~Kansas City~MO~64113~Other~Owner~11/6/2019~4hrs~4hrs~Board member. I do not have any day to day responsibilities.

9) Glen EG, LLC~'NIR'~5200 W 110th St~Leawood~KS~66211~Rental Property~Owner~2/7/2017~1hrs~1hrs~I oversee the manager of the property.

10) EGADs Properties, LLC~'NIR'~6734 Paseo~Kansas City~MO~64132~Rental Property~Owner~7/22/2008~1hrs~1hrs~I oversee the day to day operations.

11) ATLAS RENTALS, LLC: Manager: This entity AirBNBs out our company house in Tucson: NIR: HRS 1: HRS 0: 8/5/2021: Tucson AZ: Manage listing and coordinate services.

12) ATLAS ACCOUNTING & TAX, LLC DBA DESERT ROSE TAX & ACCOUNTING: Owner: Accounting Services/Tax Preparation: NIR: HRS 120: HRS 80: 6/22/2018: Tucson AZ: I am the president responsible for operations, IT, HR, facilities, Internal Accounting, etc.

13) GLEN MM, LLC: Owner: Rental Property: IR: HRS 1: HRS 1: 2/07/2017: Kansas City MO: I am the president and I oversee the property manager that manages our commercial rental property.

14) GLEN HAYES, LLC; Manager/Owner; Rental Property; IR; HRS 1; HRS 0; 01/15/2023; PO Box 1296, Liberty MO 64069, United States; I am the president and oversee all operations. I also manage the property and manage the finances of the business including leasing, collecting rent, and paying bills.

15) FLYING JAVELINA AERO-CLUB; Owner; This business is a flying club.; NIR; HRS 3; HRS 1; 01/01/2024; 6730 N Morning Glory Dr, Tucson AZ 85741, United States; I am the Vice-President there to assist the club as needed. I also handle the tax return for the club tax return and other matters.

16) GIRL SCOUT TROOP 342; Treasurer; I will be the treasurer that is responsible for the bank account and financial record keeping for the troop. NIR; HRS 10; HRS 0; 09/16/2024; 1604 W Copper Ridge Dr, Oro Valley AZ 85711, United States; I will be responsible for depositing checks, paying bills, providing financial reports, and reconciling bank accounts.

17) WALNUT GLEN APARTMENTS, LLC; Owner; Rental Property IR; HRS 1; HRS 1; 03/22/2012; 3511 Forest Ave, Kansas City MO 64109, United States; I am the president and oversee all day to day operations.

18) Glen Enterprises, LLC; Owner; Rental Property; IR; 1; 03/22/2012; Kansas City MO 64158; I am the president/manager and oversee all day to day operations. I oversee the finances of the business.

End of Report



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