

BrokerCheck Report

DEREK HAMMOND LAYMAN

CRD# 5887164

<u>Section Title</u>	<u>Page(s)</u>
Report Summary	1
Broker Qualifications	2 - 4
Registration and Employment History	6 - 8



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.

**DEREK H. LAYMAN**

CRD# 5887164

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

IA CETERA INVESTMENT ADVISERS LLC
 310 SOUTH MAIN STREET
 ROCKY MOUNT, VA 24151
 CRD# 105644
 Registered with this firm since: 06/29/2023

B CETERA WEALTH SERVICES, LLC
 310 SOUTH MAIN STREET
 ROCKY MOUNT, VA 24151
 CRD# 13572
 Registered with this firm since: 12/14/2015

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
- 7 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 CETERA ADVISOR NETWORKS LLC
 CRD# 13572
 EL SEGUNDO, CA
 12/2015 - 06/2023

IA SUNTRUST INVESTMENT SERVICES, INC.
 CRD# 17499
 ATLANTA, GA
 10/2013 - 11/2015

B SUNTRUST INVESTMENT SERVICES, INC.
 CRD# 17499
 ROANOKE, VA
 10/2013 - 11/2015

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 7 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	Virginia	Investment Adviser Representative	Approved	06/29/2023

Branch Office Locations

310 SOUTH MAIN STREET
ROCKY MOUNT, VA 24151

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	12/14/2015

	U.S. State/ Territory	Category	Status	Date
B	Arizona	Agent	Approved	07/10/2025

Broker Qualifications



Employment 2 of 2, continued

	U.S. State/ Territory	Category	Status	Date
B	District of Columbia	Agent	Approved	05/20/2024
B	Florida	Agent	Approved	02/01/2023
B	Georgia	Agent	Approved	08/12/2024
B	Maryland	Agent	Approved	08/16/2024
B	North Carolina	Agent	Approved	02/01/2023
B	Virginia	Agent	Approved	12/14/2015

Branch Office Locations

CETERA WEALTH SERVICES, LLC
310 SOUTH MAIN STREET
ROCKY MOUNT, VA 24151



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	03/10/2011

State Securities Law Exams

Exam	Category	Date
B IA Uniform Combined State Law Examination	Series 66	03/25/2011

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 12/2015 - 06/2023	CETERA ADVISOR NETWORKS LLC	13572	Penhook, VA
B 10/2013 - 11/2015	SUNTRUST INVESTMENT SERVICES, INC.	17499	ROANOKE, VA
IA 10/2013 - 11/2015	SUNTRUST INVESTMENT SERVICES, INC.	17499	ROANOKE, VA
IA 05/2011 - 08/2013	EDWARD JONES	250	ROCKY MOUNT, VA
B 03/2011 - 08/2013	EDWARD JONES	250	ROCKY MOUNT, VA

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
01/2025 - Present	DHL HOLDINGS	PART OWNER	N	ROCKY MOUNT, VA, United States
06/2023 - Present	CETERA INVESTMENT ADVISERS LLC	INVESTMENT ADVISOR REPRESENTATIVE	Y	SCHAUMBURG, IL, United States
12/2015 - Present	CETERA WEALTH SERVICES, LLC	REGISTERED REPRESENTATIVE	Y	EL SEGUNDO, CA, United States
12/2015 - Present	LAYMAN FINANCIAL	FINANCIAL SERVICES	Y	PENHOOK, VA, United States
10/2013 - 11/2015	SUNTRUST INVESTMENT SERVICES, INC.	FINANCIAL CONSULTANT	Y	ATLANTA, GA, 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.



Registration and Employment History

Other Business Activities, continued

1. NAME OF OTHER BUSINESS: LAYMAN FINANCIAL

INVESTMENT RELATED: YES

ADDRESS: SAME AS REGISTERED LOCATION

NATURE OF BUSINESS: FINANCIAL SERVICES

START DATE: 12/2015

APX NUMBER OF HOURS PER WEEK: 40

APX NUMBER OF HOURS DURING TRADING HOURS: 40

BRIEF DESCRIPTION OF DUTIES: FINANCIAL ADVISOR, REGISTERED REPRESENTATIVE, RETIREMENT PLANNING, ESTATE PLANNING, INVESTMENT PLANNING, GENERAL FINANCIAL PLANNING, BROKERAGE AND INSURANCE SERVICES

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: 12/2015

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, ANNUITIES AND LONG TERM CARE

BRIEF DESCRIPTION OF DUTIES: PRESIDE OVER BOARD MEETINGS

3. NAME OF OTHER BUSINESS: CHRIST COMMUNITY CHURCH

INVESTMENT RELATED: NO

ADDRESS: 14900 OLD FRANKLIN TPKE, PENHOOK, VA 24137

NATURE OF BUSINESS: RELIGIOUS

START DATE: 06/2018

POSITION/TITLE/RELATIONSHIP: PASTOR

APX NUMBER OF HOURS PER WEEK: 40

APX NUMBER OF HOURS DURING TRADING HOURS: VARIES

BRIEF DESCRIPTION OF DUTIES: LEAD SERVICES AND GENERAL CHURCH LEADER DUTIES.

4. NAME OF OTHER BUSINESS: LAKE CHRISTIAN MINISTRIES

INVESTMENT RELATED: NO,

ADDRESS: 13157 SOTH OLD MONATA ROAD, MOATA, VA, 24212

NATURE OF BUSINESS: NON-PROFIT,

START DATE: 10/2021,

POSITION/TITLE/RELATIONSHIP: BOD-VICE CHAIRPERSON,

APX NUMBER OF HOURS PER WEEK: 1, NOT DURING TRADING HOURS,

BRIEF DESCRIPTION OF DUTIES: GOVERNANCE COMMITTEE CHAIRPERSON, RECRUITING REPUTABLE BOARD MEMBERS;

5. NAME OF OTHER BUSINESS: DHL HOLDINGS,

INVESTMENT RELATED: NO,

ADDRESS: 377 FRANKLIN STREET, ROCKY MOUNT, VA 24151,

NATURE OF BUSINESS: REAL ESTATE,

START DATE: 01/2025,

POSITION/TITLE/RELATIONSHIP: PART OWNER,

Registration and Employment History



Other Business Activities, continued

APX NUMBER OF HOURS PER WEEK: 1,
APX NUMBER OF HOURS DURING TRADING HOURS: 1,
BRIEF DESCRIPTION OF DUTIES: SALON RENTS THE SPACE FROM US;
6. NAME OF OTHER BUSINESS: RESOLUTION GROUP LLC;
INVESTMENT RELATED: NO;
ADDRESS: SAME AS REGISTERED LOCATION;
NATURE OF BUSINESS: EXPENSE MANAGEMENT;
START DATE: 12/2024;
POSITION/TITLE/RELATIONSHIP: OWNER;
APX NUMBER OF HOURS PER WEEK: 1;
APX NUMBER OF HOURS DURING TRADING HOURS: 1;
BRIEF DESCRIPTION OF DUTIES: MAINTAIN BUILDING FOR USE BY MY BUSINESS AND THE BUSINESS OF MY PARTNER;

End of Report



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