

## BrokerCheck Report

### ROSS ALAN BRENNEMAN

CRD# 6184632

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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](http://brokercheck.finra.org)



For additional information about the contents of this report, please refer to the User Guidance or [www.finra.org/brokercheck](http://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](http://www.finra.org).

**ROSS A. BRENNEMAN**

CRD# 6184632

**Currently employed by and registered with the following Firm(s):****IA CETERA INVESTMENT ADVISERS LLC**

12801 PIERCE ST  
STE 300  
OMAHA, NE 68144  
CRD# 105644  
Registered with this firm since: 08/10/2023

**B CETERA WEALTH SERVICES, LLC**

12801 Pierce Street  
SUITE 300  
OMAHA, NE 68144  
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
- 24 U.S. states and territories

**This broker has passed:**

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

**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**

**Registration History****This broker was previously registered with the following securities firm(s):****IA SECURIAN FINANCIAL SERVICES, INC.**

CRD# 15296  
ST PAUL, MN  
07/2013 - 08/2023

**B SECURIAN FINANCIAL SERVICES, INC.**

CRD# 15296  
OMAHA, NE  
06/2013 - 08/2023

## 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 24 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 Nebraska	Investment Adviser Representative	Approved	08/10/2023
IA Texas	Investment Adviser Representative	Approved	08/10/2023

### Branch Office Locations

12801 PIERCE ST  
STE 300  
OMAHA, NE 68144

### 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	08/10/2023

## Broker Qualifications



### Employment 2 of 2, continued

U.S. State/ Territory	Category	Status	Date
B Arizona	Agent	Approved	08/10/2023
B California	Agent	Approved	08/10/2023
B Colorado	Agent	Approved	08/10/2023
B Florida	Agent	Approved	08/11/2023
B Illinois	Agent	Approved	01/02/2026
B Indiana	Agent	Approved	10/28/2025
B Iowa	Agent	Approved	08/10/2023
B Kansas	Agent	Approved	08/10/2023
B Michigan	Agent	Approved	01/11/2024
B Minnesota	Agent	Approved	08/10/2023
B Missouri	Agent	Approved	08/10/2023
B Nebraska	Agent	Approved	08/10/2023
B New Jersey	Agent	Approved	08/10/2023
B New Mexico	Agent	Approved	08/10/2023
B North Carolina	Agent	Approved	08/10/2023
B North Dakota	Agent	Approved	08/10/2023
B Ohio	Agent	Approved	01/02/2026
B Oklahoma	Agent	Approved	08/10/2023
B Oregon	Agent	Approved	01/02/2026
B Pennsylvania	Agent	Approved	08/10/2023
B Texas	Agent	Approved	08/10/2023

## Broker Qualifications



### Employment 2 of 2, continued

U.S. State/ Territory	Category	Status	Date
B Utah	Agent	Approved	11/18/2024
B Virginia	Agent	Approved	01/02/2026
B Wyoming	Agent	Approved	02/21/2024

### Branch Office Locations

#### CETERA WEALTH SERVICES, LLC

12801 Pierce Street  
SUITE 300  
OMAHA, NE 68144

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## 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	06/06/2013

### State Securities Law Exams

Exam	Category	Date
B IA Uniform Combined State Law Examination	Series 66	06/27/2013

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/](http://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 07/2013 - 08/2023	SECURIAN FINANCIAL SERVICES, INC.	15296	OMAHA, NE
B 06/2013 - 08/2023	SECURIAN FINANCIAL SERVICES, INC.	15296	OMAHA, NE

## 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	OMAHA, NE, United States
04/2013 - Present	RENAISSANCE FINANCIAL	AGENT	Y	OMAHA, NE, United States
04/2013 - 08/2023	MINNESOTA LIFE	AGENT	Y	ST. PAUL, MN, United States
04/2013 - 08/2023	SECURIAN FINANCIAL SERVICES INC.	REGISTERED REPRESENTATIVE	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.

### 1. NAME OF OTHER BUSINESS: FIXED INSURANCE WITH VARIOUS COMPANIES

INVESTMENT RELATED: YES

ADDRESS: SAME AS REGISTERED LOCATION

NATURE OF BUSINESS: FIXED INSURANCE

START DATE: July 2013

APX NUMBER OF HOURS PER WEEK: 40

APX NUMBER OF HOURS DURING TRADING HOURS: 32.5

## Registration and Employment History



### Other Business Activities, continued

POSITION/TITLE/RELATIONSHIP: INSURANCE AGENT

BRIEF DESCRIPTION OF DUTIES: SALES OF FIXED INSURANCE PRODUCTS

2. NAME OF OTHER BUSINESS: RENAISSANCE FINANCIAL

INVESTMENT RELATED: YES

ADDRESS: SAME AS REGISTERED LOCATION

NATURE OF BUSINESS: FINANCIAL SERVICES

START DATE: July 2013

POSITION/TITLE/RELATIONSHIP: Financial Advisor

APX NUMBER OF HOURS PER WEEK: 40

APX NUMBER OF HOURS DURING TRADING HOURS: 32.5

BRIEF DESCRIPTION OF DUTIES: OFFER SECURITIES, INSURANCE AND ADVISORY SERVICES

3. GIFT OF ADOPTION, NEBRASKA & IOWA CHAPTER

POSITION: Volunteer NATURE: Board Member INVESTMENT RELATED: No NUMBER OF HOURS: 3 SECURITIES TRADING HOURS: 0

START DATE: 01/01/2022

ADDRESS: 1200 Shermer Rd, STE 111, Northbrook IL 60062, United States

DESCRIPTION: Each year, Gift of Adoption Nebraska & Iowa receives requests from approximately 18 qualified families - representing a funding need of \$79,800. The goal of the Nebraska & Iowa Chapter's all-volunteer board is to raise enough funds to help complete each of these adoptions. 100% of the money raised by the chapter is directed to uniting children with forever families in the area.

As a board member, I vote on grants awarded to families who have applied to receive funds from Gift of Adoption to complete the adoption process for their families.

Additional duties involve helping organize awareness and philanthropic events.

4. MMPHS 2, LLC

POSITION: Member NATURE: Personal Investment LLC INVESTMENT RELATED: Yes NUMBER OF HOURS: 1 SECURITIES TRADING

HOURS: 0 START DATE: 01/01/2023

ADDRESS: 17018 Cinnamon Circle, Omaha NE 68135, United States

DESCRIPTION: Personal investment llc to fund commercial real estate, class A storage units, potential local start-ups.

## End of Report



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