

## BrokerCheck Report

**Alexander Oakman DeHaan**

CRD# 6844316

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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).



## Alexander O. DeHaan

CRD# 6844316

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

**IA CETERA INVESTMENT ADVISERS LLC**  
 1921 3RD AVE N  
 ESCANABA, MI 49829  
 CRD# 105644  
 Registered with this firm since: 06/29/2023

**B CETERA WEALTH SERVICES, LLC**  
 1921 3RD AVE N  
 ESCANABA, MI 49829  
 CRD# 13572  
 Registered with this firm since: 06/09/2021

## 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
- 4 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  
 06/2021 - 06/2023
- B VOYA FINANCIAL ADVISORS, INC.**  
 CRD# 2882  
 ESCANABA, MI  
 07/2018 - 06/2021
- IA VOYA FINANCIAL ADVISORS, INC.**  
 CRD# 2882  
 WINDSOR, CT  
 07/2018 - 06/2021

### 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 4 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
<b>IA</b>	Michigan	Investment Adviser Representative	Approved	06/29/2023

### Branch Office Locations

1921 3RD AVE N  
ESCANABA, MI 49829

### 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>B</b>	FINRA	General Securities Representative	Approved	06/09/2021

	U.S. State/ Territory	Category	Status	Date
<b>B</b>	California	Agent	Approved	06/09/2021

Broker Qualifications



Employment 2 of 2, continued

	U.S. State/ Territory	Category	Status	Date
B	Michigan	Agent	Approved	06/09/2021
B	New York	Agent	Approved	02/03/2025
B	Wisconsin	Agent	Approved	06/09/2021

Branch Office Locations

CETERA WEALTH SERVICES, LLC  
1921 3RD AVE N  
ESCANABA, MI 49829

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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>B</b> Securities Industry Essentials Examination	SIE	10/01/2018
<b>B</b> General Securities Representative Examination	Series 7	12/11/2017

### State Securities Law Exams

Exam	Category	Date
<b>B</b> <b>IA</b> Uniform Combined State Law Examination	Series 66	02/10/2018

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
<b>IA</b> 06/2021 - 06/2023	CETERA ADVISOR NETWORKS LLC	13572	EL SEGUNDO, CA
<b>B</b> 07/2018 - 06/2021	VOYA FINANCIAL ADVISORS, INC.	2882	ESCANABA, MI
<b>IA</b> 07/2018 - 06/2021	VOYA FINANCIAL ADVISORS, INC.	2882	ESCANABA, MI
<b>IA</b> 02/2018 - 07/2018	INVESTMENT PROFESSIONALS, INC.	30184	Escanaba, MI
<b>B</b> 12/2017 - 07/2018	INVESTMENT PROFESSIONALS, INC.	30184	Escanaba, MI

### 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
05/2024 - Present	First Investment Services	Financial Professional	Y	Escanaba, MI, United States
06/2023 - Present	CETERA INVESTMENT ADVISERS LLC	INVESTMENT ADVISOR REPRESENTATIVE	Y	SCHAUMBURG, IL, United States
06/2021 - Present	CETERA WEALTH SERVICES, LLC	REGISTERED REPRESENTATIVE	Y	EL SEGUNDO, CA, United States
07/2018 - 06/2021	Voya Financial Advisors	Registered Representative	Y	Escanaba, MI, United States
09/2017 - 07/2018	First Bank Upper Michigan	Bank Employee	N	Escanaba, MI, United States
04/2017 - 09/2017	Unemployed	Unemployed	N	Escanaba, MI, United States
09/2014 - 04/2017	University of Michigan, Ross School of Business	Student	N	Ann Arbor, MI, 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. NAME OF OTHER BUSINESS: FIRST PRESBYTERIAN CHURCH OF ESCANABA, MI; INVESTMENT RELATED: NO; ADDRESS: 819 1ST AVE. S. ESCANABA MI; 49829; NATURE OF BUSINESS: CHURCH; START DATE: 7/2024; POSITION/TITLE/RELATIONSHIP: FINANCE COMMITTEE MEMBER; APX NUMBER OF HOURS PER WEEK: 1; APX NUMBER OF HOURS DURING TRADING HOURS: 1; BRIEF DESCRIPTION OF DUTIES: ADVISE ON OVERSIGHT OF CHURCH BUDGET, INVESTMENT ACCOUNTS MANAGED BY A THIRD-PARTY, AND ALL FINANCIAL MATTER PERTAINING TO THE CHURCH;

2. NAME OF ENTITY: OSF St. Francis Foundation Board; No; 3401 Ludington Street; Escanaba, MI; 49829; NON-PROFIT ORGANIZATION; Board Member; 2/5/2020; 1; 0; ATTEND MEETINGS;

3. NAME OF ENTITY: FIRST BANK, UPPER MICHIGAN; Yes; 2800 LUDINGTON ST; ESCANABA; MI; 49829; FINANCIAL SERVICES; BROKER/INVESTMENT REPRESENTATIVE; 9/18/2017; 160; 130; SERVICING OF BROKERAGE CLIENTS;

4. NAME OF OTHER BUSINESS: FIRST INVESTMENT SERVICES;  
INVESTMENT RELATED: YES;  
ADDRESS: SAME AS REGISTERED LOCATION;  
NATURE OF BUSINESS: FINANCIAL SERVICES DBA;  
START DATE: 06/2021;  
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: FINANCIAL SERVICES;

5. NAME OF OTHER BUSINESS: ROTARY CLUB OF ESCANABA, MI (CLUB 2642);  
INVESTMENT RELATED: NO;  
ADDRESS: 624 LUDINGTON ST, ESCANABA, MI 49829;  
NATURE OF BUSINESS: BOARD;  
START DATE: 7/2025;  
POSITION/TITLE/RELATIONSHIP: PAST-PRESIDENT;  
APX NUMBER OF HOURS PER WEEK: 1;  
APX NUMBER OF HOURS DURING TRADING HOURS: 1;  
BRIEF DESCRIPTION OF DUTIES: ASSIST CURRENT CLUB PRESIDENT AS NEEDED TO HELP RUN WEEKLY CLUB MEETINGS, MONTHLY BOARD MEETINGS & OTHER FUNCTIONS OR SERVICE PROJECTS OF OUR ROTARY CLUB;

6. NAME OF OTHER BUSINESS: FIRST BANK INVESTMENT MANAGEMENT GROUP DBA FIRST INVESTMENT SERVICES;  
INVESTMENT RELATED: YES;  
ADDRESS: SAME AS REGISTERED LOCATION;  
NATURE OF BUSINESS: FINANCIAL SERVICES  
POSITION/TITLE/RELATIONSHIP: FINANCIAL PROFESSIONAL;  
START DATE: 05/2024;

## Registration and Employment History



### Other Business Activities, continued

APX NUMBER OF HOURS PER WEEK: 40 ;

APX NUMBER OF HOURS DURING TRADING HOURS: 32.5;

BRIEF DESCRIPTION OF DUTIES: CETERA ADVISOR NETWORKS LOCATED AT FIRST BANK INVESTMENT MANAGEMENT GROUP;

7. NAME OF OTHER BUSINESS: ESCANABA ROTARY TRUST BOARD/CAMP HARSTAD,

INVESTMENT RELATED: NO,

ADDRESS: 401 LUDINGTON STREET, ESCANABA, MI 59829,

NATURE OF BUSINESS: NON-PROFIT,

START DATE: 07/2024,

POSITION/TITLE/RELATIONSHIP: APPOINTED BOARD MEMBER,

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

BRIEF DESCRIPTION OF DUTIES: OVERSEE OPERATIONS IN SUMMER MONTHS, PARTNER WITH YMCA TO PROVIDE SUMMER CAMP TO CHILDREN WITH SPECIAL NEEDS;

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## End of Report



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