



IAPD Report

RODNEY BALBUENA

CRD# 2571058

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i Please be aware that fraudsters may link to Investment Adviser Public Disclosure from phishing and similar scam websites, trying to steal your personal information or your money. Make sure you know who you're dealing with when investing, and contact FINRA with any concerns.
For more information read our [investor alert](#) on imposters.



IAPD Information About Representatives

IAPD offers information on all current-and many former representatives. Investors are strongly encouraged to use IAPD to check the background of representatives before deciding to conduct, or continue to conduct, business with them.

What is included in a IAPD report?

IAPD reports for individual representatives include information such as employment history, professional qualifications, disciplinary actions, criminal convictions, civil judgments and arbitration awards.

It is important to note that the information contained in an IAPD 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 representative, or concluded through a negotiated settlement with no admission or finding of wrongdoing.

Where did this information come from?

The information contained in IAPD comes from the Investment Adviser Registration Depository (IARD) and FINRA's Central Registration Depository, or CRD, (see more on CRD below) and is a combination of:

- information the states require representatives and firms to submit as part of the registration and licensing process, and
- information that state regulators report regarding disciplinary actions or allegations against representatives.

How current is this information?

Generally, representatives are required to update their professional and disciplinary information in IARD within 30 days.

Need help interpreting this report?

For help understanding how to read this report, please consult NASAA's IAPD Tips page <http://www.nasaa.org/IAPD/IARReports.cfm>

What if I want to check the background of an Individual Broker or Brokerage Firm?

To check the background of an Individual Broker or Brokerage firm, you can search for the firm or individual in IAPD. If your search is successful, click on the link provided to view the available licensing and registration information in FINRA's BrokerCheck website.

Are there other resources I can use to check the background of investment professionals?

It is recommended that you learn as much as possible about an individual representative or Investment Adviser firm before deciding to work with them. Your state securities regulator can help you research individuals and certain firms doing business in your state. The contact information for state securities regulators can be found on the website of the North American Securities Administrators Association <http://www.nasaa.org>



Report Summary

RODNEY BALBUENA (CRD# 2571058)

The report summary provides an overview of the representative's professional background and conduct. The information contained in this report has been provided by the representative, investment adviser and/or securities firms, and/or securities regulators as part of the states' investment adviser registration and licensing process. The information contained in this report was last updated by the representative, a previous employing firm, or a securities regulator on **07/06/2020**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
IA	SAGEVIEW ADVISORY GROUP, LLC	CRD# 126777	05/06/2015

QUALIFICATIONS

This representative is currently registered in **0** SRO(s) and **1** jurisdiction(s).

Is this representative currently Inactive or Suspended with any regulator? **No**

Note: Not all jurisdictions require IAR registration or may have an exemption from registration. Additional information including this individual's qualification examinations and professional designations is available in the Detailed Report.

REGISTRATION HISTORY

This representative was previously registered with the following firm(s):

	FIRM	CRD#	LOCATION	REGISTRATION DATES
B	CETERA ADVISOR NETWORKS LLC	13572	PASADENA, CA	05/05/2015 - 07/06/2020
IA	CETERA ADVISOR NETWORKS LLC	13572	PASADENA, CA	05/05/2015 - 07/06/2020
IA	NFP ADVISOR SERVICES, LLC	42046	GLENDALE, CA	08/28/2014 - 04/14/2015

For additional registration and employment history details as reported by the individual, refer to the Registration and Employment History section of the Detailed Report.

DISCLOSURE INFORMATION

Disclosure events include certain criminal charges and convictions, formal investigations and disciplinary actions initiated by regulators, customer disputes and arbitrations, and financial disclosures such as bankruptcies and unpaid judgments or liens.

Are there events disclosed about this representative? **No**




Qualifications

REGISTRATIONS

This section provides the SRO, states and U.S. territories in which the representative is currently registered and licensed, the category of each registration, and the date on which the registration becomes effective. This section also provides, for each firm with which the representative is currently employed, the address of each location where the representative works. This individual is currently registered with **1** jurisdiction(s) and **0** SRO(s) through his or her employer(s).

Employment 1 of 1

Firm Name: **SAGEVIEW ADVISORY GROUP, LLC**
Main Address: 4000 MACARTHUR BLVD.
SUITE 1050
NEWPORT BEACH, CA 92660
Firm ID#: 126777

	Regulator	Registration	Status	Date
	California	Investment Adviser Representative	Approved	05/06/2015

Branch Office Locations

This individual does not have any registered Branch Office where the individual is located.



Qualifications

PASSED INDUSTRY EXAMS

This section includes all industry exams that the representative has passed. Under limited circumstances, a representative may attain registration after receiving an exam waiver based on a combination of exams the representative has passed and qualifying work experience. Likewise a new exam requirement may be grandfathered based on a representative's specific qualifying work experience. Exam waivers and grandfathering are not included below.

This individual has passed 0 principal/supervisory exams, 2 general industry/product exams, and 2 state securities law exams.

Principal/Supervisory Exams

Exam	Category	Date
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No information reported.

General Industry/Product Exams

Exam	Category	Date
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B Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
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B Investment Company Products/Variable Contracts Representative Examination (S6)	Series 6	10/11/2002
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State Securities Law Exams

Exam	Category	Date
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IA Uniform Investment Adviser Law Examination (S65)	Series 65	08/28/2014
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B Uniform Securities Agent State Law Examination (S63)	Series 63	12/02/2003
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PROFESSIONAL DESIGNATIONS

This section details that the representative has reported **0** professional designation(s).

No information reported.



Registration & Employment History

PREVIOUSLY REGISTERED WITH THE FOLLOWING FIRMS

This representative held registrations with the following firms:

	Registration Dates	Firm Name	ID#	Branch Location
B	05/05/2015 - 07/06/2020	CETERA ADVISOR NETWORKS LLC	CRD# 13572	PASADENA, CA
IA	05/05/2015 - 07/06/2020	CETERA ADVISOR NETWORKS LLC	CRD# 13572	PASADENA, CA
IA	08/28/2014 - 04/14/2015	NFP ADVISOR SERVICES, LLC	CRD# 42046	GLENDALE, CA
B	01/04/2007 - 04/14/2015	NFP ADVISOR SERVICES, LLC	CRD# 42046	GLENDALE, CA
B	09/21/2006 - 12/31/2006	GBS RETIREMENT SERVICES, INC.	CRD# 34889	ROLLING MEADOWS, IL
B	09/11/2003 - 08/15/2006	METLIFE SECURITIES INC.	CRD# 14251	GLENDALE, CA
B	09/11/2003 - 08/15/2006	METROPOLITAN LIFE INSURANCE COMPANY	CRD# 4095	GLENDALE, CA
B	10/14/2002 - 04/22/2003	MANULIFE FINANCIAL SECURITIES LLC	CRD# 5249	BOSTON, MA
B	02/21/1995 - 11/14/1997	MANEQUITY, INC.	CRD# 5249	BOSTON, MA

EMPLOYMENT HISTORY

Below is the representative's employment history for up to the last 10 years.

Employment Dates	Employer Name	Position	Investment Related	Employer Location
05/2015 - Present	CETERA ADVISOR NETWORKS LLC	REGISTERED REPRESENTATIVE/IA R	Y	EL SEGUNDO, CA, United States
05/2015 - Present	SAGEVIEW ADVISORY GROUP	INVESTMENT ADVISOR	Y	IRVINE, CA, United States
01/2007 - 04/2015	NFP SECURITIES, INC.	REGISTERED REP	Y	GLENDALE, CA, United States
08/2006 - 04/2015	GALLAGHER BENEFIT SERVICES INC	BENEFITS CONSULTANT	N	GLENDALE, CA, United States



Registration & Employment History



OTHER BUSINESS ACTIVITIES

This section includes information, if any, as provided by the representative regarding other business activities the representative 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: SAGEVIEW ADVISORY GROUP

INVESTMENT RELATED: YES

ADDRESS: SAME AS REGISTERED LOCATION

NATURE OF BUSINESS: ADVISORY BUSINESS

POSITION/TITLE/RELATIONSHIP: ADVISORY REPRESENTATIVE

START DATE: 5/2015

APX NUMBER OF HOURS PER WEEK: 40

APX NUMBER OF HOURS DURING TRADING HOURS: 32.5

BRIEF DESCRIPTION OF DUTIES: FINANCIAL PLANNING AND ASSET MANAGEMENT ;

2) NAME OF OTHER BUSINESS: CENTER FOR NON-PROFIT MANAGEMENT ;

INVESTMENT RELATED: NO ;

ADDRESS: 1000 NORTH ALAMEDA, LOS ANGELES, CA 90012

NATURE OF BUSINESS: NON-PROFIT

START DATE: 10/2019 ;

POSITION/TITLE/RELATIONSHIP: BOARD MEMBER ;

APX NUMBER OF HOURS PER WEEK: 1 ;

APX NUMBER OF HOURS DURING TRADING HOURS: 1 ;

BRIEF DESCRIPTION OF DUTIES: PROVIDING OVERSIGHT GUIDANCE. RESPONSIBLE FOR ATTENDING BOARD MEETINGS AND PARTICIPATING IN ANNUAL AUDIT DISCUSSIONS AND ANNUAL REVIEW ;



End of Report

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