



IAPD Report

John Robert Ressler

CRD# 1523226

<u>Section Title</u>	<u>Page(s)</u>
Report Summary	1
Qualifications	2 - 4
Registration and Employment History	5 - 6
Disclosure Information	7



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.



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

John Robert Ressler (CRD# 1523226)

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 **09/11/2025**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	THE LEADERS GROUP, INC.	CRD# 37157	07/30/2025
IA	SIMPLICITY WEALTH	CRD# 300572	09/15/2025

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **4** 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
IA	TLG ADVISORS, INC.	111052	Lady Lake, FL	08/05/2025 - 08/05/2025
B	LPL FINANCIAL LLC	6413	LADY LAKE, FL	11/30/2022 - 08/04/2025
IA	LPL FINANCIAL LLC	6413	LADY LAKE, FL	11/30/2022 - 08/04/2025

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? **Yes**

The following types of events are disclosed about this representative:

Type	Count
Customer Dispute	2



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 **4** jurisdiction(s) and **1** SRO(s) through his or her employer(s).

Employment 1 of 2

Firm Name: **SIMPLICITY WEALTH**
Main Address: 475 SPRINGFIELD AVE.
SUITE #1
SUMMIT, NJ 07901
Firm ID#: 300572

	Regulator	Registration	Status	Date
IA	Florida	Investment Adviser Representative	Approved	09/15/2025

Branch Office Locations

SIMPLICITY WEALTH
796 CR 466
Lady Lake, FL 32159

Employment 2 of 2

Firm Name: **THE LEADERS GROUP, INC.**
Main Address: 475 SPRINGFIELD AVE
SUMMIT, NJ 07901
Firm ID#: 37157

	Regulator	Registration	Status	Date
B	FINRA	General Securities Principal	Approved	07/30/2025
B	FINRA	General Securities Representative	Approved	07/30/2025
B	FINRA	Invest. Co and Variable Contracts	Approved	07/30/2025
B	Florida	Agent	Approved	07/30/2025
B	Iowa	Agent	Approved	08/05/2025
B	Oklahoma	Agent	Approved	07/30/2025



Qualifications

Regulator	Registration	Status	Date
B Texas	Agent	Approved	07/30/2025

Branch Office Locations

796 CR 466
Lady Lake, FL 32159

796 CR 466
Lady Lake, FL 32159



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 1 principal/supervisory exam, 3 general industry/product exams, and 2 state securities law exams.

Principal/Supervisory Exams

Exam	Category	Date
B General Securities Principal Examination (S24)	Series 24	10/06/2004

General Industry/Product Exams

Exam	Category	Date
B Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
B General Securities Representative Examination (S7)	Series 7	04/02/1997
B Investment Company Products/Variable Contracts Representative Examination (S6)	Series 6	08/14/1986

State Securities Law Exams

Exam	Category	Date
IA B Uniform Combined State Law Examination (S66)	Series 66	09/04/2001
B Uniform Securities Agent State Law Examination (S63)	Series 63	07/31/1986



PROFESSIONAL DESIGNATIONS

This section details that the representative has reported **2** professional designation(s).

Certified Financial Planner

Chartered Financial Consultant

Only professional designations listed in Question 8 of the Form U4 will appear in this section if the appropriate box is checked and verified by the issuing organization at the time of the filing. Learn more about eligible designations at [IARD](#) and [NASAA](#).



Registration & Employment History

PREVIOUSLY REGISTERED WITH THE FOLLOWING FIRMS

This representative held registrations with the following firms:

	Registration Dates	Firm Name	ID#	Branch Location
IA	08/05/2025 - 08/05/2025	TLG ADVISORS, INC.	CRD# 111052	Lady Lake, FL
B	11/30/2022 - 08/04/2025	LPL FINANCIAL LLC	CRD# 6413	LADY LAKE, FL
IA	11/30/2022 - 08/04/2025	LPL FINANCIAL LLC	CRD# 6413	LADY LAKE, FL
B	07/08/2019 - 12/06/2022	SAGEPOINT FINANCIAL, INC.	CRD# 133763	MASON CITY, IA
IA	07/08/2019 - 12/06/2022	SAGEPOINT FINANCIAL, INC.	CRD# 133763	MASON CITY, IA
B	02/14/2018 - 07/10/2019	LPL FINANCIAL LLC	CRD# 6413	MASON CITY, IA
IA	02/14/2018 - 07/10/2019	LPL FINANCIAL LLC	CRD# 6413	MASON CITY, IA
IA	05/04/2012 - 02/15/2018	SII INVESTMENTS, INC.	CRD# 2225	MASON CITY, IA
B	05/04/2012 - 02/14/2018	SII INVESTMENTS, INC.	CRD# 2225	MASON CITY, IA
IA	09/20/2005 - 05/14/2012	LPL FINANCIAL LLC	CRD# 6413	MASON CITY, IA
B	09/15/2005 - 05/14/2012	LPL FINANCIAL LLC	CRD# 6413	MASON CITY, IA
IA	07/09/2002 - 09/19/2005	MUTUAL SERVICE CORPORATION	CRD# 4806	MASON CITY, IA
B	07/02/2002 - 09/19/2005	MUTUAL SERVICE CORPORATION	CRD# 4806	BOSTON, MA
B	01/05/2001 - 07/03/2002	BERTHEL, FISHER & COMPANY FINANCIAL SERVICES, INC.	CRD# 13609	CEDAR RAPIDS, IA
B	05/26/1998 - 12/31/2000	PRINCOR FINANCIAL SERVICES CORPORATION	CRD# 1137	DES MOINES, IA
B	01/23/1997 - 06/12/1998	LOCUST STREET SECURITIES, INC.	CRD# 1703	DES MOINES, IA
B	08/15/1986 - 01/08/1997	PRINCOR FINANCIAL SERVICES CORPORATION	CRD# 1137	DES MOINES, IA



Registration & Employment History

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
08/2025 - Present	Simplicity Wealth	Investment Adviser Representative	Y	Summit, NJ, United States
07/2025 - Present	The Leaders Group Inc	Registered Representative	Y	Summit, NJ, United States
07/2023 - Present	Strategic Wealth Planning Group	President	N	Lady Lake, FL, United States
11/2022 - 07/2025	LPL Financial LLC	Registered Representative	Y	Mason City, IA, United States
03/1998 - 07/2025	Ressler Insurance & Financial Services	Financial Advisor	Y	Mason City, IA, United States
07/2019 - 11/2022	Sagepoint Financial Inc	Registered Representative	Y	Mason City, IA, United States
02/2018 - 07/2019	LPL Financial LLC	Mass Transfer	Y	Mason City, IA, United States

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.

Strategic Wealth Planning Group LLC ; investment related; 796 CR 466, Lady Lake, FL 32159; 07/2023; President/Insurance Sales; Sell life insurance and fixed annuities; 50 Hours per month outside/during trading hours.

John Ressler; investment related; 796 CR 466, Lady Lake, FL 32159; Registered Insurance Agent; 06/1983; Sell life insurance and fixed annuities; 50 Hours per month outside/during trading hours.

The Leaders Group; Investment Related; 475 Springfield Avenue, Summit, NJ 07901; 7/30/2025; Registered Representative, Open new accounts and manage assets; 160 Hours per month outside/during trading hours.



Disclosure Summary

Disclosure Information

What you should know about reported disclosure events:

(1) Certain thresholds must be met before an event is reported to IARD, for example:

- A law enforcement agency must file formal charges before an Investment Adviser Representative is required to report a particular criminal event.;
- A customer dispute must involve allegations that an Investment Adviser Representative engaged in activity that violates certain rules or conduct governing the industry and that the activity resulted in damages of at least \$5,000.

(2) Disclosure events in IAPD reports come from different sources:

As mentioned in the "About IAPD" section on page 1 of this report, information contained in IAPD comes from Investment Adviser Representatives, firms and regulators. When more than one of these sources reports information for the same disclosure event, all versions of the event will appear in the IAPD report. The different versions will be separated by a solid line with the reporting source labeled.

(3) There are different statuses and dispositions for disclosure events:

- A disclosure event may have a status of *pending*, *on appeal*, or *final*.
 - o A "pending" disclosure event involves allegations that have not been proven or formally adjudicated.
 - o A disclosure event that is "on appeal" involves allegations that have been adjudicated but are currently being appealed.
 - o A "final" disclosure event has been concluded and its resolution is not subject to change.
- A final disclosure event generally has a disposition of *adjudicated*, *settled* or *otherwise resolved*.
 - o An "adjudicated" matter includes a disposition by (1) a court of law in a criminal or civil matter, or (2) an administrative panel in an action brought by a regulator that is contested by the party charged with some alleged wrongdoing.
 - o A "settled" matter generally represents a disposition wherein the parties involved in a dispute reach an agreement to resolve the matter. Please note that Investment Adviser Representatives and firms may choose to settle customer disputes or regulatory matters for business or other reasons.
 - o A "resolved" matter usually includes a disposition wherein no payment is made to the customer or there is no finding of wrongdoing on the part of the Investment Adviser Representative. Such matters generally involve customer disputes.

(4) You may wish to contact the Investment Adviser Representatives to obtain further information regarding any of the disclosure events contained in this IAPD report.



DISCLOSURE EVENT DETAILS

When evaluating this information, please keep in mind that some items may involve pending actions or allegations that may be contested and have not been resolved or proven. The event may, in the end, be withdrawn, dismissed, resolved in favor of the Investment Adviser Representative, or concluded through a negotiated settlement with no admission or finding of wrongdoing.

This report provides the information exactly as it was reported to the Investment Adviser Registration Depository. Some of the specific data fields contained in the report may be blank if the information was not provided.

The following types of events are disclosed about this representative:

Type	Count
Customer Dispute	2

Customer Dispute

This section provides information regarding a customer dispute that was reported to the Investment Adviser Registration Depository (IARD) by the Investment Adviser Representative (IAR), an investment adviser and/or securities firm, and/or a securities regulator. The event may include a consumer-initiated, investment-related complaint, arbitration proceeding or civil suit that contains allegations of sales practice violations against the individual.

The customer dispute may be pending or may have resulted in a civil judgment, arbitration award, monetary settlement, closure without action, withdrawal, dismissal, denial, or other outcome.

Disclosure 1 of 2

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	SII INVESTMENTS
Allegations:	CLIENT ALLEGES SHE DID NOT WANT HER PRINCIPAL AT RISK AND DID NOT WANT ANY FEES, AND WANTED THE ACCOUNT IN JOINT REGISTRATION. CLIENT ALSO STATED SHE DID NOT RECEIVE CONTRACT.
Product Type:	Annuity-Variable
Alleged Damages:	\$8,908.78
Is this an oral complaint?	No
Is this a written complaint?	Yes
Is this an arbitration/CFTC reparation or civil litigation?	No

Customer Complaint Information

Date Complaint Received:	10/31/2013
Complaint Pending?	No
Status:	Closed/No Action
Status Date:	11/15/2013
Settlement Amount:	
Individual Contribution Amount:	



Broker Statement CLIENT RECEIVED INITIAL PREMIUM AS INSURANCE COMPANY AGREED TO FREE-LOOK THE CONTRACT AT THE CLIENT'S REQUEST.

Disclosure 2 of 2

Reporting Source: Firm

Employing firm when activities occurred which led to the complaint: PRINCOR FINANCIAL SERVICES

Allegations: NEGLIGENCE IN HANDLING OF CUSTOMER'S ACCOUNT. ORIGINAL COMPLAINT ALLEGED FRAUD, BUT ALLEGATION OF FRAUD WAS DROPPED PRIOR TO TRIAL.

Product Type: Mutual Fund

Alleged Damages: \$138,165.00

Customer Complaint Information

Date Complaint Received: 08/19/1996

Complaint Pending? No

Status: Arbitration Award/Monetary Judgment (for claimants/plaintiffs)

Status Date: 07/20/1998

Settlement Amount: \$125,000.00

Individual Contribution Amount: \$0.00

Civil Litigation Information

Type of Court: State Court

Name of Court: DISTRICT COURT

Location of Court: MITCHELL CITY, IA

Docket/Case #: 13732-0896

Date Notice/Process Served: 04/28/2011

Litigation Pending? No

Disposition: Monetary Judgment to Customer

Disposition Date: 07/02/1998

Monetary Compensation Amount: \$125,000.00

Individual Contribution Amount: \$0.00

Firm Statement JUDGE DENIED PLAINTIFF'S POST-TRIAL MOTIONS, AFFIRMED JURY VERDICT OF \$138,165.00, CLIENT SOLD STOCK THAT HAD APPRECIATED AND INCURRED TAX LIABILITY.

.....

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: PRINCOR FINANCIAL SERVICES CORP



Allegations: NEGLIGENCE IN HANDLING OF CUSTOMER'S ACCOUNT. ORIGINAL COMPLAINT ALLEGED FRAUD, BUT ALLEGATION OF FRAUD WAS DROPPED PRIOR TO TRIAL.

Product Type: Mutual Fund

Alleged Damages: \$138,165.00

Is this an oral complaint? No

Is this a written complaint? Yes

Is this an arbitration/CFTC reparation or civil litigation? No

Customer Complaint Information

Date Complaint Received: 08/19/1996

Complaint Pending? No

Status: Arbitration Award/Monetary Judgment (for claimants/plaintiffs)

Status Date: 07/20/1998

Settlement Amount: \$125,000.00

Individual Contribution Amount: \$0.00

Civil Litigation Information

Type of Court: State Court

Name of Court: DISTRICT COURT

Location of Court: MITCHELL CITY, IA

Docket/Case #: 13732-0896

Date Notice/Process Served: 04/28/2011

Litigation Pending? No

Disposition: Monetary Judgment to Customer

Disposition Date: 07/02/1998

Monetary Compensation Amount: \$125,000.00

Individual Contribution Amount: \$0.00

Broker Statement ALTHOUGH PRINCOR PREVIOUSLY REPORTED THAT JUDGEMENT WAS AWARDED ON 7/2/98. PRINCOR BECAME AWARE THAT FRAUD WAS DROPPED AS AN ALLEGATION ON 4/28/11. PRINCOR, AT THE TIME, HAD NO ARBITRATION AGREEMENT. CIVIL LITIGATION JUDGEMENT: PLAINTIFF AND DEFENDANT BOTH FOUND NEGLIGENT. 40% OF TOTAL FAULT ATTRIBUTED TO PLAINTIFF AND 60% TO DEFENDANT. CLIENT SOLD STOCK TO FUND MUTUAL FUNDS THAT HAD APPRECIATED IN VALUE AND INCURRED TAX LIABILITY. FINAL MONETARY SETTLEMENT TO PLAINTIFF OF \$125,000 OF WHICH ½ PAID BY BROKER DEALER AND ½ PAID BY DEFENDANT'S E & O CARRIER.



End of Report

This page is intentionally left blank.