



IAPD Report

ROGER LEE FORD

CRD# 1537481

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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.



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

ROGER LEE FORD (CRD# 1537481)

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 **05/05/2025**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	MADISON AVENUE SECURITIES, LLC	CRD# 23224	05/04/2017
IA	AE WEALTH MANAGEMENT, LLC	CRD# 282580	05/04/2017

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **13** 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	GLOBAL FINANCIAL PRIVATE CAPITAL, LLC	132070	HARRISON, OH	03/23/2011 - 05/05/2017
B	G.F. INVESTMENT SERVICES, LLC	132939	HARRISON, OH	03/18/2011 - 05/05/2017
IA	MADISON AVENUE SECURITIES, LLC	23224	SAN DIEGO, CA	05/04/2017 - 05/04/2017

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	1



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

Employment 1 of 2

Firm Name: **MADISON AVENUE SECURITIES, LLC**
Main Address: 13500 EVENING CREEK DR. N
#555
SAN DIEGO, CA 92128
Firm ID#: 23224

	Regulator	Registration	Status	Date
B	FINRA	Invest. Co and Variable Contracts	Approved	05/04/2017
B	Alaska	Agent	Approved	05/05/2017
B	Colorado	Agent	Approved	08/24/2023
B	Florida	Agent	Approved	05/04/2017
B	Georgia	Agent	Approved	05/04/2017
B	Indiana	Agent	Approved	05/09/2017
B	Kansas	Agent	Approved	10/23/2019
B	Kentucky	Agent	Approved	05/04/2017
B	Michigan	Agent	Approved	06/27/2017
B	North Carolina	Agent	Approved	08/25/2023
B	Ohio	Agent	Approved	05/04/2017
B	Tennessee	Agent	Approved	05/25/2017
B	Texas	Agent	Approved	10/17/2019



Qualifications

Regulator	Registration	Status	Date
B Virginia	Agent	Approved	08/12/2024

Branch Office Locations

MADISON AVENUE SECURITIES, LLC

10403 Harrison Ave
Suite 100
Harrison, OH 45030

MADISON AVENUE SECURITIES, LLC

348 Walnut St
Lawrenceburg, IN 47025

MADISON AVENUE SECURITIES, LLC

2135 CHAMBER CENTER DRIVE
FORT MITCHELL, KY 41017

MADISON AVENUE SECURITIES, LLC

7908 CINCINNATI DAYTON ROAD, SUITE I
WEST CHESTER TOWNSHIP, OH 45069

Employment 2 of 2

Firm Name: **AE WEALTH MANAGEMENT, LLC**

Main Address: 2950 SW MCCLURE ROAD
SUITE B
TOPEKA, KS 66614

Firm ID#: 282580

Regulator	Registration	Status	Date
IA Indiana	Investment Adviser Representative	Approved	05/21/2019
IA Kentucky	Investment Adviser Representative	Approved	01/15/2019
IA Ohio	Investment Adviser Representative	Approved	05/04/2017
IA Texas	Investment Adviser Representative	Restricted Approval	12/06/2022

Branch Office Locations

AE WEALTH MANAGEMENT, LLC

10403 Harrison Ave
Ste 100
Harrison, OH 45030

AE WEALTH MANAGEMENT, LLC

155 N Fort Thomas Ave
Ft. Thomas, KY 41075

AE WEALTH MANAGEMENT, LLC

348 Walnut St
Lawrenceburg, IN 47025

AE WEALTH MANAGEMENT, LLC

2135 Chamber Center Dr
Ft. Mitchell, KY 41017

AE WEALTH MANAGEMENT, LLC

7908 Cincinnati Dayton Rd
Ste I
West Chester, OH 45069



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
B Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
B Investment Company Products/Variable Contracts Representative Examination (S6)	Series 6	02/20/1987

State Securities Law Exams

Exam	Category	Date
IA Uniform Investment Adviser Law Examination (S65)	Series 65	10/26/2001
B Uniform Securities Agent State Law Examination (S63)	Series 63	02/13/1987



PROFESSIONAL DESIGNATIONS

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

No information reported.

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	03/23/2011 - 05/05/2017	GLOBAL FINANCIAL PRIVATE CAPITAL, LLC	CRD# 132070	HARRISON, OH
B	03/18/2011 - 05/05/2017	G.F. INVESTMENT SERVICES, LLC	CRD# 132939	HARRISON, OH
IA	05/04/2017 - 05/04/2017	MADISON AVENUE SECURITIES, LLC	CRD# 23224	SAN DIEGO, CA
IA	08/25/2003 - 03/23/2011	INVESTMENT ADVISORS	CRD# 15708	HARRISON, OH
B	08/14/2003 - 03/23/2011	PROEQUITIES, INC.	CRD# 15708	HARRISON, OH
IA	05/07/2003 - 08/15/2003	USA FINANCIAL SECURITIES CORPORATION	CRD# 103857	HARRISON, OH
B	06/27/2001 - 08/15/2003	USA FINANCIAL SECURITIES CORPORATION	CRD# 103857	ADA, MI
B	07/11/2000 - 06/28/2001	INTERSECURITIES, INC.	CRD# 16164	PHILADELPHIA, PA
B	09/25/1998 - 07/14/2000	PROEQUITIES, INC.	CRD# 15708	BIRMINGHAM, AL
B	04/05/1990 - 09/25/1998	ADVANTAGE CAPITAL CORPORATION	CRD# 146	ATLANTA, GA
B	02/23/1987 - 03/20/1990	FIRST AMERICAN NATIONAL SECURITIES, INC.	CRD# 10111	DULUTH, GA

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
05/2017 - Present	AE WEALTH MANAGEMENT, LLC	INVESTMENT ADVISER REPRESENTATIVE	Y	TOPEKA, KS, United States
05/2017 - Present	MADISON AVENUE SECURITIES, LLC	REGISTERED REPRESENTATIVE	Y	SAN DIEGO, CA, United States



Registration & Employment History



EMPLOYMENT HISTORY

Employment Dates	Employer Name	Position	Investment Related	Employer Location
09/2004 - Present	HARRISON TAX & ACCOUNTING	FOUNDER/CEO	N	HARRISON, OH, United States
08/1985 - Present	CONSERVATIVE FINANCIAL SOLUTIONS	OWNER/REP	Y	HARRISON, OH, United States
03/2011 - 05/2017	GF INVESTMENT SERVICES, LLC	REGISTERED REPRESENTATIVE	Y	SARASOTA, FL, United States
03/2011 - 05/2017	GLOBAL FINANCIAL PRIVATE CAPITAL, LLC	INVESTMENT ADVISER REPRESENTATIVE	Y	SARASOTA, FL, United States
11/1989 - 01/2017	SIEFFERMAN INS. AGENCY	OWNER/AGENT	Y	HARRISON, OH, 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.

1)NAME: CONSERVATIVE FINANCIAL SOLUTIONS, LLC; INV RELATED:YES; ADDRESS:10403 HARRISON AVE, SUITE 100 HARRISON, OH 45030; NATURE: FINANCIAL CONSULTING ADVICE, FIXED INSURANCE SALES, REGISTERED FINANCIAL CONSULTANT; POSITION:FOUNDER, IAR, RFC; START DATE:08/1985; HOURS/MONTH:173; TRADING HOURS/MONTH:40; DUTIES:WEALTH ADVISOR

2)NAME: RENTAL PROPERTY; INV RELATED:NO; ADDRESS:10403 AND 10405 HARRISON AVE, HARRISON, OH 45030 ; NATURE:RENTAL PROPERTYT; POSITION:OWNER/LANDLORD; START DATE:2003 and 2002; HOURS/MONTH:1; TRADING HOURS/MONTH:0; DUTIES:OVERSEE PROPERTIES.

3)NAME:HARRISON TAX & ACCOUNTING; INV RELATED:NO; ADDRESS:10403 HARRISON AVE, SUITE 300 HARRISON, OH 45030; NATURE:ACCOUNTING, PAYROLL & TAX SERVICES ; POSITION:FOUNDER; START DATE:09/2004; HOURS/MONTH:4-5; TRADING HOURS/MONTH:4; DUTIES: I PAY A CPA TO RUN DAY TO DAY OPERATIONS

4)NAME: C&R FARM; INV RELATED:NO; ADDRESS:11481 DEER TRACE LANE HARRISON, OH 45030; NATURE:FARMING; POSITION:OWNER; START DATE:02/2003; HOURS/MONTH:4; TRADING HOURS/MONTH:0; DUTIES: FARMING LIVESTOCK.

5) NAME: MADISON AVENUE SECURITIES, LLC; YES INVESTMENT RELATED; 13500 EVENING CREEK DR. N SUITE 555, SAN DIEGO, CA 92128; BROKER DEALER; REGISTERED REPRESENTATIVE; START DATE 05/2017; APPROX 160 HRS/MONTH; APPROX 160 HRS/MONTH DURING TRADING; SECURITIES SALES AND SERVICES.

6.) NAME: ADVISORS EXCEL; INV RELATED: YES; ADDRESS: 2950 SW McCLURE ROAD, TOPEKA, KS 66614; NATURE: INSURANCE PRODUCTS OFFERED THROUGH AE POSITION: INSURANCE AGENT; START DATE:05/04/2017 ; HOURS/MONTH: 40; TRADING HOURS/MONTH: 40; DUTIES: INSURANCE SALES



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*.
 - A "pending" disclosure event involves allegations that have not been proven or formally adjudicated.
 - A disclosure event that is "on appeal" involves allegations that have been adjudicated but are currently being appealed.
 - 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*.
 - 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.
 - 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.
 - 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	1

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 1

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	AE Wealth Management
Allegations:	Client alleges unsuitable recommendations, churning fees, and inappropriate fees.
Product Type:	Equity Listed (Common & Preferred Stock) Mutual Fund
Alleged Damages:	\$15,607.23
Alleged Damages Amount Explanation (if amount not exact):	The client requested that 75% of the fees charged be refunded. The firm calculated that to be the above amount.
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:	09/09/2019
Complaint Pending?	No
Status:	Denied
Status Date:	10/09/2019
Settlement Amount:	



**Individual Contribution
Amount:**

Broker Statement

After investigation, the firm found that the fees Mr. Ford charged were in line with the investment management agreement and were authorized by the client.



End of Report

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