IAPD Report

Jonathan M Roth

CRD# 1627270

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

Jonathan M Roth (CRD# 1627270)

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 **04/01/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	LPL FINANCIAL LLC	CRD# 6413	04/01/2026
IA	LPL FINANCIAL LLC	CRD# 6413	04/01/2026

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
B	LPL ENTERPRISE, LLC	8733	SPRINGFIELD, IL	11/14/2024 - 03/17/2026
IA	LPL ENTERPRISE, LLC	8733	SPRINGFIELD, IL	11/14/2024 - 03/17/2026
IA	PRUDENTIAL FINANCIAL PLANNING SERVICES	5685	Springfield, IL	04/14/2021 - 11/14/2024

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

Employment 1 of 1

Firm Name:	**LPL FINANCIAL LLC**
Main Address:	1055 LPL WAY FORT MILL, SC 29715
Firm ID#:	6413

	Regulator	Registration	Status	Date
B	FINRA	General Securities Representative	Approved	04/01/2026
B	Illinois	Agent	Approved	04/01/2026
IA	Illinois	Investment Adviser Representative	Approved	04/01/2026
B	Kansas	Agent	Approved	04/01/2026
B	Missouri	Agent	Approved	04/01/2026
B	Washington	Agent	Approved	04/01/2026

Branch Office Locations

LPL FINANCIAL LLC
2424 W ILES AVE
SPRINGFIELD, IL 62704

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
	No information reported.		

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	02/21/1987

State Securities Law Exams

	Exam	Category	Date
IA B	Uniform Combined State Law Examination (S66)	Series 66	03/30/2021
B	Uniform Securities Agent State Law Examination (S63)	Series 63	09/24/1991

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
B	11/14/2024 - 03/17/2026	LPL ENTERPRISE, LLC	CRD# 8733	SPRINGFIELD, IL
IA	11/14/2024 - 03/17/2026	LPL ENTERPRISE, LLC	CRD# 8733	SPRINGFIELD, IL
IA	04/14/2021 - 11/14/2024	PRUDENTIAL FINANCIAL PLANNING SERVICES	CRD# 5685	Springfield, IL
B	07/16/2020 - 11/14/2024	PRUCO SECURITIES, LLC.	CRD# 5685	Springfield, IL
B	11/11/2013 - 07/07/2020	BROKERS INTERNATIONAL FINANCIAL SERVICES, LLC.	CRD# 139627	SPRINGFIELD, IL
IA	12/06/2006 - 02/16/2012	U.S. BANCORP INVESTMENTS, INC.	CRD# 17868	CARLINVILLE, IL
B	08/07/2006 - 02/16/2012	U.S. BANCORP INVESTMENTS, INC.	CRD# 17868	CARLINVILLE, IL
B	06/22/2004 - 08/03/2006	ING FINANCIAL PARTNERS, INC.	CRD# 2882	SPRINGFIELD, IL
B	10/01/2003 - 04/19/2004	FOCUSED INVESTMENTS L.L.C.	CRD# 37532	CHICAGO, IL
B	01/04/1999 - 10/10/2003	RAYMOND JAMES FINANCIAL SERVICES, INC.	CRD# 6694	ST. PETERSBURG, FL
B	03/18/1998 - 01/08/1999	FIRST BROKERAGE AMERICA, L.L.C.	CRD# 43431	CLAYTON, MO
B	12/14/1998 - 01/04/1999	ROBERT THOMAS SECURITIES, INC	CRD# 10147	ST. PETERSBURG, FL
B	01/22/1996 - 02/25/1998	AEGON USA SECURITIES INC.	CRD# 13302	CEDAR RAPIDS, IA
B	10/01/1992 - 02/05/1996	LOCUST STREET SECURITIES, INC.	CRD# 1703	DES MOINES, IA
B	03/02/1992 - 09/03/1992	MGI INVESTMENTS, INC.	CRD# 16511	ST. LOUIS, MO
B	04/11/1991 - 03/12/1992	GNA SECURITIES, INC.	CRD# 10465	GLEN ALLEN, VA
B	07/27/1990 - 04/23/1991	VESTAX SECURITIES CORPORATION	CRD# 10332	HUDSON, OH

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	02/24/1987 - 07/31/1990	AMERICAN EXPRESS FINANCIAL ADVISORS INC.	CRD# 6363	MINNEAPOLIS, MN

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
04/2026 - Present	LPL FINANCIAL LLC	REGISTERED REPRESENTATIVE	Y	SPRINGFIELD, IL, United States
03/2026 - Present	CEFCU	EMPLOYEE / CONTRACTOR	Y	SPRINGFIELD, IL, United States
08/2005 - Present	MUSIC SOURCE PROFESSIONAL DJ SERVICE	OWNER - DJ - MC - RECEPTION DIRECTOR	N	SPRINGFIELD, IL, United States
11/2024 - 02/2026	LPL ENTERPRISE, LLC	Mass Transfer	Y	Springfield, IL, United States
07/2020 - 02/2026	Prudential Insurance Company of America	Financial Professional	Y	Springfield, IL, United States
06/2020 - 11/2024	Pruco Securities, LLC.	Registered Representative	Y	Springfield, IL, United States
10/2013 - 07/2020	BROKERS INTERNATIONAL FINANCIAL SERVICES	REGISTERED REP	Y	SPRINGFIELD, IL, United States
03/2012 - 07/2020	INSURANCE AGENT	AGENT	Y	SPRINGFIELD, IL, 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. Investment products and services are offered through LPL Financial LLC using the DBA/trade name CEFCU Investment Services - Investment Related - At Reported Business Location(s) - Start Date: 03/2026
2. 03/2026 - Music Source Professional Disc Jockey Service - Business Owner - Investment Related - 20 Hrs/Mth - 00 Hrs During Trading - Springfield, IL 62704 - OBA Start Date: 08/01/2005

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
Regulatory Event	1
Customer Dispute	1

Regulatory Event

This disclosure event may include a final, formal proceeding initiated by a regulatory authority (e.g., a state securities agency, a federal regulator such as the Securities and Exchange Commission or the Commodities Futures Trading Commission, or a foreign financial regulatory body) for a violation of investment-related rules or regulations. This disclosure event may also include a revocation or suspension of an Investment Adviser Representative's authority to act as an attorney, accountant or federal contractor.

Disclosure 1 of 1

Reporting Source:	Regulator
Regulatory Action Initiated By:	NATIONAL ASSOCIATION OF SECURITIES DEALERS, INC.
Sanction(s) Sought:	
Other Sanction(s) Sought:	
Date Initiated:	08/31/1993
Docket/Case Number:	C8A930022
Employing firm when activity occurred which led to the regulatory action:	MGI INVESTMENTS, INC.
Product Type:	
Other Product Type(s):	
Allegations:	
Current Status:	Final
Resolution:	Acceptance, Waiver & Consent(AWC)
Resolution Date:	08/31/1993
Sanctions Ordered:	Censure Monetary/Fine $2,500.00
Other Sanctions Ordered:	
Sanction Details:	

Regulator Statement	ON AUGUST 31, 1993, DISTRICT NO. 8 NOTIFIED RESPONDENT JOHN MICHAEL ROTH THAT THE LETTER OF ACCEPTANCE, WAIVER AND CONSENT NO. C8A930022 WAS ACCEPTED; THEREFORE, HE IS CENSURED AND FINED $2,500 - (ARTICLE III, SECTIONS 1 AND 43 OF THE RULES OF FAIR PRACTICE - RESPONDENT ROTH SOLD A FIXED ANNUITY TO A CUSTOMER AND ACCEPTED COMPENSATION FROM AN INSURANCE COMPANY FOR HIS SALE OF THE PRODUCTS ISSUED BY THAT COMPANY AND IN CONNECTION THEREWITH, FAILED TO GIVE PROMPT WRITTEN NOTICE TO HIS MEMBER FIRM OF HIS OUTSIDE BUSINESS ACTIVITIES). **$2,500.00 PAID ON 9/10/93 INVOICE #93-A-689**

Reporting Source:	Firm
Regulatory Action Initiated By:	MGI INVESTMENTS, INC.
Sanction(s) Sought:	
Other Sanction(s) Sought:	
Date Initiated:	08/31/1993
Docket/Case Number:	C8A930022
Employing firm when activity occurred which led to the regulatory action:	MGI INVESTMENTS, INC.
Product Type:	
Other Product Type(s):	
Allegations:	FAILED TO DISCLOSE OUTSIDE BUSINESS ACTIVITIES
Current Status:	Final
Resolution:	Acceptance, Waiver & Consent(AWC)
Resolution Date:	08/31/1993
Sanctions Ordered:	Censure Monetary/Fine $2,500.00
Other Sanctions Ordered:	
Sanction Details:	PENDING INDIVIDUAL SOLD A PRODUCT TO CUSTOMER THAT WAS NOT ON FIRM'S APPROVED LIST, PLACING CUSTOMER'S MONEY DIRECTLY WITH THE ISSUING INSURANCE COMPANY, AND BY-PASSING THE EMPLOYER.

Reporting Source:	Individual
Regulatory Action Initiated By:	N.A.S.D.
Sanction(s) Sought:	Other
Other Sanction(s) Sought:	FAILURE TO DISCLOSE OUTSIDE BUSINESS ACTIVITIES

Date Initiated:	08/31/1993
Docket/Case Number:	C8A930022
Employing firm when activity occurred which led to the regulatory action:	MGI INVESTMENTS, INC.
Product Type:	Annuity(ies) - Fixed
Other Product Type(s):	
Allegations:	FAILURE TO INFORM OF OUTSIDE BUSINESS ACTIVITY.
Current Status:	Final
Resolution:	Acceptance, Waiver & Consent(AWC)
Resolution Date:	08/31/1993
Sanctions Ordered:	Censure Monetary/Fine $2,500.00
Other Sanctions Ordered:	
Sanction Details:	$2,500 FINE PAID.
Broker Statement	I WAS NOT AWARE THAT MY ACTIVITY WOULD BE CONSIDERED "OUTSIDE" AND THEREFORE DID NOT REPORT IT. I LEFT MY EMPLOYER OF THE TIME VOLUNTARILY, TWO FULL MONTHS BEFORE THEY FILED THE AMENDED U-5. NO OTHER ACTION HAS BEEN TAKEN BY THEM.

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:	Firm
Employing firm when activities occurred which led to the complaint:	U.S. BANCORP INVESTMENTS, INC.
Allegations:	CUSTOMER ALLEGES REGISTERED REPRESENTATIVE MISREPRESENTED THE PRODUCT AND HOW IT WORKED.
Product Type:	Other: IMMEDIATE ANNUITY
Alleged Damages:	$45,200.18
Alleged Damages Amount Explanation (if amount not exact):	THIS AMOUNT IS THE FIRM'S ESTIMATE OF THE ALLEGED COMPENSATORY DAMAGES.
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:	08/02/2011
Complaint Pending?	No
Status:	Denied
Status Date:	08/18/2011
Settlement Amount:	
Individual Contribution Amount:	

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	U.S. BANCORP INVESTMENTS, INC.
Allegations:	CUSTOMER ALLEGES REGISTERED REPRESENTATIVE MISREPRESENTED THE PRODUCT AND HOW IT WORKED.
Product Type:	Other: IMMEDIATE ANNUITY
Alleged Damages:	$45,200.18

Alleged Damages Amount Explanation (if amount not exact):	THIS AMOUNT IS THE FIRM'S ESTIMATE OF THE ALLEGED COMPENSATORY DAMAGES.
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:	08/02/2011
Complaint Pending?	No
Status:	Denied
Status Date:	08/18/2011
Settlement Amount:	
Individual Contribution Amount:	

End of Report

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