



IAPD Report

RANDY LEE ROESLER

CRD# 2144474

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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

RANDY LEE ROESLER (CRD# 2144474)

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 **11/12/2025**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	CETERA ADVISORS LLC	CRD# 10299	04/15/2013
IA	CETERA INVESTMENT ADVISERS LLC	CRD# 105644	03/21/2024

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **15** 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	CETERA ADVISORS LLC	10299	GREENWOOD VILLAGE, IL	04/12/2013 - 03/21/2024
B	LPL FINANCIAL LLC	6413	SAUKVILLE, WI	07/09/2004 - 03/22/2013
IA	LPL FINANCIAL LLC	6413	SAUKVILLE, WI	07/09/2004 - 03/22/2013

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	3
Termination	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 **15** jurisdiction(s) and 1 SRO(s) through his or her employer(s).

Employment 1 of 2

Firm Name: **CETERA ADVISORS LLC**
Main Address: 5299 DTC BLVD #800
GREENWOOD VILLAGE, CO 80111
Firm ID#: 10299

	Regulator	Registration	Status	Date
B	FINRA	General Securities Principal	Approved	04/15/2013
B	FINRA	General Securities Representative	Approved	04/15/2013
B	Arizona	Agent	Approved	08/19/2013
B	Colorado	Agent	Approved	06/28/2013
B	Florida	Agent	Approved	05/22/2013
B	Illinois	Agent	Approved	04/15/2013
B	Indiana	Agent	Approved	04/17/2013
B	Kansas	Agent	Approved	07/10/2018
B	Michigan	Agent	Approved	09/20/2016
B	Minnesota	Agent	Approved	02/19/2014
B	Missouri	Agent	Approved	04/10/2019
B	New Mexico	Agent	Approved	09/29/2017
B	Ohio	Agent	Approved	04/15/2013



Qualifications

Regulator	Registration	Status	Date
B South Carolina	Agent	Approved	06/06/2013
B Texas	Agent	Approved	04/15/2013
B Virginia	Agent	Approved	06/17/2025
B Wisconsin	Agent	Approved	04/15/2013

Branch Office Locations

CETERA ADVISORS LLC
 4002 COUNTY RD I
 Saukville, WI 53080

Employment 2 of 2

Firm Name: **CETERA INVESTMENT ADVISERS LLC**
 Main Address: 1450 AMERICAN LANE
 6TH FLOOR, SUITE 650
 SCHAUMBURG, IL 60173-2096
 Firm ID#: 105644

Regulator	Registration	Status	Date
IA Texas	Investment Adviser Representative	Restricted Approval	03/21/2024
IA Wisconsin	Investment Adviser Representative	Approved	03/21/2024

Branch Office Locations

CETERA INVESTMENT ADVISERS LLC
 4002 COUNTY RD I
 Saukville, WI 53080




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


Principal/Supervisory Exams

Exam	Category	Date
 General Securities Principal Examination (S24)	Series 24	08/07/2000

General Industry/Product Exams

Exam	Category	Date
 Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
 General Securities Representative Examination (S7)	Series 7	12/11/1991

State Securities Law Exams

Exam	Category	Date
 Uniform Securities Agent State Law Examination (S63)	Series 63	09/13/1991

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
IA	04/12/2013 - 03/21/2024	CETERA ADVISORS LLC	CRD# 10299	GREENWOOD VILLAGE
B	07/09/2004 - 03/22/2013	LPL FINANCIAL LLC	CRD# 6413	SAUKVILLE, WI
IA	07/09/2004 - 03/22/2013	LPL FINANCIAL LLC	CRD# 6413	SAUKVILLE, WI
B	09/26/2002 - 07/14/2004	PARK AVENUE SECURITIES LLC	CRD# 46173	NEW YORK, NY
IA	01/25/2002 - 09/19/2002	ALLMERICA INVESTMENT MANAGEMENT CO INC	CRD# 105796	MILWAUKEE, WI
B	12/10/2001 - 09/16/2002	ALLMERICA INVESTMENTS, INC.	CRD# 3960	WORCESTER, MA
B	12/12/1991 - 11/30/2001	AMERICAN EXPRESS FINANCIAL ADVISORS INC.	CRD# 6363	MINNEAPOLIS, MN
B	12/12/1991 - 11/30/2001	IDS LIFE INSURANCE COMPANY	CRD# 6321	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
03/2024 - Present	CETERA INVESTMENT ADVISERS LLC	INVESTMENT ADVISOR REPRESENTATIVE	Y	SCHAUMBURG, IL, United States
04/2013 - Present	CETERA ADVISORS LLC	REGISTERED REPRESENTATIVE	Y	DENVER, CO, 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 OF OTHER BUSINESS: FIXED INSURANCE WITH VARIOUS COMPANIES
 INVESTMENT RELATED: YES
 ADDRESS: SAME AS REGISTERED LOCATION
 NATURE OF BUSINESS: FIXED INSURANCE
 START DATE: 04/2013



Registration & Employment History



OTHER BUSINESS ACTIVITIES

APX NUMBER OF HOURS PER WEEK: 1
APX NUMBER OF HOURS DURING TRADING HOURS: 1
POSITION/TITLE/RELATIONSHIP: INSURANCE AGENT
BRIEF DESCRIPTION OF DUTIES: SELLS LIFE, DISABILITY AND LONG TERM CARE

2. NAME OF OTHER BUSINESS: ROESLER AND ASSOCIATES WEALTH MANAGEMENT ;
INVESTMENT RELATED: YES ;
ADDRESS: SAME AS REGISTERED LOCATION ;
NATURE OF BUSINESS: FINANCIAL SERVICES ;
START DATE: 11/2018 ;
POSITION/TITLE/RELATIONSHIP: OSJ, PRINCIPAL ;
APX NUMBER OF HOURS PER WEEK: 60
APX NUMBER OF HOURS DURING TRADING HOURS: 32.5
BRIEF DESCRIPTION OF DUTIES: INSURANCE, TAX PLANNING, INVESTMENTS, RETIREMENT AND ESTATE PLANNING ;

3. NAME OF OTHER BUSINESS: LAND LEASE;
INVESTMENT RELATED: NO;
ADDRESS: 4002 COUNTRY ROAD I SAUKVILLE WI 53080;
NATURE OF BUSINESS: LEASE AGRICULTURAL LAND;
START DATE: 7/2020
POSITION/TITLE/RELATIONSHIP: OWNER;
APX NUMBER OF HOURS PER WEEK: NONE;
APX NUMBER OF HOURS DURING TRADING HOURS: NONE;
BRIEF DESCRIPTION OF DUTIES: LEASE AGRICULTURAL LAND FOR FARMING;

4. NAME OF OTHER BUSINESS: WHITNALL PARK # 2 CONDO ASSOCIATION;
INVESTMENT RELATED: NO;
ADDRESS: 10154 WHITNALL EDGE DR FRANKLIN, WI 53132;
NATURE OF BUSINESS: HOMEOWNERS ASSOCIATION;
START DATE: 09/2023;
POSITION/TITLE/RELATIONSHIP: BOARD MEMBER;
APX NUMBER OF HOURS PER WEEK: 2;
APX NUMBER OF HOURS DURING TRADING HOURS: 2;
BRIEF DESCRIPTION OF DUTIES: MEET AND VOTE ON AFFAIRS FOR THE BENEFIT OF THE ASSOCIATION;



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	3
Termination	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 3

Reporting Source:	Firm
Employing firm when activities occurred which led to the complaint:	LPL Financial LLC and Cetera Advisors LLC
Allegations:	Plaintiff alleges breach of fiduciary duty concerning funds transferred from a 529 account. Timeframe: 2011 - 2018
Product Type:	Other: 529 PLAN
Alleged Damages:	\$250,000.00
Is this an oral complaint?	No
Is this a written complaint?	No
Is this an arbitration/CFTC reparation or civil litigation?	Yes
Arbitration/Reparation forum or court name and location:	234th Judicial District Court of Harris County, Texas
Docket/Case #:	202531086
Filing date of arbitration/CFTC reparation or civil litigation:	05/02/2025

Customer Complaint Information

Date Complaint Received:	05/12/2025
Complaint Pending?	No



Status: Denied

Status Date: 07/14/2025

Settlement Amount:

Individual Contribution Amount:

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: LPL FINANCIAL LLC

Allegations: Plaintiff alleges breach of fiduciary duty concerning funds transferred from a 529 account. Timeframe: 2011 - 2018

Product Type: Other: 529 PLAN

Alleged Damages: \$250,000.00

Is this an oral complaint? No

Is this a written complaint? No

Is this an arbitration/CFTC reparation or civil litigation? Yes

Arbitration/Reparation forum or court name and location: 234th Judicial District Court of Harris County, Texas

Docket/Case #: 202531086

Filing date of arbitration/CFTC reparation or civil litigation: 05/02/2025

Customer Complaint Information

Date Complaint Received: 05/12/2025

Complaint Pending? No

Status: Denied

Status Date: 07/14/2025

Settlement Amount:

Individual Contribution Amount:

Disclosure 2 of 3

Reporting Source: Firm

Employing firm when activities occurred which led to the complaint: AMERICAN EXPRESS FINANCIAL ADVISORS INC.

Allegations: THE CLIENT ALLEGES SHE WAS GIVEN MININFORMATION BY HER ADVISOR REGARDING THE VUL POLICY SHE PURCHASED IN AUGUST 1996.

Product Type: Other



Other Product Type(s): VARIABLE UNIVERSAL LIFE

Alleged Damages: \$10,800.00

Customer Complaint Information

Date Complaint Received: 12/02/2004

Complaint Pending? No

Status: Denied

Status Date: 12/21/2004

Settlement Amount:

Individual Contribution Amount:

Firm Statement THERE WAS NO EVIDENCE TO SUPPORT THE CLIENT'S ALLEGATION FELL UNDER THE TERMS OF THE CLASS ACTION LAWSUIT. THE CLIENT ALREADY RECEIVED THE GENERAL RELIEF SETTLEMENT AS UNDER THE TERMS OF THE CLASS ACTION LAWSUIT.

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: AMERICAN EXPRESS FINANCIAL ADVISORS, INC.

Allegations: CLIENT ALLEGES MISINFORMATION GIVEN BY FINANCIAL ADVISOR REGARDING THE VARIABLE UNIVERSAL LIFE POLICY PURCHASED IN AUGUST 1996.

Product Type: Insurance

Other Product Type(s): VARIABLE UNIVERSAL LIFE

Alleged Damages: \$10,800.00

Customer Complaint Information

Date Complaint Received: 12/02/2004

Complaint Pending? No

Status: Denied

Status Date: 12/21/2004

Settlement Amount:

Individual Contribution Amount:

Broker Statement THERE WAS NO EVIDENCE TO SUPPORT THE CLIENT'S ALLEGATION FELL UNDER THE TERM OF THE CLASS ACTION LAWSUIT. THE CLIENT ALREADY RECEIVED THE GENERAL RELIEF SETTLEMENT AS UNDER THE TERMS OF THE CLASS ACTION LAWSUIT.

Disclosure 3 of 3

Reporting Source: Firm



Employing firm when activities occurred which led to the complaint: AMERICAN EXPRESS FINANCIAL ADVISORS

Allegations: THE CLIENT ALLEGED THAT THE LOSSES SHE EXPERIENCED OVER THE PAST SEVERAL YEARS MAY HAVE BEEN BECAUSE OF POOR ASSET MANAGEMENT ON MY PART

Product Type: Annuity(ies) - Variable

Alleged Damages: \$5,000.00

Customer Complaint Information

Date Complaint Received: 03/24/2004

Complaint Pending? No

Status: Closed/No Action

Status Date: 04/20/2004

Settlement Amount:

Individual Contribution Amount:

Firm Statement THE CLIENT'S INVESTMENTS WERE SUITABLE FOR HER. THE ADVISOR AND CLIENT MET MANY TIMES TO DISCUSS HER PORTFOLIO DURING A PERIOD OF SEVERE AND PROLONGED MARKET DECLINE.

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: AMERICAN EXPRESS FINANCIAL SERVICE

Allegations: THE CLIENT ASKED IF LOSSES SHE EXPERIENCED WERE THE RESULT OF STOCK MARKET OR POOR ASSET MANAGEMENT

Product Type: Annuity(ies) - Variable

Alleged Damages: \$5,000.00

Customer Complaint Information

Date Complaint Received: 03/24/2004

Complaint Pending? No

Status: Closed/No Action

Status Date: 04/19/2004

Settlement Amount: \$0.00

Individual Contribution Amount: \$0.00



Termination

This disclosure event involves a situation where the Investment Adviser Representative voluntarily resigned, was discharged or was permitted to resign after allegations were made that accused the Investment Adviser Representative of violating investment-related statutes, regulations, rules or industry standards of conduct; fraud or the wrongful taking of property; or failure to supervise in connection with investment-related statutes, regulations, rules or industry standards of conduct.

Disclosure 1 of 1

Reporting Source: Firm
Firm Name: LPL FINANCIAL LLC
Termination Type: Discharged
Termination Date: 02/14/2013
Allegations: ALLEGATIONS CONCERNING PRACTICES IN CONNECTION WITH CERTAIN VARIABLE ANNUITY TRANSACTIONS.
Product Type: Annuity-Variable

Reporting Source: Individual
Firm Name: LPL FINANCIAL LLC
Termination Type: Discharged
Termination Date: 02/14/2013
Allegations: ALLEGATIONS CONCERNING PRACTICES IN CONNECTION WITH CERTAIN VARIABLE ANNUITY TRANSACTIONS.
Product Type: Annuity-Variable



End of Report

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