



IAPD Report

WILLIAM ROBERT WILDE

CRD# 2263421

<u>Section Title</u>	<u>Page(s)</u>
Report Summary	1
Qualifications	2 - 5
Registration and Employment History	6 - 7
Disclosure Information	8

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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

WILLIAM ROBERT WILDE (CRD# 2263421)

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 **05/29/2025**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	CETERA ADVISORS LLC	CRD# 10299	04/30/2007
IA	CETERA INVESTMENT ADVISERS LLC	CRD# 105644	03/21/2024

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **20** 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	MESA, AZ	05/08/2007 - 03/21/2024
IA	WACHOVIA SECURITIES FINANCIAL NETWORK, LLC	11025	SCOTTSDALE, AZ	10/30/2003 - 05/01/2007
B	WACHOVIA SECURITIES FINANCIAL NETWORK, LLC	11025	SCOTTSDALE, AZ	04/15/2003 - 05/01/2007

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



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

Employment 1 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 Arizona	Investment Adviser Representative	Approved	03/21/2024
IA Texas	Investment Adviser Representative	Restricted Approval	03/21/2024
IA Utah	Investment Adviser Representative	Approved	05/29/2025

Branch Office Locations

CETERA INVESTMENT ADVISERS LLC
7025 N SCOTTSDALE RD STE 115 and 110
SCOTTSDALE, AZ 85253

CETERA INVESTMENT ADVISERS LLC
950 W ELLIOT RD, SUITE 126
TEMPE, AZ 85284

CETERA INVESTMENT ADVISERS LLC
19420 N 59TH AVE BLDG C STE 261
GLENDALE, AZ 85308

CETERA INVESTMENT ADVISERS LLC
PAYSON, UT

Employment 2 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 Representative	Approved	04/30/2007
B FINRA	Invest. Co and Variable Contracts	Approved	04/30/2007



Qualifications

	Regulator	Registration	Status	Date
B	Arizona	Agent	Approved	04/30/2007
B	California	Agent	Approved	04/30/2007
B	Colorado	Agent	Approved	04/30/2007
B	Connecticut	Agent	Approved	04/30/2007
B	Delaware	Agent	Approved	03/23/2023
B	Idaho	Agent	Approved	07/16/2015
B	Illinois	Agent	Approved	11/19/2020
B	Kansas	Agent	Approved	03/11/2009
B	Maine	Agent	Approved	01/05/2018
B	Maryland	Agent	Approved	01/04/2013
B	Michigan	Agent	Approved	04/30/2007
B	Nevada	Agent	Approved	04/30/2007
B	New Hampshire	Agent	Approved	01/07/2013
B	New Mexico	Agent	Approved	04/30/2007
B	Ohio	Agent	Approved	04/30/2007
B	Oklahoma	Agent	Approved	05/28/2020
B	Texas	Agent	Approved	05/07/2021
B	Utah	Agent	Approved	04/30/2007
B	Washington	Agent	Approved	04/30/2007



Qualifications

Regulator	Registration	Status	Date
B Wisconsin	Agent	Approved	09/29/2008

Branch Office Locations

CETERA ADVISORS LLC
7025 N SCOTTSDALE RD STE 115 & 110
SCOTTSDALE, AZ 85253

CETERA ADVISORS LLC
3200 W RAY ROAD
SUITE 101
CHANDLER, AZ 85226

CETERA ADVISORS LLC
19420 N 59TH AVE BLDG C STE 261
GLENDALE, AZ 85308

CETERA ADVISORS LLC
490 S GOOSENEST DR
PAYSON, UT 84651



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, 3 general industry/product exams, and 3 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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 Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
 General Securities Representative Examination (S7)	Series 7	12/29/1995
 Investment Company Products/Variable Contracts Representative Examination (S6)	Series 6	08/03/1992

State Securities Law Exams

Exam	Category	Date
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 Uniform Investment Adviser Law Examination (S65)	Series 65	10/27/2003
  Uniform Combined State Law Examination (S66)	Series 66	04/10/2001
 Uniform Securities Agent State Law Examination (S63)	Series 63	08/10/1992

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	05/08/2007 - 03/21/2024	CETERA ADVISORS LLC	CRD# 10299	MESA, AZ
IA	10/30/2003 - 05/01/2007	WACHOVIA SECURITIES FINANCIAL NETWORK, LLC	CRD# 11025	SCOTTSDALE, AZ
B	04/15/2003 - 05/01/2007	WACHOVIA SECURITIES FINANCIAL NETWORK, LLC	CRD# 11025	SCOTTSDALE, AZ
B	08/24/2001 - 04/29/2003	RBC DAIN RAUSCHER INC.	CRD# 31194	NEW YORK, NY
B	09/24/1992 - 08/28/2001	WASHINGTON SQUARE SECURITIES, INC.	CRD# 2882	WINDSOR, CT
B	08/05/1992 - 09/16/1992	PRINCOR FINANCIAL SERVICES CORPORATION	CRD# 1137	DES MOINES, IA

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
01/2013 - 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. PACK MULE LLC, 7025 N SCOTTSDALE RD #115, SCOTTSDALE, AZ 85253, START 03/01/05, 75% OWNER, RESIDENTIAL BUILDING OWNERSHIP.
2. WILDE WEALTH MANAGEMENT, SAME AS OFFICE ADDRESS, FIXED INSURANCE AND FINANCIAL SERVICES, 40HR+/WK, COMMISSIONS.
3. RISE UP WEALTH MANAGEMENT GROUP; INVESTMENT RELATED; ADDRESS IS THE REGISTERED LOCATION; DBA FOR FINANCIAL SERVICES; START 6/2015; 35 HOURS/WEEK DURING SECURITIES TRADING HOURS; OWNER.
4. NAME OF OTHER BUSINESS: WILDE WEALTH MANAGEMENT GROUP - SEMINARS;



Registration & Employment History



OTHER BUSINESS ACTIVITIES

INVESTMENT RELATED: YES;
ADDRESS: SAME AS REGISTERED;
NATURE OF BUSINESS: SEMINARS;
START DATE: 07/26/2016;
POSITION/TITLE/RELATIONSHIP: SEMINAR PRESENTER;
APX NUMBER OF HOURS PER WEEK: 2 HOURS;
APX NUMBER OF HOURS DURING TRADING HOURS: VARIES;
BRIEF DESCRIPTION OF DUTIES: SEMINARS TO EDUCATE CLIENTS AND THE PUBLIC.



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

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: Individual

Employing firm when activities occurred which led to the complaint: MULTI-FINANCIAL SECURITIES CORPORATION

Allegations: CLIENT ALLEGED THE REPRESENTATIVE PLACED THE CLIENT IN UNSUITABLE MUTUAL FUNDS AND MISREPRESENTED THE REDEMPTION SCHEDULE OF A REIT. THE CLIENT PURCHASED THESE PRODUCTS IN MAY AND JUNE OF 2008.

Product Type: Mutual Fund(s)

Other Product Type(s): REIT

Alleged Damages: \$12,000.00

Customer Complaint Information

Date Complaint Received: 11/10/2008

Complaint Pending? No

Status: Denied

Status Date: 12/05/2008

Settlement Amount:

Individual Contribution Amount:

Disclosure 2 of 3

Reporting Source: Individual



Employing firm when activities occurred which led to the complaint: MULTI FINANCIAL SECURITIES CORPORATION

Allegations: CLIENT ALLEGES THREE VARIABLE ANNUITIES WERE SOLD UNDER FALSE PRETENSES AND WERE MISREPRESENTED. IN THE ARBITRATION THE CLIENT ALLEGES 2 REITS WERE UNAUTHORIZED.

Product Type: Annuity-Variable
Direct Investment-DPP & LP Interests

Alleged Damages: \$475,000.00

Alleged Damages Amount Explanation (if amount not exact): ESTIMATE FROM ARBITRATION STATEMENT OF CLAIM.

Customer Complaint Information

Date Complaint Received: 04/29/2008

Complaint Pending? No

Status: Denied

Status Date: 07/08/2008

Settlement Amount:

Individual Contribution Amount:

Arbitration Information

Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.): FINRA

Docket/Case #: 09-00723

Date Notice/Process Served: 07/23/2009

Arbitration Pending? No

Disposition: Settled

Disposition Date: 10/01/2010

Monetary Compensation Amount: \$82,500.00

Individual Contribution Amount: \$0.00

Broker Statement ALL OF THESE ALLEGATIONS ARE BEING CONTESTED AND ARE DENIED BY MYSELF AND [THIRD PARTY]. ALL DISCLOSURES AND SUITABILITY REQUIREMENTS WERE MET IN THE PROPER MANNER AS EXPLAINED IN THE RESPONSE WE MADE TO THE INQUIRIES.

Disclosure 3 of 3

Reporting Source: Firm

Employing firm when activities occurred which led to the complaint: WASHINGTON SQUARE SECURITIES, INC.

Allegations: CLIENT PURCHASED A VARIABLE ANNUITY IN 1998 AND ALLEGES



MISREPRESENTATION. ALLEGED DAMAGES ARE ESTIMATED TO EXCEED \$5,000.00.

Product Type: Annuity(ies) - Variable

Alleged Damages:

Customer Complaint Information

Date Complaint Received: 07/07/2003

Complaint Pending? No

Status: Denied

Status Date: 08/06/2003

Settlement Amount:

Individual Contribution Amount:

Firm Statement IN THEIR INVESTIGATION RELIASTAR LIFE INSURANCE COMPANY FOUND NO EVIDENCE TO SUPPORT ALLEGATIONS AND DENIED CLAIM.

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: WASHINGTON SQUARE SECURITIES INC.

Allegations: CLIENT PURCHASED A VARIABLE ANNUITY IN 1998 AND ALLEGES MISREPRESENTATION. ALLEGED DAMAGES ARE ESTIMATED TO EXCEED \$5000.00.

Product Type: Annuity(ies) - Variable

Alleged Damages:

Customer Complaint Information

Date Complaint Received: 07/07/2003

Complaint Pending? No

Status: Denied

Status Date: 08/06/2003

Settlement Amount:

Individual Contribution Amount:

Broker Statement IN THEIR INVESTIGATION RELIASTAR LIFE INSURANCE COMPANY FOUND NO EVIDENCE TO SUPPORT ALLEGATIONS AND DENIED CLAIM.



End of Report

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