



IAPD Report

FRANK ANTHONY REZACK

CRD# 2458612

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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

FRANK ANTHONY REZACK (CRD# 2458612)

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 **11/07/2025**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	BERTHEL, FISHER & COMPANY FINANCIAL SERVICES, INC.	CRD# 13609	04/18/2012
IA	BFC PLANNING, INC.	CRD# 119682	01/31/2014

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **6** 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	KALOS CAPITAL, INC.	44337	ROSEMOUNT, MN	03/19/2012 - 04/23/2012
B	BERTHEL, FISHER & COMPANY FINANCIAL SERVICES, INC.	13609	ROSEMOUNT, MN	06/12/2001 - 03/20/2012
B	ROBERT W. BAIRD & CO. INCORPORATED	8158	MILWAUKEE, WI	06/22/1999 - 06/28/2001

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?

No



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

Employment 1 of 2

Firm Name: **BERTHEL FISHER & COMPANY FINANCIAL SERVICES, INC.**

Main Address: 4201 42ND STREET NE
SUITE 100
CEDAR RAPIDS, IA 52402

Firm ID#: 13609

	Regulator	Registration	Status	Date
	FINRA	General Securities Representative	Approved	04/18/2012
	Florida	Agent	Approved	04/05/2023
	Michigan	Agent	Approved	10/28/2025
	Minnesota	Agent	Approved	04/18/2012
	Ohio	Agent	Approved	11/09/2025
	Texas	Agent	Approved	08/11/2023
	Wisconsin	Agent	Approved	04/18/2012

Branch Office Locations

BERTHEL FISHER & COMPANY FINANCIAL SERVICES, INC.
Rosemount, MN

Employment 2 of 2

Firm Name: **BFC PLANNING, INC.**

Main Address: 4201 42ND STREET NE
SUITE 100
CEDAR RAPIDS, IA 52402

Firm ID#: 119682



Qualifications

Regulator	Registration	Status	Date
IA Minnesota	Investment Adviser Representative	Approved	01/31/2014

Branch Office Locations

BFC PLANNING, INC.
Rosemount, MN



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 General Securities Representative Examination (S7)	Series 7	05/19/1994

State Securities Law Exams

Exam	Category	Date
IA Uniform Investment Adviser Law Examination (S65)	Series 65	09/09/1998
B Uniform Securities Agent State Law Examination (S63)	Series 63	03/04/1994



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
B	03/19/2012 - 04/23/2012	KALOS CAPITAL, INC.	CRD# 44337	ROSEMOUNT, MN
B	06/12/2001 - 03/20/2012	BERTHEL, FISHER & COMPANY FINANCIAL SERVICES, INC.	CRD# 13609	ROSEMOUNT, MN
B	06/22/1999 - 06/28/2001	ROBERT W. BAIRD & CO. INCORPORATED	CRD# 8158	MILWAUKEE, WI
B	03/21/1998 - 06/15/1999	PIPER JAFFRAY INC.	CRD# 665	MINNEAPOLIS, MN
B	06/12/1995 - 03/11/1998	R.J. STEICHEN & COMPANY	CRD# 694	MINNEAPOLIS, MN
B	08/15/1994 - 06/21/1995	JOSEPHTHAL LYON & ROSS INCORPORATED	CRD# 3227	NEW YORK, NY
B	06/07/1994 - 07/22/1994	MATHEWS, HOLMQUIST & ASSOCIATES, INC.	CRD# 22171	

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
04/2012 - Present	BERTHEL FISHER & COMPANY FINANCIAL SERVICES, INC	REGISTERED REPRESENTATIVE	Y	ROSEMOUNT, MN, 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.FRANK REZACK-N-708 N 1ST STREET, SUITE 238, MINNEAPOLIS, MN 55401-INSURANCE SALES-INSURANCE REP-03/11/2001-2-0-INSURANCE SALES.
2.REZACK FINANCIAL SERVICES-Y-708 N 1ST STREET, SUITE 238, MINNEAPOLIS, MN 55401-DBA-OWNER-08/2013-2-0-ADVISE CLIENTS AND PROSPECTS ON FINANCIAL SERVICES. 3. EVERGREEN FINANCIAL SERVICES-Y-708 N 1ST STREET, STE 238, MINNEAPOLIS, MN 55401-DBA-SECURITIES SALES REP-12/01/2013-160-160-SECURITY SALES AND OTHER SECURITIES RELATED INFORMATION. 4. FRANK REZACK-Y-708 N 1ST STE 238, MINNEAPOLIS, MN 55068-ANNUITY SALES-SALES REP-10/09/2014-20-5-SOLICIT LEADS PURCHASED FROM ANNUITY AGENTS ALLIANCE FOR FIXED ANNUITIES & INDEXED ANNUITIES THAT HAVE BEEN APPROVED ON THE BERTHEL PLATFORM.



End of Report

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