



IAPD Report

WILLIAM JOHN ROLSER

CRD# 2635236

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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 JOHN ROLSER (CRD# 2635236)

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 **12/11/2025**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	OSAIC WEALTH, INC.	CRD# 23131	06/14/2024
IA	OSAIC ADVISORY SERVICES, LLC	CRD# 171070	11/08/2024

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **11** 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	ARBOR POINT ADVISORS	165127	STERLING, VA	11/06/2020 - 11/08/2024
B	SECURITIES AMERICA, INC.	10205	Sterling, VA	11/06/2020 - 06/14/2024
IA	KMS FINANCIAL SERVICES, INC	3866	Sterling, VA	07/12/2019 - 11/06/2020

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



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

Employment 1 of 2

Firm Name: **OSAIC ADVISORY SERVICES, LLC**
Main Address: 2300 WINDY RIDGE PARKWAY
SUITE 750
ATLANTA, GA 30339
Firm ID#: 171070

Regulator	Registration	Status	Date
IA Florida	Investment Adviser Representative	Approved	11/08/2024
IA North Carolina	Investment Adviser Representative	Approved	11/22/2024
IA Virginia	Investment Adviser Representative	Approved	11/08/2024

Branch Office Locations

OSAIC ADVISORY SERVICES, LLC
21525 Ridgetop Circle
Suite 175
Sterling, VA 20166

Employment 2 of 2

Firm Name: **OSAIC WEALTH, INC.**
Main Address: 18700 N. HAYDEN ROAD
SUITE 255
SCOTTSDALE, AZ 85255
Firm ID#: 23131

Regulator	Registration	Status	Date
B FINRA	General Securities Principal	Approved	06/14/2024
B FINRA	General Securities Representative	Approved	06/14/2024
B FINRA	Invest. Co and Variable Contracts	Approved	06/14/2024



Qualifications

Regulator	Registration	Status	Date
B Delaware	Agent	Approved	06/14/2024
B Florida	Agent	Approved	06/14/2024
B Maryland	Agent	Approved	06/14/2024
B New Mexico	Agent	Approved	06/14/2024
B New York	Agent	Approved	06/14/2024
B North Carolina	Agent	Approved	06/14/2024
B Oregon	Agent	Approved	06/14/2024
B Pennsylvania	Agent	Approved	06/14/2024
B Rhode Island	Agent	Approved	06/14/2024
B Tennessee	Agent	Approved	06/14/2024
B Virginia	Agent	Approved	06/14/2024

Branch Office Locations

OSAIC WEALTH, INC.
 21525 Ridgetop Circle Suite 175
 Sterling, VA 20166

OSAIC WEALTH, INC.
 BONITA SPRINGS, FL




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



Principal/Supervisory Exams

	Exam	Category	Date
	General Securities Principal Examination (S24)	Series 24	03/27/2000

General Industry/Product Exams

	Exam	Category	Date
	Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
	General Securities Representative Examination (S7)	Series 7	02/16/1999
	Investment Company Products/Variable Contracts Representative Examination (S6)	Series 6	07/07/1995

State Securities Law Exams

	Exam	Category	Date
	Uniform Investment Adviser Law Examination (S65)	Series 65	01/29/1996
	Uniform Securities Agent State Law Examination (S63)	Series 63	07/12/1995

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	11/06/2020 - 11/08/2024	ARBOR POINT ADVISORS	CRD# 165127	STERLING, VA
B	11/06/2020 - 06/14/2024	SECURITIES AMERICA, INC.	CRD# 10205	Sterling, VA
IA	07/12/2019 - 11/06/2020	KMS FINANCIAL SERVICES, INC	CRD# 3866	Sterling, VA
B	07/12/2019 - 11/06/2020	KMS FINANCIAL SERVICES, INC.	CRD# 3866	Sterling, VA
B	02/28/2012 - 07/16/2019	CETERA ADVISORS LLC	CRD# 10299	STERLING, VA
IA	02/28/2012 - 07/16/2019	CETERA ADVISORS LLC	CRD# 10299	STERLING, VA
IA	11/13/2006 - 02/28/2012	PACIFIC WEST FINANCIAL CONSULTANTS INC	CRD# 108728	RENTON, WA
B	11/09/2006 - 02/28/2012	PACIFIC WEST SECURITIES, INC.	CRD# 6390	POTOMAC FALLS, VA
B	01/04/1999 - 12/31/2006	MEDALLION INVESTMENT SERVICES, INC.	CRD# 45314	ROCKVILLE, MD
IA	02/21/1997 - 11/10/2006	MEDALLION ADVISORY SERVICES, LLC	CRD# 113788	ROCKVILLE, MD
B	09/20/1996 - 12/31/1998	SECURITIES SERVICE NETWORK, INC.	CRD# 13318	KNOXVILLE, TN
B	01/01/1996 - 09/18/1996	IFG NETWORK SECURITIES, INC.	CRD# 19948	ATLANTA, GA
B	07/10/1995 - 01/01/1996	COMPREHENSIVE FINANCIAL SERVICES, INC.	CRD# 22710	

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
11/2024 - Present	OSAIC ADVISORY SERVICES, LLC	Mass Transfer	Y	ATLANTA, GA, United States



Registration & Employment History

EMPLOYMENT HISTORY

Employment Dates	Employer Name	Position	Investment Related	Employer Location
06/2024 - Present	OSAIC WEALTH, INC.	Mass Transfer	Y	Sterling, VA, United States
11/1993 - Present	GRP MORTGAGE CORPORATION	PRESIDENT	N	ROCKVILLE, MD, United States
07/1989 - Present	GRP FINANCIAL GROUP, INC	PRESIDENT	Y	ROCKVILLE, MD, United States
11/2020 - 11/2024	ARBOR POINT ADVISORS	IAR	Y	STERLING, VA, United States
11/2020 - 06/2024	SECURITIES AMERICA, INC.	REGISTERED REP	Y	Sterling, VA, United States
07/2019 - 11/2020	KMS Financial Services, Inc.	Registered Representative	Y	Seattle, WA, United States
01/2013 - 07/2019	CETERA ADVISORS LLC	REGISTERED REP	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.

***AEON WEALTH MANAGEMENT

POSITION: Advisor NATURE: Insurance sales and service, primarily term life and long-term care. INVESTMENT RELATED: No NUMBER OF HOURS: 5 SECURITIES TRADING HOURS: 5 START DATE: 01/01/1996 ADDRESS: 21525 Ridgetop Circle, Suite 175, Sterling VA 20166 DESCRIPTION: Life and long-term care insurance sales and service.

***AEON WEALTH MANAGEMENT

POSITION: Financial Advisor NATURE: Aeon Wealth Management - Our RIA business will be conducted through Osaic Advisory Services, LLC. INVESTMENT RELATED: Yes NUMBER OF HOURS: 120 SECURITIES TRADING HOURS: 120 START DATE: 01/01/2000

ADDRESS: 21525 Ridgetop Circle, Sterling VA 20166, United States

DESCRIPTION: RIA business conducted through Osaic Advisory Services, LLC using Charles Schwab as our platform.

**DBA - Aeon Wealth Management

**WILLIAM J. ROLSER

POSITION: Property Owner NATURE: William J. Rolser - Property Rental INVESTMENT RELATED: No NUMBER OF HOURS: 5 SECURITIES TRADING HOURS: 0 START DATE: 01/01/2015 ADDRESS: 28568 San Amaro Drive, Bonita Springs FL 34135 DESCRIPTION: My wife and I own a vacation property in Redmond, Oregon that is also a vacation rental property. We generate income through a property management company that solicits and rents the home to the general public seeking to stay at the resort community of Eagle Crest.



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
Regulatory Event	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:	Florida Office of Financial Regulation
Sanction(s) Sought:	Cease and Desist Civil and Administrative Penalty(ies)/Fine(s)
Date Initiated:	07/12/2023
Docket/Case Number:	115427-SR
URL for Regulatory Action:	
Employing firm when activity occurred which led to the regulatory action:	Arbor Point Advisor, LLC
Product Type:	No Product
Allegations:	Rendered investment advice, from a location within Florida, without being registered by the Office.
Current Status:	Final
Resolution:	Order
Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct?	No
Resolution Date:	07/12/2023
Sanctions Ordered:	Cease and Desist



Civil and Administrative Penalty(ies)/Fine(s)

Monetary Sanction 1 of 1

Monetary Related Sanction: Civil and Administrative Penalty(ies)/Fine(s)

Total Amount: \$11,250.00

Portion Levied against individual: \$11,250.00

Payment Plan:

Is Payment Plan Current:

Date Paid by individual: 07/12/2023

Was any portion of penalty waived? No

Amount Waived:

Regulator Statement

On July 12, 2023, the Office of Financial Regulation (Office) entered a Final Order adopting the Stipulation and Consent Agreement in the matter of William John Rolser (Rolser). Rolser neither admitted nor denied the allegations but consented to the entry of findings by the Office. The Office found that Rolser violated Section 517.12(4), Florida Statutes, by rendering investment advice, from a location within Florida, without being registered by the Office. Rolser agreed to Cease and Desist from violations of Chapter 517, Florida Statutes, and the Administrative Rules adopted thereto, and to pay an administrative fine in the amount of \$11,250. The Office agreed to approve Rolser's application as an associated person (RA) with Arbor Point Advisor, LLC effective July 12, 2023.

Reporting Source: Individual

Regulatory Action Initiated By: Florida Office of Financial Regulation

Sanction(s) Sought: Cease and Desist
Civil and Administrative Penalty(ies)/Fine(s)

Date Initiated: 07/12/2023

Docket/Case Number: 115427-SR

Employing firm when activity occurred which led to the regulatory action: Arbor Point Advisor, LLC

Product Type: No Product

Allegations: Rendering investment advice, from a location within Florida, without being registered by the Office.

Current Status: Final

Resolution: Order

Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct? No



Resolution Date: 07/12/2023
Sanctions Ordered: Cease and Desist
Civil and Administrative Penalty(ies)/Fine(s)

Monetary Sanction 1 of 1

Monetary Related Sanction: Civil and Administrative Penalty(ies)/Fine(s)

Total Amount: \$11,250.00

Portion Levied against individual: \$11,250.00

Payment Plan:

Is Payment Plan Current:

Date Paid by individual: 07/12/2023

Was any portion of penalty waived? No

Amount Waived:

Broker Statement

On July 12, 2023, the Office of Financial Regulation (Office) entered a Final Order adopting the Stipulation and Consent Agreement in the matter of William John Rolser (Rolser). Rolser neither admitted nor denied the allegations but consented to the entry of findings by the Office. The Office found that Raiser violated Section 517.12(4), Florida Statutes, by rendering investment advice, from a location within Florida, without being registered by the Office. Rolser agreed to Cease and Desist from violations of Chapter 517, Florida Statutes, and the Administrative Rules adopted thereto, and to pay an administrative fine in the amount of \$11,250. The Office agreed to approve Raiser's application as an associated person (RA) with Arbor Point Advisor, LLC effective July 12, 2023.



End of Report

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