



IAPD Report

RODOLFO ALLAN TROY ARGOSINO

CRD# 2720277

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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

RODOLFO ALLAN TROY ARGOSINO (CRD# 2720277)

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 **02/19/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
IA	AE WEALTH MANAGEMENT, LLC	CRD# 282580	01/28/2025

QUALIFICATIONS

This representative is currently registered in **0** SRO(s) and **1** 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	RUGGIERI WEALTH ADVISORS LLC	285787	San Francisco, CA	07/22/2024 - 01/31/2025
IA	AVENTINE WEALTH MANAGEMENT LLC	300712	SAN FRANCISCO, CA	04/24/2019 - 12/31/2023
IA	PRINCIPAL SECURITIES, INC.	1137	San Francisco, CA	06/12/2017 - 12/31/2018

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	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 **1** jurisdiction(s) and **0** SRO(s) through his or her employer(s).

Employment 1 of 1

Firm Name: **AE WEALTH MANAGEMENT, LLC**
Main Address: 2950 SW MCCLURE ROAD
SUITE B
TOPEKA, KS 66614
Firm ID#: 282580

	Regulator	Registration	Status	Date
	California	Investment Adviser Representative	Approved	01/28/2025

Branch Office Locations

AE WEALTH MANAGEMENT, LLC
650 California St.
7th Floor
San Francisco, CA 94108



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
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B	Securities Industry Essentials Examination (SIE)	SIE	04/29/2024
B	General Securities Representative Examination (S7)	Series 7	07/30/1996

State Securities Law Exams

Exam	Category	Date
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B	Uniform Securities Agent State Law Examination (S63)	Series 63	05/27/2017
IA	Uniform Investment Adviser Law Examination (S65)	Series 65	12/15/2008



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
IA	07/22/2024 - 01/31/2025	RUGGIERI WEALTH ADVISORS LLC	CRD# 285787	San Francisco, CA
IA	04/24/2019 - 12/31/2023	AVENTINE WEALTH MANAGEMENT LLC	CRD# 300712	SAN FRANCISCO, CA
IA	06/12/2017 - 12/31/2018	PRINCIPAL SECURITIES, INC.	CRD# 1137	San Francisco, CA
B	05/17/2017 - 12/31/2018	PRINCIPAL SECURITIES, INC.	CRD# 1137	San Francisco, CA
IA	06/09/2015 - 12/14/2016	CRESCITA CAPITAL LLC	CRD# 174990	BELLEVUE, WA
IA	01/21/2010 - 02/25/2015	J.P. MORGAN SECURITIES LLC	CRD# 79	SAN FRANCISCO, CA
B	01/20/2010 - 02/25/2015	J.P. MORGAN SECURITIES LLC	CRD# 79	SAN FRANCISCO, CA
B	06/01/2009 - 02/11/2010	MORGAN STANLEY SMITH BARNEY	CRD# 149777	SAN FRANCISCO, CA
IA	06/01/2009 - 02/11/2010	MORGAN STANLEY SMITH BARNEY LLC	CRD# 149777	SAN FRANCISCO, CA
IA	12/23/2008 - 06/01/2009	CITIGROUP GLOBAL MARKETS INC.	CRD# 7059	SAN FRANCISCO, CA
B	05/27/2000 - 06/01/2009	CITIGROUP GLOBAL MARKETS INC.	CRD# 7059	SAN FRANCISCO, CA
B	07/31/1996 - 05/27/2000	SCHRODER & CO. INC.	CRD# 6112	NEW YORK, NY

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
02/2026 - Present	My Retirement Coach	Financial Advisor	Y	San Francisco, CA, United States
01/2025 - Present	AE Wealth Management LLC	Investment Advisor Representative	Y	Topeka, KS, United States
01/2019 - Present	Allan Argosino - Sole Proprietor	Insurance Agent	Y	San Francisco, CA, United States



Registration & Employment History



EMPLOYMENT HISTORY

Employment Dates	Employer Name	Position	Investment Related	Employer Location
01/2025 - 02/2026	RH Capital	Financial Advisor	Y	San Francisco, CA, United States
07/2024 - 01/2025	Ruggieri Wealth Advisors LLC	Investment Advisor Representative	Y	San Francisco, CA, United States
01/2019 - 12/2023	Aventine Wealth Management LLC	Managing Member/Investment Advisor Representative	Y	San Francisco, CA, United States
01/2019 - 01/2023	OMNI Hypnosis	Head of US Operations	N	San Francisco, CA, United States
05/2017 - 12/2018	Principal Life Insurance Company	Insurance Agent	Y	San Francisco, CA, United States
05/2017 - 12/2018	Principal Securities Inc	REGISTERED REPRESENTATIVE/INVESTMENT ADVISOR REPRESENTATIVE	Y	San Francisco, CA, United States
08/2016 - 05/2017	Allan Argosino - Sole Proprietor	Management Consultant	N	San Francisco, CA, United States
02/2015 - 12/2016	Crescita Capital, LLC	CEO/Investment Advisor Representative	Y	San Francisco, CA, 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) Allan Argosino - Sole proprietor; investment-related; 300 16th Ave #4016 San Francisco CA 94118; Insurance Agent, since 01/2019; approximately 50 hours per month; sales of insurance products.



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	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 1

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	SALOMON SMITH BARNEY INC. (FORMERLY SCHRODER & CO., INC.)
Allegations:	ALLEGED UNAUTHORIZED TRADING, FRAUD UNSUITABILITY, BREACH OF FIDUCIARY DUTY, VIOLATIONS OF TEXAS COMMON LAW, TEXAS BUS. & COM. CODE, VIOLATIONS OF NASD AND NYSE RULES, NEGLIGENCE, AND BREACH OF CONTRACT BETWEEN 2/2000-9/2001.
Product Type:	Equity-OTC
Alleged Damages:	\$645,000.00

Customer Complaint Information

Date Complaint Received:	
Complaint Pending?	No
Status:	Settled
Status Date:	05/20/2002
Settlement Amount:	\$360,000.00
Individual Contribution Amount:	\$0.00

Arbitration Information

Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.):	NASD
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Docket/Case #: NASD-DR 01-06679

Date Notice/Process Served: 12/26/2001

Arbitration Pending? No

Disposition: Settled

Disposition Date: 05/20/2002

Monetary Compensation Amount: \$360,000.00

Individual Contribution Amount: \$0.00

Broker Statement

THIS MATTER WAS SETTLED BY SALOMON SMITH BARNEY IN 12/26/2001 FOR \$360,000, AND I WAS NOT FOUND AT FAULT OR ASKED TO CONTRIBUTE TO THE SETTLEMENT. THE SETTLEMENT WAS DONE SO WITHOUT MY INPUT, AS I VEHEMENTLY DISAGREED WITH THE SETTLEMENT BECAUSE I DID NOT COMMIT THE ALLEGED WRONGDOING. IN FACT, I WAS NOT CAPABLE OF COMMITTING THE UNAUTHORIZED TRADING AND IMPROPER ACTIVITIES IN THIS CLIENT ACCOUNT BECAUSE I DID NOT HAVE ACCESS TO VIEW OR TRANSACT IN THIS ACCOUNT, AT THE TIME THAT THE ALLEGED UNAUTHORIZED TRADES TOOK PLACE.

[CUSTOMER] WAS A CLIENT OF MINE FROM FEBRUARY 2000 TO APRIL 2000 IN LOS ANGELES; AFTER JUST A FEW MONTHS OF WORKING WITH THE CLIENT, I TRANSFERRED FROM LOS ANGELES OFFICE OF SALOMON SMITH BARNEY TO SAN FRANCISCO, AND MY JOB DESCRIPTION CHANGED FROM BEING A PRIVATE CLIENT BROKER (WORKING WITH INDIVIDUAL RETAIL ACCOUNTS) TO AN INSTITUTIONAL EQUITY SALES (WORKING WITH MONEY/PORTFOLIO MANAGERS, ANALYSTS, HEDGE FUNDS). AS I TRANSITIONED TO MY NEW JOB, I NO LONGER HAD ACCESS TO OR MANAGEMENT OF THE RETAIL ACCOUNTS THAT I HAD PREVIOUSLY DEALT WITH, AND MY RETAIL BOOK TRANSFERRED TO A NEW BROKER AND SALES ASSISTANT IN THE LA OFFICE. THE LAWSUIT NAMED ME AS A DEFENDANT BECAUSE I WAS THE INITIAL BROKER OF RECORD ALTHOUGH I WAS NO LONGER INVOLVED IN THE ACCOUNT, AND COULD NOT TRADE IN THE ACCOUNT. I LATER LEARNED THAT THE ASSISTANT HANDLING [CUSTOMER] ACCOUNT (AFTER I HAD MOVED TO SAN FRANCISCO) HAD BEEN RESPONSIBLE FOR THE UNAUTHORIZED TRADES AND IMPROPER ACTIVITIES THAT TOOK PLACE IN THE ACCOUNT; HE WAS FOUND GUILTY OR WRONGDOING, FIRED FROM THE FIRM AND BARRED FROM THE INDUSTRY. THE BRANCH MANAGER WAS ALSO FOUND GUILTY OF FAILURE TO SUPERVISE AND SANCTIONED. I WANT TO EMPHATICALLY STATE THAT THIS NEGATIVE MARK ON MY U4 SHOULD NOT BE THERE, AND I AM IN THE PROCESS OF SEEKING LEGAL COUNSEL TO GET IT PERMANENTLY REMOVED.



End of Report

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