IAPD Report

STEVEN MARK BOBLIS

CRD# 3044031

Section Title

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

User Guidance

www.adviserinfo.sec.gov

Report Summary

STEVEN MARK BOBLIS (CRD# 3044031)

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 **05/14/2024**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
IA	FARTHER	CRD# 302050	11/21/2022

QUALIFICATIONS

This representative is currently registered in **0** SRO(s) and **3** 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	THE RETIREMENT GROUP, LLC	148296	Bay Point, CA	01/16/2018 - 12/21/2022
B	FSC SECURITIES CORPORATION	7461	BAY POINT, CA	02/08/2012 - 11/28/2022
IA	THE RETIREMENT GROUP, LLC	148296	San Ramon, CA	03/31/2011 - 12/31/2017

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	2
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 **3** jurisdiction(s) and **0** SRO(s) through his or her employer(s).

Employment 1 of 1

Firm Name: **FARTHER**

Main Address: 345 CALIFORNIA STREET
SUITE 600
SAN FRANCISCO, CA 94104

Firm ID#: 302050

	Regulator	Registration	Status	Date
IA	California	Investment Adviser Representative	Approved	11/21/2022
IA	Oregon	Investment Adviser Representative	Approved	09/17/2024
IA	Texas	Investment Adviser Representative	Restricted Approval	11/21/2022

Branch Office Locations

FARTHER
Roseburg, OR

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

Principal/Supervisory Exams

	Exam	Category	Date
	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	12/13/2000
B	Corporate Securities Limited Representative Examination (S62)	Series 62	02/14/2000
B	Investment Company Products/Variable Contracts Representative Examination (S6)	Series 6	05/26/1998

State Securities Law Exams

	Exam	Category	Date
IA B	Uniform Combined State Law Examination (S66)	Series 66	07/21/2008
B	Uniform Securities Agent State Law Examination (S63)	Series 63	06/01/1998

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	01/16/2018 - 12/21/2022	THE RETIREMENT GROUP, LLC	CRD# 148296	Bay Point, CA
B	02/08/2012 - 11/28/2022	FSC SECURITIES CORPORATION	CRD# 7461	BAY POINT, CA
IA	03/31/2011 - 12/31/2017	THE RETIREMENT GROUP, LLC	CRD# 148296	San Ramon, CA
IA	02/26/2015 - 04/18/2016	FSC SECURITIES CORPORATION	CRD# 7461	BAY POINT, CA
IA	08/19/2008 - 02/11/2011	QA3 FINANCIAL LLC	CRD# 104957	GLIDE, OR
B	03/30/2006 - 02/11/2011	QA3 FINANCIAL CORP.	CRD# 14754	GLIDE, OR
B	08/07/2003 - 03/30/2006	GREAT NORTHERN FINANCIAL SECURITIES, INC.	CRD# 113054	ROSEBURG, OR
B	04/22/2002 - 11/05/2002	VERITRUST FINANCIAL, LLC	CRD# 106594	AUSTIN, TX
B	08/31/2001 - 04/22/2002	ARAGON FINANCIAL SERVICES, INC.	CRD# 16023	IRVINE, CA
B	04/10/2000 - 06/14/2000	INTERFIRST CAPITAL CORPORATION	CRD# 7659	LOS ANGELES, CA
B	10/22/1999 - 04/10/2000	SAN CLEMENTE SECURITIES, INC.	CRD# 21895	SAN CLEMENTE, CA
B	07/22/1998 - 10/25/1999	SIGNATOR INVESTORS, INC.	CRD# 468	BOSTON, MA

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
11/2022 - Present	FARTHER FINANCE ADVISORS, LLC	WEALTH ADVISOR	Y	ROSEBURG, OR, United States
02/2012 - 11/2022	FSC SECURITIES CORPORATION	REGISTERED REPRESENTATIVE	Y	ATLANTA, GA, United States

Registration & Employment History

EMPLOYMENT HISTORY

Employment Dates	Employer Name	Position	Investment Related	Employer Location
09/2009 - 11/2022	THE RETIREMENT GROUP	IAR	Y	SAN DIEGO, 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. FIXED INSURANCE SALES
POSITION: Representative NATURE: Offering fixed annuities and insurance products to potential clients INVESTMENT RELATED: Yes NUMBER OF HOURS: 10 SECURITIES TRADING HOURS: 10 START DATE: 09/01/1995
DESCRIPTION: I offer fixed annuities and insurance products to existing clients and new prospects

2. THE BOBLIS CORPORATION
POSITION: Owner - NATURE: Corporation - INVESTMENT RELATED: No NUMBER OF HOURS: 0 SECURITIES TRADING HOURS: 0 START DATE: 03/07/2012
DESCRIPTION: I established a corporation for my personal use. It is not marketed to the public. It is only in existence for tax purposes. Compensation I receive is moved into my corporate bank account and then I pay myself from that account.

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	2
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 2

Reporting Source: Firm

Employing firm when activities occurred which led to the complaint: The Retirement Group, LLC

Allegations: Client alleges that advisor did not invest his funds in a timely manner and he was charged advisory fees while sitting in cash when he thought the advisor would invest his funds.

Product Type: No Product

Alleged Damages: $10,000.00

Alleged Damages Amount Explanation (if amount not exact): Client alleges that advisor did not invest his funds in a timely manner and he was charged advisory fees while sitting in cash when he thought the advisor would invest his funds. We do not yet know the extent of potential damages

Is this an oral complaint? No

Is this a written complaint? Yes

Is this an arbitration/CFTC reparation or civil litigation? No

Customer Complaint Information

Date Complaint Received: 11/30/2022

Complaint Pending? Yes

Settlement Amount:

Individual Contribution

Amount:

Disclosure 2 of 2

Reporting Source:	Regulator
Employing firm when activities occurred which led to the complaint:	N/A
Allegations:	BREACH OF FIDUCIARY DUTY; INTENTIONAL AND NEGLIGENT MISREPRESENTATION; NEGLIGENCE, GROSS NEGLIGENCE, RECKLESS AND/OR WILLFUL MISCONDUCT; BREACH OF CONTRACT; BREACH OF IMPLIED COVENANT OF GOOD FAITH AND FAIR DEALING; VIOLATION OF THE CALIFORNIA CORPORATE SECURITIES LAW OF 1968; AND VIOLATION OF FINRA RULES OF FAIR PRACTICE.
Product Type:	Real Estate Security
Alleged Damages:	$40,000.00

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.:	FINRA - CASE #13-03214
Date Notice/Process Served:	10/28/2013
Arbitration Pending?	No
Disposition:	Award
Disposition Date:	05/14/2014
Disposition Detail:	RESPONDENT IS LIABLE FOR AND SHALL PAY TO THE CLAIMANT COMPENSATORY DAMAGES IN THE AMOUNT OF $40,000.

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	GREAT NORTHERN FINANCIAL SERVICES, INC
Allegations:	CUSTOMER ALLEGES UNSUITABILITY IN CONNECTION WITH REIT INVESTMENT.** BREACH OF FIDUCIARY DUTY; INTENTIONAL AND NEGLIGENT MISREPRESENTATION; NEGLIGENCE, GROSS NEGLIGENCE, RECKLESS AND/OR WILLFUL MISCONDUCT; BREACH OF CONTRACT; BREACH OF IMPLIED COVENANT OF GOOD FAITH AND FAIR DEALING; VIOLATION OF THE CALIFORNIA CORPORATE SECURITIES LAW OF 1968; AND VIOLATION OF FINRA RULES OF FAIR PRACTICE.
Product Type:	Real Estate Security
Alleged Damages:	$40,000.00

Arbitration Information

Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.):	FINRA
Docket/Case #:	13-03214
Date Notice/Process Served:	11/12/2013

Arbitration Pending?	No
Disposition:	Award to Customer
Disposition Date:	05/14/2014
Monetary Compensation Amount:	$40,000.00
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:	The Retirement Group LLC
Termination Type:	Voluntary Resignation
Termination Date:	11/21/2022
Allegations:	Advisor took client Personal Identifiable Information from firm in violation of contract, privacy policy, Reg SP and California Affirmative Consent Law
Product Type:	No Product

End of Report

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