



IAPD Report

GREGORY JOSEPH ROLFES

CRD# 3271782

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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

GREGORY JOSEPH ROLFES (CRD# 3271782)

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 **07/22/2025**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
IA	WEALTH ENHANCEMENT ADVISORY SERVICES, LLC	CRD# 116407	05/01/2024
B	WEALTH ENHANCEMENT BROKERAGE SERVICES, LLC	CRD# 130139	06/14/2024

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **25** 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	LPL FINANCIAL LLC	6413	ST LOUIS, MO	05/01/2024 - 06/30/2025
IA	THE RETIREMENT GROUP, LLC	148296	st. louis, MO	04/09/2019 - 06/07/2024
B	OSAIC WEALTH, INC.	23131	ST LOUIS, MO	11/03/2023 - 05/06/2024

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

Employment 1 of 2

Firm Name: **WEALTH ENHANCEMENT BROKERAGE SERVICES, LLC**

Main Address: 505 N HIGHWAY 169
SUITE 900
PLYMOUTH, MN 55441

Firm ID#: 130139

Regulator	Registration	Status	Date
 FINRA	General Securities Representative	Approved	06/14/2024
 Alabama	Agent	Approved	06/30/2025
 Arizona	Agent	Approved	06/30/2025
 California	Agent	Approved	06/30/2025
 Colorado	Agent	Approved	06/30/2025
 Connecticut	Agent	Approved	06/30/2025
 Florida	Agent	Approved	06/23/2025
 Georgia	Agent	Approved	06/30/2025
 Idaho	Agent	Approved	06/30/2025
 Illinois	Agent	Approved	06/30/2025
 Indiana	Agent	Approved	06/30/2025
 Kansas	Agent	Approved	06/30/2025
 Louisiana	Agent	Approved	06/30/2025



Qualifications

Regulator	Registration	Status	Date
B Michigan	Agent	Approved	06/30/2025
B Mississippi	Agent	Approved	06/30/2025
B Missouri	Agent	Approved	06/30/2025
B Nebraska	Agent	Approved	06/30/2025
B New Jersey	Agent	Approved	06/30/2025
B New Mexico	Agent	Approved	06/30/2025
B North Dakota	Agent	Approved	06/30/2025
B Oklahoma	Agent	Approved	06/30/2025
B Oregon	Agent	Approved	06/30/2025
B Tennessee	Agent	Approved	06/30/2025
B Texas	Agent	Approved	06/30/2025
B Washington	Agent	Approved	06/30/2025
B Wisconsin	Agent	Approved	06/30/2025

Branch Office Locations

10733 SUNSET OFFICE DR
SUITE 225
ST LOUIS, MO 63127

Employment 2 of 2

Firm Name: **WEALTH ENHANCEMENT ADVISORY SERVICES, LLC**
Main Address: 505 N HIGHWAY 169
SUITE 900
PLYMOUTH, MN 55441
Firm ID#: 116407



Qualifications

Regulator	Registration	Status	Date
IA Missouri	Investment Adviser Representative	Approved	05/01/2024

Branch Office Locations

WEALTH ENHANCEMENT ADVISORY SERVICES, LLC

10733 SUNSET OFFICE DR
SUITE 225
ST LOUIS, MO 63127



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 3 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	08/10/1999

State Securities Law Exams

Exam	Category	Date
IA B Uniform Combined State Law Examination (S66)	Series 66	12/16/2014
IA Uniform Investment Adviser Law Examination (S65)	Series 65	12/02/1999
B Uniform Securities Agent State Law Examination (S63)	Series 63	08/17/1999

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	05/01/2024 - 06/30/2025	LPL FINANCIAL LLC	CRD# 6413	ST LOUIS, MO
IA	04/09/2019 - 06/07/2024	THE RETIREMENT GROUP, LLC	CRD# 148296	ST. LOUIS, MO
B	11/03/2023 - 05/06/2024	OSAIC WEALTH, INC.	CRD# 23131	ST LOUIS, MO
B	11/06/2001 - 11/03/2023	FSC SECURITIES CORPORATION	CRD# 7461	ST LOUIS, MO
IA	02/24/2015 - 03/19/2019	BUTLER ASSOCIATES FINANCIAL PLANNERS, INC.	CRD# 115612	ST. LOUIS, MO
B	08/14/1999 - 11/07/2001	FRANKLIN FINANCIAL SERVICES CORPORATION	CRD# 5435	HOUSTON, TX

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
05/2024 - Present	WEALTH ENHANCEMENT ADVISORY SERVICES	INVESTMENT ADVISOR REPRESENTATIVE	Y	ST LOUIS, MO, United States
05/2024 - Present	WEALTH ENHANCEMENT BROKERAGE SERVICES	REGISTERED REPRESENTATIVE	Y	ST LOUIS, MO, United States
05/2024 - Present	WEALTH ENHANCEMENT GROUP	VP, FINANCIAL ADVISOR	Y	ST LOUIS, MO, United States
07/2000 - Present	GREGORY ROLFES CPA PC	OWNER, CPA	N	ST. LOUIS, MO, United States
05/2024 - 06/2025	LPL Financial LLC	Registered Representative	Y	ST LOUIS, MO, United States
11/2023 - 04/2024	OSAIC WEALTH, INC.	Mass Transfer	Y	ST LOUIS, MO, United States
11/2001 - 11/2023	FSC SECURITIES CORPORATION	REGISTERED REP.	Y	ST. LOUIS, MO, United States
12/2014 - 03/2019	BUTLER ASSOCIATES FINANCIAL PLANNERS, INC	INVESTMENT ADVISOR REPRESENTATIVE	Y	ST. LOUIS, MO, United States



Registration & Employment History

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. 04/05/2024- GREGORY ROLFES CPA- Tax Prep/Accounting/CPA- location put at reported business location (s)- 80 hr per mnth- 2 hrs during trading-start date 4/30/2024
2. 05/23/2024 - WEALTH ENHANCEMENT ADVISORY SERVICES LLC - Inv Related - At Reported Business Location(s) - Registered Investment Advisor - Advisor - Started: 4/30/2024 - 160 Hrs/Mo; 8 Hrs During Trading - I provide investment advisory services through Wealth Enhancement Advisory Services, LLC an independent investment advisor firm. I started this business activity in 5/2024. I expect to spend approximately 160 hours per month on this activity. Please see the advisory firm's Form ADV for more information about its address, the nature of its business, its owners, and its services at <http://www.adviserinfo.sec.gov/IAPD>.



End of Report

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