



IAPD Report

PETER JOHN ROTHAMEL

CRD# 4177891

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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

PETER JOHN ROTHAMEL (CRD# 4177891)

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 **07/19/2019**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
IA	ROTHAMEL WEALTH MANAGEMENT, LLC	CRD# 302081	05/09/2019

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	SUCCESSFUL RESOURCE MANAGEMENT, LTD.	110317	JOHNSTON, IA	05/22/2013 - 07/19/2019
B	INVESTACORP, INC.	7684	JOHNSTON, IA	11/29/2013 - 09/14/2018
B	BROKER DEALER FINANCIAL SERVICES CORP.	8073	URBANDALE, IA	07/16/2010 - 12/02/2013

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	3
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: **ROTHAMEL WEALTH MANAGEMENT, LLC**
Main Address: URBANDALE, IA
Firm ID#: 302081

	Regulator	Registration	Status	Date
	Iowa	Investment Adviser Representative	Approved	05/28/2019
	Minnesota	Investment Adviser Representative	Approved - Pending IAR CE	01/01/2026
	Texas	Investment Adviser Representative	Restricted Approval	05/09/2019

Branch Office Locations

ROTHAMEL WEALTH MANAGEMENT, LLC
URBANDALE, IA





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




Principal/Supervisory Exams

	Exam	Category	Date
	Municipal Securities Principal Examination (S53)	Series 53	04/20/2011
	General Securities Principal Examination (S24)	Series 24	01/18/2011

General Industry/Product Exams

	Exam	Category	Date
	Securities Industry Essentials Examination (SIE)	SIE	09/14/2018
	General Securities Representative Examination (S7)	Series 7	06/19/2000

State Securities Law Exams

	Exam	Category	Date
	 Uniform Combined State Law Examination (S66)	Series 66	03/15/2005
	Uniform Securities Agent State Law Examination (S63)	Series 63	06/21/2000

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	05/22/2013 - 07/19/2019	SUCCESSFUL RESOURCE MANAGEMENT, LTD.	CRD# 110317	JOHNSTON, IA
B	11/29/2013 - 09/14/2018	INVESTACORP, INC.	CRD# 7684	JOHNSTON, IA
B	07/16/2010 - 12/02/2013	BROKER DEALER FINANCIAL SERVICES CORP.	CRD# 8073	URBANDALE, IA
IA	07/19/2010 - 05/01/2013	INVESTMENT ADVISORS CORP	CRD# 117531	WEST DES MOINES, IA
IA	03/16/2005 - 07/19/2010	WELLS FARGO INVESTMENTS, LLC	CRD# 10582	ADEL, IA
B	12/01/2004 - 07/19/2010	WELLS FARGO INVESTMENTS, LLC	CRD# 10582	ADEL, IA
B	06/20/2000 - 12/01/2004	EDWARD JONES	CRD# 250	ST. LOUIS, MO

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
04/2019 - Present	ROTHAMEL WEALTH MANAGEMENT, LLC	MANAGING MEMBER AND CHIEF COMPLIANCE OFFICER	Y	URBANDALE, IA, United States
05/2013 - Present	SUCCESSFUL RESOURCE MANAGEMENT, LTD.	INVESTMENT ADVISOR REPRESENTATIVE	Y	URBANDALE, IA, United States
11/2013 - 09/2018	INVESTACORP INC	REGISTERED REPRESENTATIVE	Y	MIAMI, FL, 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) Peter Rothamel Insurance, Investment Related, Conducted from 4812 63rd Street, Urbandale, IA 50322. The nature of the Outside Business Activity (OBA) is fixed insurance sales, my position in the organization is owner, the duties of this position are fixed insurance sales. 11/2012 was the start of the relationship with the other business and 0 hours are devoted to the other



Registration & Employment History



OTHER BUSINESS ACTIVITIES

business per week and 5 of hours are devoted to the other business during securities trading hours per month.

2) Author, Non-Investment Related, Conducted from 4812 63rd Street, Urbandale, IA 50322. The nature of the Outside Business Activity (OBA) is book sales, my position in the organization is owner. The duties of this position are author of book titled "Let's Blame Everybody". 2010 was the start of the relationship with the other business and 0 hours are devoted to the other business per week and 0 of hours are devoted to the other business during securities trading hours per month.

3) CARTRIGHT & KENNEDY, INC, NON-INVESTMENT RELATED, CONDUCTED FROM 108 THIRD STREET, SUITE 322, DES MOINES, IA 50309. THE NATURE OF THE OUTSIDE BUSINESS ACTIVITY (OBA) IS CARTRIGHT & KENNEDY INC., MY POSITION IN THE ORGANIZATION IS OFFICER. 07/2016 WAS THE START OF THE RELATIONSHIP WITH THE OTHER BUSINESS AND 1 HOURS ARE DEVOTED TO THE OTHER BUSINESS PER WEEK AND 0 OF HOURS ARE DEVOTED TO THE OTHER BUSINESS DURING SECURITIES TRADING HOURS PER MONTH.



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	3
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 3

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	WELLS FARGO INVESTMENTS, LLC
Allegations:	CLIENT STATES HE WAS MISLED BY HIS FC ON HIS INVESTMENT PLAN. HE ALSO INDICATES HE ONLY WANTED A 3 YEAR ANNUITY CONTRACT AND THE CONTRACT IS FOR 7 YEARS. DATES OF ALLEGED ACTIVITIES: 02/08/07 - 04/14/09
Product Type:	Annuity-Variable
Alleged Damages:	\$0.00
Alleged Damages Amount Explanation (if amount not exact):	WHEN ORIGINAL COMPLAINT LETTER WAS RECEIVED IT WAS NOT DEEMED TO BE REPORTABLE ON BROKER'S U4. COMPLAINT WAS SINCE SETTLED ON JULY 22, 2009 FOR AN AMOUNT OVER \$15K.
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:	04/14/2009
Complaint Pending?	No
Status:	Settled



Status Date: 07/22/2009

Settlement Amount: \$15,300.96

Individual Contribution Amount: \$7,650.58

Disclosure 2 of 3

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: WELLS FARGO INVESTMENTS, LLC

Allegations: CLIENT'S ALLEGE THEIR FC MISREPRESENTED THE TERMS OF THEIR INVESTMENTS WHICH HAS RESULTED IN LOSSES TO THEIR ACCOUNT. DATES OF ALLEGED ACTIVITIES: OCTOBER 2007 - JUNE 2009

Product Type: Mutual Fund
Unit Investment Trust

Alleged Damages: \$15,400.00

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: 06/10/2009

Complaint Pending? No

Status: Denied

Status Date: 07/17/2009

Settlement Amount:

Individual Contribution Amount:

Broker Statement

I MET WITH THE [CUSTOMERS] IN LATE '07. ACCORDING TO MY NOTES FROM THOSE MEETINGS WE OPENED A JOINT ACCOUNT TO INVEST LIQUID ASSETS FROM THE SALE OF A HOME IN WISCONSIN INSTEAD OF PUTTING IT DOWN ON THEIR NEW HOUSE HERE. WE DISCUSSED SEVERAL OPTIONS FOR THE MONEY DEPENDING ON WHAT THEY DID WITH THE MORTGAGE. ALSO REVIEWED RETIREMENT ACCOUNTS AND SOLICITED AN IRA FOR HER TO MOVE MONEY FROM A FIXED ANNUITY RETIREMENT ACCOUNT FROM THE STATE OF WISCONSIN. FOR THE JOINT ACCOUNT I RECOMMENDED TO 1035 A CURRENT ANNUITY THAT THEY HAD WITH LUTHERAN BROTHERHOOD THAT HAD NO ANNUAL STEP UP IN DEATH BENEFIT TO A RIVERSOURCE ANNUITY WITH AN ENHANCED DEATH BENEFIT. WE HAD ALSO DISCUSSED A MET LIFE ANNUITY WITH AN INCOME BENEFIT BUT MY NOTES REFLECT THAT THAT WAS REJECTED DUE TO COST. THE ADDITIONAL MONEY WAS INVESTED IN OPPENHEIMER ROCHESTER FUND (MUNICIPAL BOND FUND). THIS PROVIDED FEDERALLY TAX FREE INCOME WITH REINVESTMENT OF DIVIDENDS. THERE WAS ALSO AN INVESTMENT INTO A FIRST TRUST MUNICIPAL TRUST FOR THE SAME REASONS AS WE INVESTED IN OPPENHEIMER. THE FUNDS PERFORMED POORLY AND BUT SINCE THE TIME FRAME FOR THE



INVESTMENTS WAS AT LEAST FIVE YEARS I DID NOT SUGGEST THAT THEY SELL OUT.

THE INVESTMENTS HAD BEEN PURCHASED VIA DOLLAR COST AVERAGE OVER SIX MONTHS FROM OCTOBER OF '07 TO MARCH OF '08. I SPOKE WITH THE CLIENTS SEVERAL TIMES THROUGH THE FIRST HALF OF 2008 AND THEY WERE CONSISTENTLY UPSET WITH PERFORMANCE. I NEVER RECOMMENDED THAT THEY SELL THESE INVESTMENTS.

Disclosure 3 of 3

Reporting Source:

Individual

Employing firm when activities occurred which led to the complaint:

WELLS FARGO INVESTMENTS, LLC.

Allegations:

CLIENT ALLEGED MISREPRESENTATION AND THAT HE WAS NOT PROVIDED A PROSPECTUS AT THE TIME OF HIS INVESTMENT ON OCTOBER 20, 2005. NO DAMAGES STATED.

Product Type:

Other

Other Product Type(s):

REAL ESTATE INVESTMENT TRUST

Alleged Damages:**Customer Complaint Information****Date Complaint Received:**

11/29/2005

Complaint Pending?

No

Status:

Denied

Status Date:

12/15/2005

Settlement Amount:**Individual Contribution Amount:****Broker Statement**

I MET WITH CLIENT IN WAUKEE AT 2 PM ON 10/7/05. DISCUSSED INVESTMENT OPTIONS AND SOLICITED THE INVESTMENT IN QUESTION, AS WELL AS, A FIRST TRUST UIT AND ANOTHER CD. PER CLIENT'S COMMENTS IN THE INTERVIEW, I RECOMMENDED THE REIT BECAUSE OF THE STEADY INCOME PROVIDED. I PROVIDED THE CLIENT WITH ALL REQUIRED DOCUMENTS. I WENT THROUGH THE INFORMATION AND HIGHLIGHTED THE DEFERRED SALES CHARGES.



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: WELLS FARGO INVESTMENTS, LLC
Termination Type: Discharged
Termination Date: 07/12/2010
Allegations: IN VIOLATION OF COMPANY POLICY, REPRESENTATIVE EXERCISED DISCRETION (WIHOUT PRIOR WRITTEN AUTHORIZATION) AND AFFECTED TRANSACTIONS IN THREE CLIENTS' ACCOUNTS.
Product Type: No Product

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Reporting Source: Individual
Firm Name: WELLS FARGO INVESTMENTS, LLC
Termination Type: Discharged
Termination Date: 07/12/2010
Allegations: IN VIOLATION OF COMPANY POLICY, REPRESENTATIVE EXERCISED DISCRETION (WITHOUT PRIOR WRITTEN AUTHORIZATION) AND AFFECTED TRANSACTIONS IN THREE CLIENTS' ACCOUNTS.
Product Type: No Product



End of Report

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