



IAPD Report

ROB WILLIAM FRIEMOTH JR.

CRD# 4218424

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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

ROB WILLIAM FRIEMOTH JR. (CRD# 4218424)

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 **04/10/2025**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	LPL FINANCIAL LLC	CRD# 6413	03/06/2025
IA	LPL FINANCIAL LLC	CRD# 6413	03/12/2025

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **7** 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	CETERA INVESTMENT ADVISERS LLC	105644	TOLEDO, OH	03/21/2024 - 04/10/2025
B	CETERA ADVISORS LLC	10299	TOLEDO, OH	09/04/2007 - 04/10/2025
IA	CETERA ADVISORS LLC	10299	TOLEDO, OH	09/04/2007 - 03/21/2024

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? **Yes**

The following types of events are disclosed about this representative:

Type	Count
Regulatory Event	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 7 jurisdiction(s) and 1 SRO(s) through his or her employer(s).

Employment 1 of 1

Firm Name: **LPL FINANCIAL LLC**
Main Address: 1055 LPL WAY
FORT MILL, SC 29715
Firm ID#: 6413

	Regulator	Registration	Status	Date
B	FINRA	General Securities Representative	Approved	03/06/2025
B	FINRA	Invest. Co and Variable Contracts	Approved	03/06/2025
B	California	Agent	Approved	03/06/2025
B	Florida	Agent	Approved	03/06/2025
B	Illinois	Agent	Approved	03/06/2025
B	Michigan	Agent	Approved	03/06/2025
B	Minnesota	Agent	Approved	04/11/2025
B	Ohio	Agent	Approved	03/06/2025
IA	Ohio	Investment Adviser Representative	Approved	03/12/2025
B	Wisconsin	Agent	Approved	04/17/2025

Branch Office Locations

LPL FINANCIAL LLC
5746 PARK CENTER COURT
TOLEDO, OH 43615

LPL FINANCIAL LLC
Waterville, OH

LPL FINANCIAL LLC
5746 Park Center Court



Qualifications

Toledo, OH 43615



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, 3 general industry/product exams, and 1 state securities law exam.

Principal/Supervisory Exams

Exam	Category	Date
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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	07/30/2002
B Investment Company Products/Variable Contracts Representative Examination (S6)	Series 6	08/11/2000

State Securities Law Exams

Exam	Category	Date
B Uniform Securities Agent State Law Examination (S63)	Series 63	08/24/2000



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	03/21/2024 - 04/10/2025	CETERA INVESTMENT ADVISERS LLC	CRD# 105644	TOLEDO, OH
B	09/04/2007 - 04/10/2025	CETERA ADVISORS LLC	CRD# 10299	TOLEDO, OH
IA	09/04/2007 - 03/21/2024	CETERA ADVISORS LLC	CRD# 10299	TOLEDO, OH
IA	06/27/2002 - 08/10/2007	NEW ENGLAND SECURITIES CORPORATION	CRD# 615	TOLEDO, OH
B	08/14/2000 - 08/10/2007	NEW ENGLAND SECURITIES	CRD# 615	TOLEDO, OH

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
03/2025 - Present	LPL Financial LLC	Registered Representative	Y	Toledo, OH, United States
03/2024 - 03/2025	CETERA INVESTMENT ADVISERS LLC	INVESTMENT ADVISOR REPRESENTATIVE	Y	SCHAUMBURG, IL, United States
01/2013 - 03/2025	CETERA ADVISORS LLC	REGISTERED REPRESENTATIVE	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.

- 1- 02/2025 / Robert Friemoth Jr / Non-Variable Insurance / Investment Related / 60 hrs mth / 3 hrs during trading / Toledo, Ohio / Start date: 03/07/2025
- 2- 02/2025 / Hogsette Financial Group LLC / DBA for LPL Business (entity for LPL business) / Investment Related / 160 hrs mth / 8 hrs during trading / At reported business location(s)
- 3- 02/2025 / Momentum Wealth Partners / DBA for LPL Business (entity for LPL business) / Investment Related / 160 hrs mth / 8 hrs during trading / At reported business location(s)
- 4- 02/2025 / Robert W. Friemoth Jr. & Associates, LLC / Business Entity For Tax/Investment Purposes Only / Not Investment Related / 60 hrs mth / 3 hrs during trading / Waterville, OH / Start date: 03/07/2025



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	2
Termination	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 2

Reporting Source:	Regulator
Regulatory Action Initiated By:	OHIO DEPARTMENT OF COMMERCE - SECURITIES DIVISION
Sanction(s) Sought:	Suspension
Date Initiated:	04/06/2010
Docket/Case Number:	10-052
URL for Regulatory Action:	
Employing firm when activity occurred which led to the regulatory action:	MULTI-FINANCIAL SECURITIES CORPORATION, CRD # 10299.
Product Type:	No Product
Allegations:	SUBJECT ACCEPTED FINRA FINDING THAT ALLEGED SUBJECT ENGAGED IN OUTSIDE BUSINESS ACTIVITIES FOR COMPENSATION AND FAILED TO GIVE PROMPT WRITTEN NOTICE TO HIS MEMBER FIRM. SUBJECT WAS SUSPENDED FROM ASSOCIATION WITH FINRA MEMBERS FOR SIXTY (60) DAYS AND FINED \$5,000.00.
Current Status:	Final
Resolution:	CONSENT & 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:

06/14/2010

Sanctions Ordered:

Suspension

Sanction 1 of 1

Sanction Type:

Suspension

Capacities Affected:

ALL CAPACITIES

Duration:

SIXTY (60) DAYS

Start Date:

04/05/2010

End Date:

06/04/2010

Reporting Source:

Individual

Regulatory Action Initiated By:

OHIO DEPARTMENT OF COMMERCE - SECURITIES DIVISION

Sanction(s) Sought:

Suspension

Date Initiated:

04/06/2010

Docket/Case Number:

10-052

Employing firm when activity occurred which led to the regulatory action:

MULTI-FINANCIAL SECURITIES CORPORATION

Product Type:

No Product

Allegations:

SUBJECT ACCEPTED FINRA FINDINGS THAT ALLEGED SUBJECT ENGAGED IN OUTSIDE BUSINESS ACTIVITIES FOR COMPENSATION AND FAILED TO GIVE PROMPT WRITTEN NOTICE TO HIS MEMBER FIRM. SUBJECT WAS SUSPENDED FROM ASSOCIATION WITH FINRA MEMBERS FOR SIXTY (60) DAYS AND FINED \$5,000.00

Current Status:

Final

Resolution:

CONSENT & 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:

06/14/2010

Sanctions Ordered:

Suspension

Sanction 1 of 1

Sanction Type:

Suspension

Capacities Affected:

ALL CAPACITIES



Duration: SIXTY (60) DAYS

Start Date: 04/05/2010

End Date: 06/04/2010

Disclosure 2 of 2

Reporting Source: Regulator

Regulatory Action Initiated By: FINRA

Sanction(s) Sought: Restitution
Other: N/A

Date Initiated: 03/12/2010

Docket/Case Number: [2007010328201](#)

Employing firm when activity occurred which led to the regulatory action: NEW ENGLAND SECURITIES

Product Type: Other: EQUITY INDEXED ANNUITIES

Allegations: NASD RULES 2110, 3030 - ROB WILLIAM FRIEMOTH ENGAGED IN OUTSIDE BUSINESS ACTIVITIES, FOR COMPENSATION, AND FAILED TO GIVE PROMPT WRITTEN NOTICE TO HIS MEMBER FIRM. FRIEMOTH SOLD EQUITY INDEXED ANNUITIES ON BEHALF OF AN INSURANCE COMPANY AFTER HIS FIRM HAD DISCOVERED THAT HE HAD SOLD AN EQUITY INDEXED ANNUITY THAT WAS NOT ON THE FIRM'S APPROVED LIST AND AFTER IT HAD REQUESTED HIM NOT TO PROCEED WITH ANY ADDITIONAL SUCH SALES.

Current Status: Final

Resolution: Acceptance, Waiver & Consent(AWC)

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: 03/12/2010

Sanctions Ordered: Civil and Administrative Penalty(ies)/Fine(s)
Suspension

If the regulator is the SEC, CFTC, or an SRO, did the action result in a finding of a willful violation or failure to supervise? No



(1) willfully violated any provision of the Securities Act of 1933, the Securities Exchange Act of 1934, the Investment Advisers Act of 1940, the Investment Company Act of 1940, the Commodity Exchange Act, or any rule or regulation under any of such Acts, or any of the rules of the Municipal Securities Rulemaking Board, or to have been unable to comply with any provision of such Act, rule or regulation?

(2) willfully aided, abetted, counseled, commanded, induced, or procured the violation by any person of any provision of the Securities Act of 1933, the Securities Exchange Act of 1934, the Investment Advisers Act of 1940, the Investment Company Act of 1940, the Commodity Exchange Act, or any rule or regulation under any of such Acts, or any of the rules of the Municipal Securities Rulemaking Board? or

(3) failed reasonably to supervise another person subject to your supervision, with a view to preventing the violation by such person of any provision of the Securities Act of 1933, the Securities Exchange Act of 1934, the Investment Advisers Act of 1940, the Investment Company Act of 1940, the Commodity Exchange Act, or any rule or regulation under any such Acts, or any of the rules of the Municipal Securities Rulemaking Board?

Sanction 1 of 1

Sanction Type:	Suspension
Capacities Affected:	ANY CAPACITY
Duration:	TWO MONTHS
Start Date:	04/05/2010



End Date: 06/04/2010

Monetary Sanction 1 of 1

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

Total Amount: \$5,000.00

Portion Levied against individual: \$5,000.00

Payment Plan:

Is Payment Plan Current: Yes

Date Paid by individual: 03/22/2010

Was any portion of penalty waived? No

Amount Waived:

Regulator Statement WITHOUT ADMITTING OR DENYING THE FINDINGS, FRIEMOTH CONSENTED TO THE DESCRIBED SANCTIONS AND TO THE ENTRY OF FINDINGS; THEREFORE, HE IS FINED \$5,000 AND SUSPENDED FROM ASSOCIATION WITH ANY FINRA MEMBER IN ANY CAPACITY FOR TWO MONTHS. THE SUSPENSION IS IN EFFECT FROM APRIL 5, 2010 THROUGH JUNE 4, 2010.

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Reporting Source: Individual

Regulatory Action Initiated By: FINRA

Sanction(s) Sought: Restitution
Other: N/A

Date Initiated: 03/12/2010

Docket/Case Number: [2007010328201](#)

Employing firm when activity occurred which led to the regulatory action: NEW ENGLAND SECURITIES

Product Type: Other: EQUITY INDEXED ANNUITIES

Allegations: NASD RULES 2110, 3030 - ROB WILLIAM FRIEMOTH ENGAGED IN OUTSIDE BUSINESS ACTIVITIES, FOR COMPENSATION, AND FAILED TO GIVE PROMPT WRITTEN NOTICE TO HIS MEMBER FIRM. FRIEMOTH SOLD EQUITY INDEXED ANNUITIES ON BEHALF OF AN INSURANCE COMPANY AFTER HIS FIRM HAD DISCOVERED THAT HE HAD SOLD AN EQUITY INDEXED ANNUITY THAT WAS NOT ON THE FIRM'S APPROVED LIST AND AFTER IT HAD REQUESTED HIM NOT TO PROCEED WITH ANY ADDITIONAL SUCH SALES.

Current Status: Final

Resolution: Acceptance, Waiver & Consent(AWC)



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:

03/12/2010

Sanctions Ordered:

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

Sanction 1 of 1

Sanction Type:

Suspension

Capacities Affected:

ANY CAPACITY

Duration:

TWO MONTHS

Start Date:

04/05/2010

End Date:

06/04/2010

Monetary Sanction 1 of 1

Monetary Related Sanction:

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

Total Amount:

\$5,000.00

Portion Levied against individual:

\$5,000.00

Payment Plan:

Is Payment Plan Current:

No

Date Paid by individual:

Was any portion of penalty waived?

No

Amount Waived:

Broker Statement

WITHOUT ADMITTING OR DENYING THE FINDINGS, FRIEMOTH CONSENTED TO THE DESCRIBED SANCTIONS AND TO THE ENTRY OF FINDINGS; THEREFORE, HE IS FINED \$5,000 AND SUSPENDED FROM ASSOCIATION WITH ANY FINRA MEMBER IN ANY CAPACITY FOR TWO MONTHS. THE SUSPENSION IS IN EFFECT FROM APRIL 5, 2010 THROUGH JUNE 4, 2010.



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:	Individual
Firm Name:	NEW ENGLAND SECURITIES
Termination Type:	Discharged
Termination Date:	08/01/2007
Allegations:	REGISTERED REPRESENTATIVE SOLD BUSINESS OUTSIDE OF THE METLIFE GENERAL ENTERPRISE AGENCY AND DID NOT DISCLOSE TO THE FIRM AN OUTSIDE BUSINESS ACTIVITY.
Product Type:	Annuity(ies) - Variable
Other Product Types:	TERM LIFE AND UNIVERSAL LIFE
Broker Statement	I DID NOT DISCLOSE TO NEW ENGLAND SECURITIES THAT I WAS SUBMITTING OUTSIDE BUSINESS THAT FIT CLIENTS PLANNING NEEDS BETTER THEN WHAT METLIFE HAD TO OFFER. SOME CASES WERE DECLINED OR CAME BACK RATED POLICY WITH METLIFE SO I THEN SUBMITTED OUTSIDE TO TRY AND GET THE CLIENT BETTER RATING. SOME CASES METLIFE WASN'T COMPETITIVE PRICEWISE FOR THE CLIENT, WHERE OTHER CARRIERS WERE.



End of Report

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