



IAPD Report

CASEY RYAN SLETTEN

CRD# 4434614

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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

CASEY RYAN SLETTEN (CRD# 4434614)

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 **01/30/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	CRD# 7691	02/17/2023
IA	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	CRD# 7691	02/17/2023

QUALIFICATIONS

This representative is currently registered in **6** 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
IA	GUGGENHEIM INVESTMENTS	105477	Irvine, CA	09/09/2014 - 12/02/2022
B	GUGGENHEIM FUNDS DISTRIBUTORS, LLC	39805	CHICAGO, IL	03/03/2014 - 12/02/2022
B	GUGGENHEIM DISTRIBUTORS, LLC	40805	ROCKVILLE, MD	04/29/2011 - 03/03/2014

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
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 **25** jurisdiction(s) and 6 SRO(s) through his or her employer(s).

Employment 1 of 1

Firm Name: **MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED**
Main Address: ONE BRYANT PARK
NEW YORK, NY 10036
Firm ID#: 7691

	Regulator	Registration	Status	Date
B	Cboe BYX Exchange, Inc.	General Securities Representative	Approved	02/17/2023
B	Cboe BZX Exchange, Inc.	General Securities Representative	Approved	02/17/2023
B	Cboe Exchange, Inc.	General Securities Representative	Approved	02/17/2023
B	FINRA	General Securities Representative	Approved	02/17/2023
B	FINRA	Invest. Co and Variable Contracts	Approved	02/17/2023
B	Nasdaq Stock Market	General Securities Representative	Approved	02/17/2023
B	New York Stock Exchange	General Securities Representative	Approved	02/17/2023
B	Arizona	Agent	Approved	03/16/2023
B	California	Agent	Approved	02/17/2023
IA	California	Investment Adviser Representative	Approved	02/17/2023
B	Colorado	Agent	Approved	10/07/2025
B	Connecticut	Agent	Approved	04/17/2023
B	Delaware	Agent	Approved	04/24/2023



Qualifications

	Regulator	Registration	Status	Date
B	Florida	Agent	Approved	05/13/2024
B	Georgia	Agent	Approved	04/17/2023
B	Hawaii	Agent	Approved	04/17/2023
B	Idaho	Agent	Approved	04/14/2023
B	Kentucky	Agent	Approved	04/21/2023
B	Maine	Agent	Approved	12/11/2024
B	Maryland	Agent	Approved	08/07/2024
B	Minnesota	Agent	Approved	08/11/2025
B	Nebraska	Agent	Approved	05/31/2023
B	Nevada	Agent	Approved	04/21/2023
B	New Jersey	Agent	Approved	04/14/2023
B	New York	Agent	Approved	04/16/2023
B	North Carolina	Agent	Approved	10/30/2024
B	Ohio	Agent	Approved	01/30/2026
B	Oregon	Agent	Approved	03/03/2023
B	Pennsylvania	Agent	Approved	04/17/2023
B	Texas	Agent	Approved	03/02/2023
IA	Texas	Investment Adviser Representative	Restricted Approval	03/06/2023



Qualifications

Regulator	Registration	Status	Date
B Virginia	Agent	Approved	04/14/2023
B Washington	Agent	Approved	08/08/2025
B Wyoming	Agent	Approved	09/20/2024

Branch Office Locations

**MERRILL LYNCH, PIERCE, FENNER & SMITH
INCORPORATED**
333 S HOPE ST
LOS ANGELES, CA 90071



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 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
B Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
B General Securities Representative Examination (S7)	Series 7	05/17/2011
B Investment Company Products/Variable Contracts Representative Examination (S6)	Series 6	08/24/2001

State Securities Law Exams

Exam	Category	Date
IA Uniform Investment Adviser Law Examination (S65)	Series 65	09/08/2014
B Uniform Securities Agent State Law Examination (S63)	Series 63	08/31/2001



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	09/09/2014 - 12/02/2022	GUGGENHEIM INVESTMENTS	CRD# 105477	Irvine, CA
B	03/03/2014 - 12/02/2022	GUGGENHEIM FUNDS DISTRIBUTORS, LLC	CRD# 39805	CHICAGO, IL
B	04/29/2011 - 03/03/2014	GUGGENHEIM DISTRIBUTORS, LLC	CRD# 40805	ROCKVILLE, MD
B	10/06/2008 - 03/09/2011	PRINCIPAL FUNDS DISTRIBUTOR, INC.	CRD# 43261	DES MOINES, IA
B	08/10/2004 - 09/30/2008	PLANCO FINANCIAL SERVICES, LLC	CRD# 8326	HARTFORD, CT
B	08/27/2001 - 08/03/2004	METLIFE INVESTORS DISTRIBUTION COMPANY	CRD# 6695	NEWPORT BEACH, CA

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
02/2023 - Present	Bank of America, N.A.	PMD FA - Bus Development	Y	Los Angeles, CA, United States
11/2022 - Present	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	PMD FA - Bus Development	Y	Los Angeles, CA, United States
03/2014 - 11/2022	GUGGENHEIM FUNDS DISTRIBUTORS, LLC	Mass Transfer	Y	BELLEVUE, WA, 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.

Name of the other businessSletten Real Estate Inc.

Whether the business is investment-relatedWife is a Realtor, she sells real estate and can invest in real estate in through her S-Corp

Address of the other business5176 Grinnell Lane, Irvine CA 92603

Nature of the other businessA S-Corp for my Wife's Real Estate business as Agent.

Your positionI have no position, and do no work in relation to this company.

Title, or relationship with the other businessNo Title - Husband living in the same household as the Owner Kelly Sletten



Registration & Employment History



OTHER BUSINESS ACTIVITIES

Start date of your relationship: I believe She Filled for it about 2 years ago.
Approximate number of hours/month you devote to the other business: None
Number of hours you devote to the other business during securities trading hours: None
Briefly describe your duties relating to the other business: None

Name of the other business: Orange County Sigma Chi Alumni Association
Whether the business is investment-related: No
Address of the other business: 1714 Hinman Ave, Evanston, IL 60201 (National Headquarters)
Nature of the other business: Alumni Association that hosts lunches/events for local Sigma Chi members in Orange County, CA.
Your position: Board Member
Start date of your relationship: I have been a member on and off for 10 years. A board member since 01/23
Approximate number of hours/month you devote to the other business: 4 hrs a month
Number of hours you devote to the other business during securities trading hours: 1 hr - we have one Friday Lunch a month, takes about 1 hr.
Briefly describe your duties relating to the other business: At this time I am a board member, helping to look for local alumni speakers and trying to intro college students to alumni for mentorship.

I*: 2929322
Entity Type: Fiduciary role
Name of OBA: E. S. and S. S. Living Trust
Address: Corona, CA 92883
Investment Related: No
Position, Title, Association: Trustee
Employee Start Date: 11/01/2025
Number of Hours: 0
Number of Hours during trading: 0
Duties: Trustee/ Parents



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
Termination	1

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: PRINCIPAL FUNDS DISTRIBUTOR

Termination Type: Permitted to Resign

Termination Date: 02/24/2011

Allegations: IN AN INTERNAL TELEPHONE CONVERSATION BETWEEN CASEY SLETTEN AND HIS INTERNAL WHOLESALER, CASEY INDICATED CASEY HAD ARRANGED TO PROVIDE NON-CASH COMPENSATION TO AN INTERMEDIARY BASED UPON ATTAINMENT OF A SALES TARGET. CASEY ASSERTS THAT HIS ACTUAL EXTERNAL DISCUSSIONS WITH THE REGISTERED REP WERE MORE PROFESSIONAL AND THAT THE NON-CASH COMPENSATION ITEMS WERE NOT PRECONDITIONED ON ACHIEVEMENT OF A SALES TARGET.

Product Type: Mutual Fund

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Reporting Source: Individual

Firm Name: PRINCIPAL FUNDS DISTRIBUTOR, INC.

Termination Type: Permitted to Resign

Termination Date: 02/24/2011

Allegations: IN AN INTERNAL TELEPHONE CONVERSATION BETWEEN CASEY SLETTEN AND HIS INTERNAL WHOLESALER, CASEY INDICATED CASEY HAD ARRANGED TO PROVIDE NON-CASH COMPENSATION TO AN INTERMEDIARY BASED UPON ATTAINMENT OF A SALES TARGET. CASEY ASSERTS THAT HIS ACTUAL EXTERNAL DISCUSSIONS WITH THE REGISTERED REP WERE MORE PROFESSIONAL AND THAT THE NON-CASH COMPENSATION ITEMS WERE NOT PRECONDITIONED ON ACHIEVEMENT



Product Type: OF A SALES TARGET.
Mutual Fund



End of Report

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