



IAPD Report

MICHAEL ANTHONY ROHLING

CRD# 4481928

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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

MICHAEL ANTHONY ROHLING (CRD# 4481928)

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 **01/07/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	LPL FINANCIAL LLC	CRD# 6413	08/07/2009
IA	GOLDEN STATE WEALTH MANAGEMENT, LLC	CRD# 167995	07/06/2018
IA	ASCENTIS INDEPENDENT ADVISORS, LLC	CRD# 322879	09/20/2022

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **10** 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	INDEPENDENT FINANCIAL PARTNERS	125112	SAN DIEGO, CA	01/06/2012 - 10/12/2018
IA	LPL FINANCIAL LLC	6413	SAN DIEGO, CA	08/10/2009 - 03/27/2013
B	MORGAN STANLEY SMITH BARNEY	149777	SAN DIEGO, CA	06/01/2009 - 08/10/2009

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

Employment 1 of 3

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

	Regulator	Registration	Status	Date
	FINRA	General Securities Representative	Approved	08/07/2009
	California	Agent	Approved	08/07/2009
	Colorado	Agent	Approved	08/07/2009
	Idaho	Agent	Approved	09/10/2020
	Massachusetts	Agent	Approved	01/08/2026
	Minnesota	Agent	Approved	10/27/2025
	Nevada	Agent	Approved	05/06/2016
	Pennsylvania	Agent	Approved	01/06/2014
	Texas	Agent	Approved	11/02/2023
	Virginia	Agent	Approved	05/30/2012
	Washington	Agent	Approved	07/23/2010

Branch Office Locations

LPL FINANCIAL LLC
6310 GREENWICH DR #150
SAN DIEGO, CA 92122



Qualifications

Employment 2 of 3

Firm Name: **ASCENTIS INDEPENDENT ADVISORS, LLC**
Main Address: 5001 SPRING VALLEY ROAD
SUITE 810W
DALLAS, TX 75244
Firm ID#: 322879

Regulator	Registration	Status	Date
IA California	Investment Adviser Representative	Approved	09/20/2022

Branch Office Locations

ASCENTIS INDEPENDENT ADVISORS, LLC
16870 W. BERNARDO DR.
SUITE 400
SAN DIEGO, CA 92127

Employment 3 of 3

Firm Name: **GOLDEN STATE WEALTH MANAGEMENT, LLC**
Main Address: 201 E. SANDPOINTE AVENUE
#460
SOUTH COAST METRO, CA 92707
Firm ID#: 167995

Regulator	Registration	Status	Date
IA California	Investment Adviser Representative	Approved	07/06/2018

Branch Office Locations

GOLDEN STATE WEALTH MANAGEMENT, LLC
70 W. Bernardo Dr.
Suite 400
San Diego, CA 92127



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 Futures Managed Funds Examination (S31)	Series 31	09/27/2002
B General Securities Representative Examination (S7)	Series 7	01/14/2002

State Securities Law Exams

Exam	Category	Date
IA B Uniform Combined State Law Examination (S66)	Series 66	06/24/2002



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	01/06/2012 - 10/12/2018	INDEPENDENT FINANCIAL PARTNERS	CRD# 125112	SAN DIEGO, CA
IA	08/10/2009 - 03/27/2013	LPL FINANCIAL LLC	CRD# 6413	SAN DIEGO, CA
B	06/01/2009 - 08/10/2009	MORGAN STANLEY SMITH BARNEY	CRD# 149777	SAN DIEGO, CA
IA	06/01/2009 - 08/10/2009	MORGAN STANLEY SMITH BARNEY LLC	CRD# 149777	SAN DIEGO, CA
B	04/02/2007 - 06/01/2009	MORGAN STANLEY & CO. INCORPORATED	CRD# 8209	SAN DIEGO, CA
IA	04/02/2007 - 06/01/2009	MORGAN STANLEY & CO. INCORPORATED	CRD# 8209	SAN DIEGO, CA
IA	07/02/2002 - 04/02/2007	MORGAN STANLEY	CRD# 7556	SAN DIEGO, CA
B	05/16/2002 - 04/02/2007	MORGAN STANLEY DW INC.	CRD# 7556	SAN DIEGO, CA
B	01/15/2002 - 04/10/2002	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	CRD# 7691	NEW YORK, NY

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
08/2018 - Present	Golden State Wealth Management, LLC	Investment Adviser Representative	Y	San Diego, CA, United States
08/2009 - Present	LPL FINANCIAL LLC	REGISTERED REPRESENTATIVE	Y	SAN DIEGO, CA, United States
01/2012 - 08/2018	INDEPENDENT FINANCIAL PARTNERS	INVESTMENT ADVISER REPRESENTATIVE	Y	SAN DIEGO, CA, 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) 01/11/2012: Rohling Wealth Management, Inc. - DBA for LPL Business (entity for LPL business) - Investment Related - At Reported Business Location(s)
- (2) 04/11/2012: No Business Name - Real Estate Rental - Investment Related - Allied Gardens, CA 92120 - 1% Time Spent - I have a house that I will be renting out to a non customer.
- (3) 10/28/2015: FIS Marketing - Non-Variable Insurance - Investment Related - 16870 W. Bernardo Dr Suite 400, SD CA 92127 - Start 09/30/2015 - 3 Hr/Mo; 3 Hour(s) During Securities Trading - Selling life insurance, Long Term care and Fixed Annuities through FIS marketing/IMO. This business does employ not securities-licensed individuals they act as a General Agency.
- (4) 10/14/2016: Underwriting Services of America - Non-Variable Insurance - Investment Related - 16870 W. Bernardo Dr Suite 400, SD CA 92127 - Start 09/30/2015 - 3 Hr/Mo; 3 Hour(s) During Securities Trading - Selling life insurance, Long Term care and Fixed Annuities through Underwriting Services of America/IMO. This business does employ not securities-licensed individuals they act as a General Agency.
- (5) 11/6/2017 - Home and Loan Finders - Investment Related - At Reported Business Location(s) - Mortgage/Real Estate Services - Mortgage Broker - Started 11/02/2017 - 2 Hour Per Month/1 Hour During Securities Trading.
- (6) 8/7/2018 - Golden State Wealth Management, LLC - DBA: Golden State Wealth Management - Investment Related - At Reported Business Location(s) - Registered Investment Advisor Hybrid - IAR - Start Date: 07/30/2018 - 120 Hours Per Month/6 Hours During Securities Trading - I provide investment advisory services through Golden State Wealth Management, LLC, an independent investment advisor firm. I started this business activity in August 2018. I expect to spend approximately 120 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>. The firm is separate from and independent of LPL Financial.



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	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 1

Reporting Source:	Regulator
Employing firm when activities occurred which led to the complaint:	n/a
Allegations:	breach of fiduciary duty; breach of duty of reasonable care; negligence; and misrepresentations and omissions.
Product Type:	Mutual Fund
Alleged Damages:	\$100,000.00

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.:	FINRA - CASE #11-04281
Date Notice/Process Served:	11/10/2011
Arbitration Pending?	No
Disposition:	Award
Disposition Date:	08/28/2012
Disposition Detail:	Respondent was a subject of the customer's Statement of Claim for this Arbitration alleging that he with his member firm contributed to the sales practice violations. Accordingly Respondent's member firm is liable for and shall pay to Claimant compensatory damages in the amount of \$94,622.00, plus interest.

Reporting Source:	Firm
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Employing firm when activities occurred which led to the complaint: MORGAN STANLEY & CO

Allegations: CLAIMANT ALLEGES, INTER ALIA, THAT FROM 2006 TO 2009 THE FA RECOMMENDED INVESTMENTS THAT WERE NOT SUITABLE FOR HER INVESTMENT OBJECTIVE.

Product Type: Other: CLOSED END FUNDS

Alleged Damages: \$100,000.00

Is this an oral complaint? No

Is this a written complaint? No

Is this an arbitration/CFTC reparation or civil litigation? Yes

Arbitration/Reparation forum or court name and location: FINRA

Docket/Case #: 11-04281

Filing date of arbitration/CFTC reparation or civil litigation: 11/10/2011

Customer Complaint Information

Date Complaint Received: 11/29/2011

Complaint Pending? No

Status: Arbitration Award/Monetary Judgment (for claimants/plaintiffs)

Status Date: 08/28/2012

Settlement Amount: \$100,899.31

Individual Contribution Amount: \$0.00

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: MORGAN STANLEY & CO

Allegations: CLAIMANT ALLEGES, INTER ALIA, THAT FROM 2006 TO 2009 THE FA RECOMMENDED INVESTMENTS THAT WERE NOT SUITABLE FOR HER INVESTMENT OBJECTIVE.

Product Type: Other: CLOSED END FUNDS

Alleged Damages: \$100,000.00

Is this an oral complaint? No

Is this a written complaint? No

Is this an arbitration/CFTC reparation or civil litigation? Yes

Arbitration/Reparation forum or court name and location: FINRA



Docket/Case #: 11-04281
Filing date of arbitration/CFTC reparation or civil litigation: 11/10/2011

Customer Complaint Information

Date Complaint Received: 11/29/2011
Complaint Pending? No
Status: Arbitration Award/Monetary Judgment (for claimants/plaintiffs)
Status Date: 08/28/2012
Settlement Amount: \$94,622.00
Individual Contribution Amount: \$0.00

Broker Statement FA DID NOT GIVE CLAIMANT UNSUITABLE INVESTMENT ADVICE. IN ADDITION, COMPLAINT WAS FILED 2 YEARS AND 3 MONTHS AFTER FA LEFT MORGAN STANLEY. FA IS IN THE PROCESS OF HAVING THIS COMPLAINT REMOVED FROM U4.



End of Report

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