



IAPD Report

DAN CHRISTIAN ROEHM Jr.

CRD# 5200069

<u>Section Title</u>	<u>Page(s)</u>
Report Summary	1
Qualifications	2 - 3
Registration and Employment History	4 - 5
Disclosure Information	6



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

DAN CHRISTIAN ROEHM Jr. (CRD# 5200069)

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 **11/05/2025**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
IA	CSENGE ADVISORY GROUP, LLC	CRD# 131167	11/30/2021
B	INTEGRITY ALLIANCE, LLC.	CRD# 139627	11/03/2025

QUALIFICATIONS

This representative is currently registered in **1** 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
B	LION STREET FINANCIAL, LLC	165828	FORT LAUDERDALE, FL	11/08/2021 - 11/03/2025
IA	BENCHMARK FINANCIAL WEALTH ADVISORS LLC	287966	BOCA RATON, FL	10/06/2017 - 07/03/2018
IA	FREEDOM WEALTH ADVISORS, LLC	153207	BOCA RATON, FL	06/09/2014 - 02/26/2016

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
Criminal	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 1 SRO(s) through his or her employer(s).

Employment 1 of 2

Firm Name: **INTEGRITY ALLIANCE, LLC**

Main Address: 4135 NW URBANDALE DR
URBANDALE, IA 50322

Firm ID#: 139627

Regulator	Registration	Status	Date
 FINRA	Invest. Co and Variable Contracts	Approved	11/03/2025
 Florida	Agent	Approved	11/06/2025
 Georgia	Agent	Approved	11/03/2025
 Missouri	Agent	Approved	11/03/2025

Branch Office Locations

INTEGRITY ALLIANCE, LLC
FORT LAUDERDALE, FL

Employment 2 of 2

Firm Name: **CSENGE ADVISORY GROUP, LLC**

Main Address: 4755 EAST BAY DRIVE
CLEARWATER, FL 33764

Firm ID#: 131167

Regulator	Registration	Status	Date
 Florida	Investment Adviser Representative	Approved	11/30/2021

Branch Office Locations

CSENGE ADVISORY GROUP, LLC
Fort Lauderdale, FL



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
No information reported.		

General Industry/Product Exams

Exam	Category	Date
B Investment Company Products/Variable Contracts Representative Examination (S6TO)	Series 6TO	11/07/2021
B Securities Industry Essentials Examination (SIE)	SIE	11/01/2021
B General Securities Representative Examination (S7)	Series 7	08/07/2008

State Securities Law Exams

Exam	Category	Date
B Uniform Securities Agent State Law Examination (S63)	Series 63	11/10/2021
IA B Uniform Combined State Law Examination (S66)	Series 66	09/19/2008

PROFESSIONAL DESIGNATIONS

This section details that the representative has reported **1** professional designation(s).

Certified Financial Planner

This representative holds or did hold **1** professional designation(s) that may have been used to qualify as an Investment Advisor representative. Please check with the appropriate designation authority for verification that the designation is still in effect. The contact information for these professional designation authorities can be found on the website for the North American Securities Administrators Association at <http://www.nasaa.org>



Registration & Employment History

PREVIOUSLY REGISTERED WITH THE FOLLOWING FIRMS

This representative held registrations with the following firms:

	Registration Dates	Firm Name	ID#	Branch Location
	11/08/2021 - 11/03/2025	LION STREET FINANCIAL, LLC	CRD# 165828	FORT LAUDERDALE, FL
	10/06/2017 - 07/03/2018	BENCHMARK FINANCIAL WEALTH ADVISORS LLC	CRD# 287966	BOCA RATON, FL
	06/09/2014 - 02/26/2016	FREEDOM WEALTH ADVISORS, LLC	CRD# 153207	BOCA RATON, FL
	03/21/2011 - 11/14/2012	NFP SECURITIES, INC.	CRD# 42046	DEERFIELD BEACH, FL
	03/09/2011 - 11/14/2012	NFP SECURITIES, INC.	CRD# 42046	DEERFIELD BEACH, FL
	11/06/2008 - 02/28/2011	VALMARK ADVISERS, INC.	CRD# 108050	FT. LAUDERDALE, FL
	08/08/2008 - 02/28/2011	VALMARK SECURITIES, INC.	CRD# 31243	FT. LAUDERDALE, FL

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
11/2025 - Present	INTEGRITY ALLIANCE, LLC.	Mass Transfer	Y	FORT LAUDERDALE, FL, United States
11/2021 - Present	Csenge Advisory Group, LLC	Investment Adviser Representative	Y	Clearwater, FL, United States
03/2016 - Present	Tight Five LLC	Member	Y	Fort Lauderdale, FL, United States
11/2021 - 11/2025	Lion Street Financial	Registered Representative	Y	Fort Lauderdale, FL, United States
08/2017 - 07/2018	Benchmark Financial Wealth Advisors LLC	Investment Adviser Representative	Y	BOCA RATON, FL, United States
03/2014 - 02/2016	FREEDOM WEALTH ADVISORS, LLC	INVESTMENT ADVISER REPRESENTATIVE	Y	BOCA RATON, FL, 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)I run an event BIG Breakfast where I host authors to speak online.

I consult with private individuals and coach them how to develop business using LinkedIn.

I enter into joint work agreements other life insurance agents to sell life insurance - fixed business only.

2)TIGHT FIVE LLC

POSITION: Owner NATURE: Fixed (non-variable) life insurance products INVESTMENT RELATED: Yes NUMBER OF HOURS:

100 SECURITIES TRADING HOURS: 50 START DATE: 09/10/2013

ADDRESS: 6278 N Federal Hwy, Fort Lauderdale FL 33308, United States

DESCRIPTION: life insurance consulting and agency

3)ROACH AG

POSITION: Consultant NATURE: Agriculture Marketing Newsletter INVESTMENT RELATED: No NUMBER OF HOURS: 5

SECURITIES TRADING HOURS: 0 START DATE: 10/20/2021

ADDRESS: 568 East Yamato Rd., Boca Raton FL 33431, United States

DESCRIPTION: Occasional guest contributor on webinars

4)CSENGE ADVISORY GROUP

POSITION: Employee NATURE: IAR and Financial Planning INVESTMENT RELATED: Yes NUMBER OF HOURS: 20

SECURITIES TRADING HOURS: 10 START DATE: 11/10/2021

ADDRESS: 6278 N Federal Hwy, Fort Lauderdale FL 33308, United States

DESCRIPTION: investment advisory and financial planning

5)FLORIDA RUGBY REFEREES ASSOCIATION

POSITION: Employee NATURE: Referee rugby games INVESTMENT RELATED: No NUMBER OF HOURS: 5 SECURITIES

TRADING HOURS: 0 START DATE: 10/01/1984

ADDRESS: 6011 NE 19 TER, Fort Lauderdale FL 33308, United States

DESCRIPTION: Referee rugby union games



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
Criminal	1

Criminal

This disclosure event involves a criminal charge against the Investment Adviser Representative that has resulted in a dismissal, plea, acquittal or conviction. The criminal matter may relate to any felony or certain misdemeanor offenses (e.g., bribery, perjury, forgery, counterfeiting, extortion, fraud, wrongful taking of property).

Disclosure 1 of 1

Reporting Source:	Individual
Organization Name (if charge(s) were brought against an organization over which individual exercised control):	NA
Court Details:	CIRCUIT COURT IN AND FOR ALUCHUA COUNTY, FL CASE # 80-2598-CF S.A.# 80-3815-F C.R # 80-05254 AGENCY CASE #8001834 SID NUMBER 1577064
Charge Date:	10/25/1980
Charge Details:	CHARGE #1; MITTIMUS # 80-06743 POSESSION OF CANNABIS(EXCESS OF 20 GRAMS) 1. ONE 2. FELONY 3. NOLO CONTENDRE 4. NA
Felony?	Yes
Current Status:	Final
Status Date:	07/28/1981
Disposition Details:	A. PRETRIAL DIVERSION B. 07/28/1981 C. PROBATION D. 6 MONTHS E. 01/19/1981 F. NA G. NA



End of Report

This page is intentionally left blank.