



IAPD Report

DEREK SLATER

CRD# 5672481

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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

DEREK SLATER (CRD# 5672481)

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 **05/08/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	EQUITY SERVICES, INC.	CRD# 265	07/24/2019
IA	ESI FINANCIAL ADVISORS	CRD# 265	02/26/2021

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **14** 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	MML INVESTORS SERVICES, LLC	10409	CHICAGO, IL	02/19/2014 - 03/01/2019
B	NORTHWESTERN MUTUAL INVESTMENT SERVICES, LLC	2881	DOWNERS GROVE, IL	08/23/2010 - 09/30/2013

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?

No



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

Employment 1 of 1

Firm Name: **ESI FINANCIAL ADVISORS**
Main Address: ONE NATIONAL LIFE DRIVE
MONTPELIER, VT 05604
Firm ID#: 265

	Regulator	Registration	Status	Date
B	FINRA	General Securities Representative	Approved	07/24/2019
B	FINRA	Invest. Co and Variable Contracts	Approved	07/24/2019
B	Arizona	Agent	Approved	04/23/2021
B	California	Agent	Approved	07/24/2019
B	Colorado	Agent	Approved	10/08/2024
B	District of Columbia	Agent	Approved	07/28/2023
B	Florida	Agent	Approved	02/29/2024
B	Illinois	Agent	Approved	07/26/2019
IA	Illinois	Investment Adviser Representative	Approved	02/26/2021
B	Indiana	Agent	Approved	11/17/2020
B	Michigan	Agent	Approved	09/08/2021
B	New York	Agent	Approved	03/13/2021
B	Ohio	Agent	Approved	01/18/2024



Qualifications

Regulator	Registration	Status	Date
B Pennsylvania	Agent	Approved	07/17/2024
B Texas	Agent	Approved	12/18/2024
B Washington	Agent	Approved	07/29/2019
B Wisconsin	Agent	Approved	03/07/2024

Branch Office Locations

ESI FINANCIAL ADVISORS
1 N. FRANKLIN ST
STE 3450
CHICAGO, IL 60606

ESI FINANCIAL ADVISORS
CHICAGO, IL



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 General Securities Representative Examination (S7TO)	Series 7TO	02/28/2019
B Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
B Investment Company Products/Variable Contracts Representative Examination (S6)	Series 6	08/22/2010

State Securities Law Exams

Exam	Category	Date
IA B Uniform Combined State Law Examination (S66)	Series 66	02/05/2021
B Uniform Securities Agent State Law Examination (S63)	Series 63	03/12/2012



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
B	02/19/2014 - 03/01/2019	MML INVESTORS SERVICES, LLC	CRD# 10409	CHICAGO, IL
B	08/23/2010 - 09/30/2013	NORTHWESTERN MUTUAL INVESTMENT SERVICES, LLC	CRD# 2881	DOWNERS GROVE, IL

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
07/2019 - Present	EQUITY SERVICES INC	REGISTERED REPRESENTATIVE	Y	MONPELIER, VT, United States
04/2019 - Present	LAKESHORE FINANCIAL GROUP	AGENT	Y	CHICAGO, IL, United States
04/2019 - Present	NATIONAL LIFE GROUP	AGENT	Y	CHICAGO, IL, United States
02/2014 - 02/2019	MML INVESTORS SERVICES LLC	REGISTERED REP	Y	CHICAGO, IL, United States
09/2013 - 02/2019	MASSMUTUAL LIFE INSURANCE CO	AGENT	Y	CHICAGO, IL, 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.

NATIONAL LIFE GROUP,1 N. FRANKLIN ST., STE 3450,CHICAGO,IL 60606,04/2019,ONGOING,INV REL,INSURANCE,AGENT,DURING TRD/HRS,40+HRS/WK*LAKESHORE FINANCIAL GROUP,1 N. FRANKLIN ST., STE 3450,CHICAGO,IL 60606,04/15/2019,ONGOING,INV REL,INSURANCE,AGENT,DURING TRD/HRS,40+HRS/WK*DEREK SLATER,1448 N. WASHTENAW AVE. #3, CHICAGO, IL 60622,04/04/2023,RENTAL PROPERTY,OWNER,INV REL,NOT DURING TRD/HRS, 1%.



End of Report

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