



IAPD Report

AUSTIN P STREEPER

CRD# 5758785

<u>Section Title</u>	<u>Page(s)</u>
Report Summary	1
Qualifications	2 - 5
Registration and Employment History	6 - 8
Disclosure Information	9



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

AUSTIN P STREEPER (CRD# 5758785)

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 **02/24/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	CETERA WEALTH SERVICES, LLC	CRD# 13572	08/10/2023
IA	CETERA INVESTMENT ADVISERS LLC	CRD# 105644	08/10/2023

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **26** 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	SECURIAN FINANCIAL SERVICES, INC.	15296	MADISON, WI	07/29/2010 - 08/10/2023
B	SECURIAN FINANCIAL SERVICES, INC.	15296	MADISON, WI	06/24/2010 - 08/10/2023
IA	CRI SECURITIES, LLC	22589	MADISON, WI	07/29/2010 - 10/22/2021

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

Employment 1 of 2

Firm Name: **CETERA WEALTH SERVICES, LLC**

Main Address: 2301 ROSECRANS AVE #5100
EL SEGUNDO, CA 90245

Firm ID#: 13572

	Regulator	Registration	Status	Date
	FINRA	General Securities Principal	Approved	08/10/2023
	FINRA	General Securities Representative	Approved	08/10/2023
	Alabama	Agent	Approved	08/10/2023
	Arizona	Agent	Approved	08/10/2023
	California	Agent	Approved	08/10/2023
	Colorado	Agent	Approved	08/10/2023
	Florida	Agent	Approved	08/14/2023
	Illinois	Agent	Approved	08/10/2023
	Indiana	Agent	Approved	08/10/2023
	Iowa	Agent	Approved	08/10/2023
	Louisiana	Agent	Approved	08/10/2023
	Maryland	Agent	Approved	08/10/2023
	Massachusetts	Agent	Approved	08/10/2023



Qualifications

	Regulator	Registration	Status	Date
B	Michigan	Agent	Approved	08/10/2023
B	Minnesota	Agent	Approved	08/10/2023
B	Missouri	Agent	Approved	10/17/2024
B	New Jersey	Agent	Approved	08/10/2023
B	New Mexico	Agent	Approved	08/10/2023
B	New York	Agent	Approved	08/10/2023
B	North Carolina	Agent	Approved	09/03/2025
B	Ohio	Agent	Approved	08/10/2023
B	Oregon	Agent	Approved	08/10/2023
B	Pennsylvania	Agent	Approved	07/03/2025
B	South Carolina	Agent	Approved	08/10/2023
B	Texas	Agent	Approved	08/10/2023
B	Washington	Agent	Approved	08/10/2023
B	West Virginia	Agent	Approved	08/10/2023
B	Wisconsin	Agent	Approved	08/10/2023

Branch Office Locations

CETERA ADVISOR NETWORKS LLC
2945 TRIVERTON PIKE DRIVE
SUITE 200
MADISON, WI 53711

Employment 2 of 2

Firm Name: **CETERA INVESTMENT ADVISERS LLC**



Qualifications

Main Address: 1450 AMERICAN LANE
6TH FLOOR, SUITE 650
SCHAUMBURG, IL 60173-2096

Firm ID#: 105644

	Regulator	Registration	Status	Date
IA	Texas	Investment Adviser Representative	Restricted Approval	08/10/2023
IA	Wisconsin	Investment Adviser Representative	Approved	08/10/2023

Branch Office Locations

CETERA INVESTMENT ADVISERS LLC
2945 TRIVERTON PIKE DR
STE 200
MADISON, WI 53711



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 1 principal/supervisory exam, 2 general industry/product exams, and 1 state securities law exam.

Principal/Supervisory Exams

	Exam	Category	Date
	General Securities Principal Examination (S24)	Series 24	01/10/2015

General Industry/Product Exams

	Exam	Category	Date
	Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
	General Securities Representative Examination (S7)	Series 7	06/22/2010

State Securities Law Exams

	Exam	Category	Date
 	Uniform Combined State Law Examination (S66)	Series 66	07/03/2010

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	07/29/2010 - 08/10/2023	SECURIAN FINANCIAL SERVICES, INC.	CRD# 15296	MADISON, WI
B	06/24/2010 - 08/10/2023	SECURIAN FINANCIAL SERVICES, INC.	CRD# 15296	MADISON, WI
IA	07/29/2010 - 10/22/2021	CRI SECURITIES, LLC	CRD# 22589	MADISON, WI
B	06/24/2010 - 10/22/2021	CRI SECURITIES, LLC	CRD# 22589	MADISON, WI

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
02/2025 - Present	STREPER ENTERPRISES, LLC	OWNER	N	MADISON, WI, United States
08/2023 - Present	CETERA INVESTMENT ADVISERS LLC	INVESTMENT ADVISOR REPRESENTATIVE	Y	SCHAUMBURG, IL, United States
08/2023 - Present	CETERA WEALTH SERVICES, LLC	REGISTERED REPRESENTATIVE	Y	MADISON, WI, United States
01/2010 - Present	NORTH STAR CONSULTANTS, INC	OFFICE STAFF	Y	MADISON, WI, United States
03/2010 - 08/2023	SECURIAN FINANCIAL SERVICES, INC	REGISTERED OFFICE STAFF	Y	ST PAUL, MN, United States
03/2010 - 10/2021	CRI SECURITIES, LLC	REGISTERED OFFICE STAFF	Y	ST PAUL, MN, 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) NORTH STAR CONSULTANTS & NORTH STAR BROKERAGE
POSITION: Agent/Broker NATURE: Fixed Insurance Sales INVESTMENT RELATED: No NUMBER OF HOURS: 160
SECURITIES TRADING HOURS: 160 START DATE: 06/01/2011
ADDRESS: , Minneapolis MN , United States
DESCRIPTION: Agent/Broker



Registration & Employment History



OTHER BUSINESS ACTIVITIES

2) 100 MEN OF DANE COUNTY

POSITION: Member NATURE: Volunteer/Community Outreach INVESTMENT RELATED: No NUMBER OF HOURS: 1

SECURITIES TRADING HOURS: 1 START DATE: 01/01/2018

ADDRESS: Dane County, Madison WI 53706, United States

DESCRIPTION: Each member pledges to give \$1000/qtr to the organization. The 100 members then choose 1 of 3 pre-screen non-profits to donate the groups \$100,000 to. The recipient organizations are local non-profits with missions that serve and benefit the local youth.

3) THE CANOPY CENTER

POSITION: Member NATURE: Board Member INVESTMENT RELATED: No NUMBER OF HOURS: 2 SECURITIES TRADING HOURS: 2 START DATE: 08/01/2013

ADDRESS: 2445 Darwin Rd, Ste 15, Madison WI 53704, United States

DESCRIPTION: I am no longer the Board President due to my term ending however I still serve on the board. The board determines the ongoing direction of the Non-Profit and oversees the Executive Director and her operation of the non-profit & staff.

4) NAME OF OTHER BUSINESS: STREEPER LIVING TRUST;

INVESTMENT RELATED: NO;

ADDRESS: 623 POST RD MADISON, WI 53713;

NATURE OF BUSINESS: REAL ESTATE;

START DATE: 07/2024;

POSITION/TITLE/RELATIONSHIP: TRUSTEE;

APX NUMBER OF HOURS PER WEEK: 1;

APX NUMBER OF HOURS DURING TRADING HOURS: 0;

BRIEF DESCRIPTION OF DUTIES: REAL ESTATE RENTAL PROPERTY;

5) NAME OF OTHER BUSINESS: STREEPER ENTERPRISES, LLC;

INVESTMENT RELATED: NO;

ADDRESS: SAME AS REGISTERED LOCATION;

NATURE OF BUSINESS: EXPENSE MANAGEMENT;

START DATE: 2/2025;

POSITION/TITLE/RELATIONSHIP: OWNER;

APX NUMBER OF HOURS PER WEEK: 2;

APX NUMBER OF HOURS DURING TRADING HOURS: 2;

BRIEF DESCRIPTION OF DUTIES: CREATED FOR EXPENSE MANAGEMENT;

6) NAME OF OTHER BUSINESS: NORTH STAR RESOURCE GROUP;

INVESTMENT RELATED: YES;

ADDRESS: SAME AS REGISTERED LOCATION;

NATURE OF BUSINESS: FINANCIAL SERVICES;

START DATE: 03/2025;

POSITION/TITLE/RELATIONSHIP: FINANCIAL PROFESSIONAL;

APX NUMBER OF HOURS PER WEEK: 40;

APX NUMBER OF HOURS DURING TRADING HOURS: 32.5;

BRIEF DESCRIPTION OF DUTIES: DBA FOR FINANCIAL SERVICES;

7) NAME OF OTHER BUSINESS: WAWA PROPERTIES LLC;

INVESTMENT RELATED: NO;

ADDRESS: 638 ORCHARD DR MADISON, WI 53711;

NATURE OF BUSINESS: REAL ESTATE;



Registration & Employment History



OTHER BUSINESS ACTIVITIES

START DATE: 02/2025;
POSITION/TITLE/RELATIONSHIP: OWNER;
APX NUMBER OF HOURS PER WEEK: 1;
APX NUMBER OF HOURS DURING TRADING HOURS: 0;
BRIEF DESCRIPTION OF DUTIES: REAL ESTATE RENTAL PROPERTY;

8) NAME OF OTHER BUSINESS: TRUSTEE FOR ACQUAINTANCE;
INVESTMENT RELATED: NO;
ADDRESS: SAME AS REGISTERED LOCATION;
NATURE OF BUSINESS: TRUSTEE;
START DATE: 1/2026;
POSITION/TITLE/RELATIONSHIP: TRUSTEE;
APX NUMBER OF HOURS PER WEEK: 1;
APX NUMBER OF HOURS DURING TRADING HOURS: 0;
BRIEF DESCRIPTION OF DUTIES: SUCCESSOR TRUSTEE FOR ACQUAINTANCE;



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
Formal Charges were brought in:	COUNTY COURT
Name of Court:	IOWA DISTRICT COURT IN AND FOR JOHNSON COUNTY
Location of Court:	JOHNSON COUNTY, IOWA
Docket/Case #:	SRCR053952
Charge Date:	12/04/1999
Charge(s) 1 of 1	
Formal Charge(s)/Description:	FALSIFYING A DRIVER'S LICENSE
No of Counts:	1
Felony or Misdemeanor:	Misdemeanor
Plea for each charge:	GUILTY
Disposition of charge:	Convicted
Current Status:	Final
Status Date:	01/20/2000
Disposition Date:	01/20/2000
Sentence/Penalty:	\$250 FINE + \$120 IN COURT COSTS & SURCHARGES;PAID MAY 3, 2000



End of Report

This page is intentionally left blank.