



IAPD Report

ADAM J AUSLOOS

CRD# 5963691

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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

ADAM J AUSLOOS (CRD# 5963691)

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 **04/06/2026**.

CURRENT EMPLOYERS

This individual is not currently registered as an Investment Adviser Representative.

QUALIFICATIONS

This individual is not currently registered as an Investment Adviser Representative.

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
	ADVICEWORKS WEALTH ADVISORS	284674	SARASOTA, FL	05/19/2017 - 03/18/2026
	ADVICEWORKS WEALTH ADVISORS LLC	284674	FRANKLIN, WI	07/20/2016 - 12/31/2016
	AMERIPRISE FINANCIAL SERVICES, INC.	6363	BROOKFIELD, WI	05/23/2014 - 07/27/2016

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
Regulatory Event	2
Customer Dispute	1

INVESTMENT ADVISER REPRESENTATIVE COMMENTS

See report for details.

Has this Investment Adviser Representative provided comments? **Yes**



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 not currently registered as an Investment Adviser Representative.



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, 0 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
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No information reported.

State Securities Law Exams

Exam	Category	Date
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IA B	Uniform Combined State Law Examination (S66)	Series 66	10/30/2012
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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	05/19/2017 - 03/18/2026	ADVICEWORKS WEALTH ADVISORS	CRD# 284674	SARASOTA, FL
IA	07/20/2016 - 12/31/2016	ADVICEWORKS WEALTH ADVISORS LLC	CRD# 284674	FRANKLIN, WI
IA	05/23/2014 - 07/27/2016	AMERIPRISE FINANCIAL SERVICES, INC.	CRD# 6363	BROOKFIELD, WI
IA	12/04/2012 - 05/05/2014	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	CRD# 7691	WAUKESHA, 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
01/2023 - Present	AdviceWorks Wealth Advisors	RIA / IAR	Y	Sarasota, FL, United States
07/2016 - 05/2023	AdviceWorks Wealth Advisors LLC	Financial Advisor	Y	Franklin, WI, United States
05/2014 - 07/2016	AMERIPRISE FINANCIAL SERVICES INC	FINANCIAL ADVISOR	Y	BROOKFIELD, WI, 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.

Mr. Ausloos is the founder of Tax Deferral Services (TDS). TDS offers tax consulting services, strategy implementation, plan servicing and access to professional resources. TDS does not offer legal or tax advice. TDS refers clients to qualified Tax attorney's and CPA's for legal and tax advice. TDS does not provide investment advice or investment services. All investment services and advice are handled through AdviceWorks.



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
Regulatory Event	2
Customer Dispute	1

Regulatory Event

This disclosure event may include a final, formal proceeding initiated by a regulatory authority (e.g., a state securities agency, a federal regulator such as the Securities and Exchange Commission or the Commodities Futures Trading Commission, or a foreign financial regulatory body) for a violation of investment-related rules or regulations. This disclosure event may also include a revocation or suspension of an Investment Adviser Representative's authority to act as an attorney, accountant or federal contractor.

Disclosure 1 of 2

Reporting Source: Regulator

Regulatory Action Initiated By: Florida Office of Financial Regulation

Sanction(s) Sought: Cease and Desist
Other: Termination

Date Initiated: 03/18/2026

Docket/Case Number: 126570(a)-S

URL for Regulatory Action:

Employing firm when activity occurred which led to the regulatory action: Adviceworks Wealth Advisors LLC

Product Type: No Product

Allegations: as the sole owner, managing principal, chief compliance officer, and/or sole trustee of Adviceworks, Ausloos failed to timely notify the Office the administrative orders and other reportable events

Current Status: Final

Resolution: Stipulation and Consent

Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct? No



Resolution Date:	03/18/2026
Sanctions Ordered:	Cease and Desist Other: Termination of Registration
Regulator Statement	<p>On 3/18/2026, the State of Florida, Office of Financial Regulation ("Office") entered a Final Order adopting the Stipulation and Consent Agreement in the matter of Adam J. Ausloos, CRD #5963691 ("Ausloos"), the sole owner, managing principal, chief compliance officer, and/or sole trustee of Adviceworks (CRD #284674). Ausloos neither admits nor denies the allegations but consents to the entry of findings by the Office. The Office found that Ausloos violated section 517.161(1)(k), Florida Statutes, because Ausloos was subject to the January 24, 2025 administrative order issued by Wisconsin's Department of Financial Institutions, Division of Securities that imposed a bar on Ausloos, which permanently prohibited Ausloos from applying for any type of securities registration in Wisconsin; and violated section 517.161(1)(a), Florida Statutes by failing to timely notify the Office the administrative orders and other reportable events in violation of Rules 69W-600.0016(3) and (11)(a) through (11)(c), and 69W-600.0024(3) and (10)(a) through (10)(c), Florida Administrative Code. Ausloos agrees to shall Cease and Desist from violations of chapter 517, Florida Statutes, and the rules promulgated thereunder, and shall not engage in any activities in, or into Florida which require registration pursuant to chapter 517, Florida Statutes, and the rules promulgated thereunder; Ausloos' registration with the Office as an associated person of Adviceworks will be terminated upon the termination of Adviceworks' registration with the Office; and Ausloos shall not submit an application in the future for a license or registration with the Office pursuant to chapter 517, Florida Statutes.</p>
Investment Adviser Representative Comment:	<p>THE FLORIDA EXAMINATION RESULTED IN A CONSENT ORDER WITHOUT A HEARING CLOSING THE EXAMINATION. IT WAS DETERMINED THAT THE WI ORDERS WERE REPLACED BY A SINGLE ORDER THAT WAS REPORTED AND THAT THE DISMISSED CIVIL SUIT WAS NOT A REPORTABLE REQUIREMENT. IT WAS ALSO DETERMINED THE FIRM WAS NOT CONDUCTING BUSINESS, WAS IN ESSENCE CLOSED, AND READY TO FILE THE ADV-W TO OFFICIALLY CLOSE THE FIRM PERMANENTLY THE SAME WEEK THE OFFICE OF FL REGULATION FILED THE ADMINISTRATIVE COMPLAINT. THE FIRM HIRED A COMPLIANCE VENDOR WHO DID NOT PROPERLY UPDATE MY U4 CAUSING A FEW SMALL ADMINISTRATIVE TIMING ISSUES WITH ADV-DISCLOSURE AMENDMENTS. THE VENDOR WAS TERMINATED UPON FIRMS DISCOVERY OF THE MISTAKES MADE. THIS ADMINISTRATIVE FILING ISSUE DOES NOT JUSTIFY THE EXTREME CONSENT ORDER PENDING ISSUES BY FL OFR.</p>
Disclosure 2 of 2	
Reporting Source:	Regulator
Regulatory Action Initiated By:	Wisconsin
Sanction(s) Sought:	Bar Cease and Desist Disgorgement
Date Initiated:	12/21/2023
Docket/Case Number:	S-246612 (LX)
URL for Regulatory Action:	https://dfi.wi.gov/Documents/Securities/RegistrationOfProfessionals/EnforcementAdministrativeOrders/2025/20250124AusloosAdviceworks.pdf



Employing firm when activity occurred which led to the regulatory action:	AdviceWorks Wealth Advisors LLC
Product Type:	No Product
Allegations:	VIOLATION OF WIS. STAT. SECTION 551.412(4) AND WIS. ADMIN. CODE DFI-SEC. 5.06(15) BY CHARGING WISCONSIN RESIDENTS AT LEAST \$4,479.29 IN INVESTMENT ADVISORY FEES WHILE NOT REGISTERED IN WISCONSIN
Current Status:	Final
Resolution:	Consent
Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct?	No
Resolution Date:	01/24/2025
Sanctions Ordered:	Bar (Permanent) Cease and Desist Disgorgement
Sanction 1 of 1	
Sanction Type:	Bar (Permanent)
Capacities Affected:	All Capacities
Duration:	
Start Date:	01/24/2025
End Date:	
Monetary Sanction 1 of 1	
Monetary Related Sanction:	Disgorgement
Total Amount:	\$4,479.29
Portion Levied against individual:	\$4,479.29
Payment Plan:	Disgorgement of advisory fees has been paid to customers.
Is Payment Plan Current:	Yes
Date Paid by individual:	03/14/2025
Was any portion of penalty waived?	No
Amount Waived:	
.....	
Reporting Source:	Individual
Regulatory Action Initiated By:	WDFI
Sanction(s) Sought:	Bar
Date Initiated:	01/24/2025



Docket/Case Number:	S-246612
Employing firm when activity occurred which led to the regulatory action:	Adviceworks Wealth Advisors (not the LLC)
Product Type:	No Product
Allegations:	WDFI alleged that Adviceworks Wealth Advisors LLC billed WI clients during a 21-day period when the firm was not registered. WDFI calculated \$4,479.29 was owed back to WI clients from billing that occurred 21 days earlier than it was supposed to occur. The firm calculated an amount of \$1007.64 that was billed early because the rest of the WI clients that billed early were qualified investors exempt from requiring firm registration. The firm's automated billing back-office technology was not turned off while the Advisor was traveling to see his sick father for the Christmas and New Year holidays. The advisor signed & notarized the order on the way to the airport for his flight without turning off the automated billing. This small clerical automated billing error does not justify the extreme penalty issued by WDFI.
Current Status:	Final
Resolution:	Consent
Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct?	Yes
Resolution Date:	01/24/2025
Sanctions Ordered:	Bar (Permanent)
Sanction 1 of 1	
Sanction Type:	Bar (Permanent)
Capacities Affected:	All
Duration:	permanant
Start Date:	01/24/2025
End Date:	
Broker Statement	WDFI alleged that Adviceworks Wealth Advisors LLC billed WI clients during a 21-day period when the firm was not registered. WDFI calculated \$4,479.29 was owed back to WI clients from billing that occurred 21 days earlier than it was supposed to occur. The firm calculated an amount of \$1007.64 that was billed early because the rest of the WI clients that billed early were qualified investors exempt from requiring firm registration. The firm's automated billing back-office technology was not turned off while the Advisor was traveling to see his sick father for the Christmas and New Year holidays. The advisor signed & notarized the order on the way to the airport for his flight without turning off the automated billing. This small clerical automated billing error does not justify the extreme penalty issued by WDFI.



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: Individual

Employing firm when activities occurred which led to the complaint: Ameriprise Financial Services, Inc.

Allegations: The client stated that the advisor did not inform her that the Minnesota Life Variable Annuity policy she purchased in October, 2014 had a seven year surrender period. She also stated that the advisor told her that the policy would pay 7% interest. The client signed documents which stated she understood the product and acknowledged she received the applicable product disclosures. The associated Rider provides a 7% guarantee.

Product Type: Annuity-Variable

Alleged Damages: \$5,328.04

Is this an oral complaint? No

Is this a written complaint? Yes

Is this an arbitration/CFTC reparation or civil litigation? No

Customer Complaint Information

Date Complaint Received: 05/04/2016

Complaint Pending? No

Status: Denied

Status Date: 05/26/2016

Settlement Amount:

Individual Contribution Amount:

Broker Statement The client signed documents which stated she understood the product and acknowledged she received the applicable product disclosures.



End of Report

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