



IAPD Report

Cesar Alonzo Romero

CRD# 7230835

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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

Cesar Alonzo Romero (CRD# 7230835)

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 **05/13/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	PRINCIPAL SECURITIES, INC.	CRD# 1137	02/24/2025
IA	PRINCIPAL SECURITIES, INC.	CRD# 1137	02/28/2025

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **16** 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	CETERA ADVISOR NETWORKS LLC	13572	Eden Prairie, MN	01/04/2023 - 02/11/2025
IA	SAGEVIEW ADVISORY GROUP, LLC	126777	Irving, TX	10/25/2022 - 02/04/2025
IA	KSI FINANCIAL	167247	EDINA, MN	06/08/2022 - 10/19/2022

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

Employment 1 of 1

Firm Name: **PRINCIPAL SECURITIES, INC.**

Main Address: 711 HIGH STREET
DES MOINES, IA 50392

Firm ID#: 1137

	Regulator	Registration	Status	Date
	FINRA	General Securities Representative	Approved	02/24/2025
	Alabama	Agent	Approved	01/02/2026
	Arkansas	Agent	Approved	12/18/2025
	California	Agent	Approved	03/17/2025
	Georgia	Agent	Approved	04/10/2026
	Hawaii	Agent	Approved	05/26/2026
	Iowa	Agent	Approved	02/18/2026
	Minnesota	Agent	Approved	02/25/2025
	Missouri	Agent	Approved	05/14/2025
	Nebraska	Agent	Approved	04/08/2025
	Ohio	Agent	Approved	12/01/2025
	Oklahoma	Agent	Approved	01/21/2026
	Oregon	Agent	Approved	05/03/2026



Qualifications

	Regulator	Registration	Status	Date
B	South Carolina	Agent	Approved	02/26/2025
B	Texas	Agent	Approved	02/24/2025
IA	Texas	Investment Adviser Representative	Approved	02/28/2025
B	Washington	Agent	Approved	04/06/2026
B	Wisconsin	Agent	Approved	07/02/2025

Branch Office Locations

PRINCIPAL SECURITIES, INC.
5080 SPECTRUM DR
STE 1200E
ADDISON, TX 75001



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, 2 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 General Securities Representative Examination (S7TO)	Series 7TO	09/15/2020
B Securities Industry Essentials Examination (SIE)	SIE	03/17/2020

State Securities Law Exams

Exam	Category	Date
IA B Uniform Combined State Law Examination (S66)	Series 66	01/02/2021



PROFESSIONAL DESIGNATIONS

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

Certified Financial Planner

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	01/04/2023 - 02/11/2025	CETERA ADVISOR NETWORKS LLC	CRD# 13572	Eden Prairie, MN
IA	10/25/2022 - 02/04/2025	SAGEVIEW ADVISORY GROUP, LLC	CRD# 126777	Irving, TX
IA	06/08/2022 - 10/19/2022	KSI FINANCIAL	CRD# 167247	EDINA, MN
IA	05/24/2021 - 06/09/2022	THRIVENT INVESTMENT MANAGEMENT INC.	CRD# 18387	Andover, MN
B	05/21/2021 - 06/09/2022	THRIVENT INVESTMENT MANAGEMENT INC.	CRD# 18387	Andover, MN
IA	01/06/2021 - 04/08/2021	RAYMOND JAMES FINANCIAL SERVICES ADVISORS, INC	CRD# 149018	Minneapolis, MN
B	12/09/2020 - 04/08/2021	RAYMOND JAMES FINANCIAL SERVICES, INC.	CRD# 6694	MINNEAPOLIS, MN

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
09/2025 - Present	Helm Financial Group	Financial Advisor	Y	Addison, TX, United States
01/2025 - Present	Principal Life Insurance Company	Agent	Y	Addison, TX, United States
01/2025 - Present	Principal Securities, Inc.	Registered Representative	Y	Addison, TX, United States
01/2023 - 01/2025	CETERA ADVISOR NETWORKS	REGISTERED REPRESENTATIVE	Y	EL SEGUNDO, CA, United States
10/2022 - 01/2025	SAGEVIEW ADVISORY, LLC	WEALTH MANAGER	Y	NEWPORT BEACH, CA, United States
06/2022 - 10/2022	KSI Financial	Investment Adviser Representative	Y	EDINA, MN, United States
05/2022 - 10/2022	KSI Financial	Financial Advisor	Y	Edina, MN, United States
05/2021 - 10/2022	Thrivent Investment Management Inc	Registered Representative	Y	Andover, MN, United States



Registration & Employment History



EMPLOYMENT HISTORY

Employment Dates	Employer Name	Position	Investment Related	Employer Location
06/2021 - 05/2022	Thrivent Financial	Financial Associate	Y	Appleton, WI, United States
06/2021 - 08/2021	Thrivent Financial	Associate Representative	Y	Appleton, WI, United States
02/2020 - 07/2021	Merril Lynch/BOA	FADP	N	St. Paul, MN, United States
04/2021 - 05/2021	unemployed	Father	N	Andover, MN, United States
01/2021 - 03/2021	Raymond James Financial Services Advisors, Inc	Investment Adviser Rep	Y	Minneapolis, MN, United States
08/2020 - 03/2021	Birch Cove Group.,Ltd.	DBA	N	Minneapolis, MN, United States
08/2020 - 03/2021	Raymond James Financial Services	Pending Registered rep	Y	Minneapolis, MN, United States
02/2020 - 08/2020	Merrill Lynch	FADP	Y	St. Paul, MI, United States
05/2018 - 02/2020	Lutheran Social Services	Financial Counselor	N	Minneapolis, MN, United States
09/2016 - 05/2018	Lutheran Family Services	DOJ Rep	N	Denver, CO, United States
05/2010 - 09/2016	El Gato con Botas	Treasurer	N	Ramsey, MN, United States
07/2016 - 08/2016	Chevrolet	Sales	N	Denver, CO, 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.

**INSURANCE

POSITION: Agent NATURE: null INVESTMENT RELATED: Yes NUMBER OF HOURS: 16 SECURITIES TRADING HOURS: 16 START DATE: 01/02/2025

ADDRESS: 5080 Spectrum Dr., Suite 1200, Addison TX 75001, United States

DESCRIPTION: Sales and service of outside fixed insurance, including life, annuities, DI, LTC, health and group insurance.

**CESAR AND HILARY ROMERO

POSITION: Owner NATURE: Real Estate Rental Income INVESTMENT RELATED: Yes NUMBER OF HOURS: 0 SECURITIES TRADING HOURS: 0 START DATE: 09/01/2024

ADDRESS: 1120 152nd Ave NW, Andover MN 55304, United States

DESCRIPTION: Owner of residential property.



Registration & Employment History



OTHER BUSINESS ACTIVITIES

****HELM FINANCIAL GROUP (DBA)**

POSITION: Financial Advisor NATURE: Financial Planning, Fee based advice, Insurance, annuities and DI. INVESTMENT RELATED: Yes NUMBER OF HOURS: 5 SECURITIES TRADING HOURS: 5 START DATE: 09/05/2025

ADDRESS: 5080 Spectrum Dr, Ste 1200 E, Addison TX 75001, United States

DESCRIPTION: Brian Helm's existing DBA and I will be joining his team to continue to serve clients in all capacities that he is currently able to.



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:	Anoka County District Court
Name of Court:	Anoka County District Court
Location of Court:	Anoka County, MN
Docket/Case #:	02-K5-06-011086
Charge Date:	05/09/2006
Charge(s) 1 of 1	
Formal Charge(s)/Description:	Damage to Property - 1st Degree, Value over \$500
No of Counts:	1
Felony or Misdemeanor:	Felony
Plea for each charge:	Guilty
Disposition of charge:	Reduced
Date of Amended Charge:	05/01/2007
Charge was Amended or reduced to:	Property Damage - Value under \$500
Amended No of Counts:	1
Amended Charge:	Misdemeanor
Amended Plea:	Guilty
Disposition of Amended Charge:	Pled guilty
Current Status:	Final



Status Date:	05/01/2007
Disposition Date:	05/01/2007
Sentence/Penalty:	Probation 5/1/2007-5/1/2010; early discharge on 7/30/2009. 1 day of confinement 5/1/07; Restitution and Fees of \$5644.23



End of Report

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