



## IAPD Report

# Dale Scott Siligmueller

CRD# 733630

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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

### Dale Scott SiligmueLLer (CRD# 733630)

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 **10/16/2025**.

### CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
IA	ROTHSCHILD WEALTH LLC	CRD# 162442	10/16/2025

### QUALIFICATIONS

This representative is currently registered in **0** SRO(s) and **1** 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	SILIGMUELLER & NORVID WEALTH ADVISORS LLC	109265	OAK BROOK, IL	11/15/2012 - 11/07/2025
B	KEMPER DISTRIBUTORS, INC.	37306	CHICAGO, IL	02/01/1995 - 04/09/1998
B	INVESTORS BROKERAGE SERVICES, INC.	4257	ELGIN, IL	11/07/1986 - 08/02/1995

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	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 **1** jurisdiction(s) and **0** SRO(s) through his or her employer(s).

### Employment 1 of 1

Firm Name: **ROTHSCHILD WEALTH LLC**  
Main Address: 700 COMMERCE DRIVE  
SUITE 170  
OAKBROOK, IL 60523  
Firm ID#: 162442

	Regulator	Registration	Status	Date
	Illinois	Investment Adviser Representative	Approved	10/16/2025

### Branch Office Locations

**ROTHSCHILD WEALTH LLC**  
700 COMMERCE DRIVE  
SUITE 170  
OAKBROOK, IL 60523



## 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, 1 general industry/product exam, and 1 state securities law exam.**

#### Principal/Supervisory Exams

	Exam	Category	Date
B	Financial and Operations Principal Examination (S27)	Series 27	06/08/1981

#### General Industry/Product Exams

	Exam	Category	Date
B	General Securities Representative Examination (S7)	Series 7	02/09/1998

#### State Securities Law Exams

	Exam	Category	Date
IA B	Uniform Combined State Law Examination (S66)	Series 66	04/29/1998



### 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	11/15/2012 - 11/07/2025	SILIGMUELLER & NORVID WEALTH ADVISORS LLC	CRD# 109265	OAK BROOK, IL
B	02/01/1995 - 04/09/1998	KEMPER DISTRIBUTORS, INC.	CRD# 37306	CHICAGO, IL
B	11/07/1986 - 08/02/1995	INVESTORS BROKERAGE SERVICES, INC.	CRD# 4257	ELGIN, IL
B	06/10/1981 - 02/01/1995	KEMPER FINANCIAL SERVICES, INC.	CRD# 798	
B	12/04/1991 - 10/25/1993	SELECTED FINANCIAL SERVICES, INC.	CRD# 29242	
B	05/10/1990 - 08/14/1990	KEMPER SECURITIES GROUP, INC.	CRD# 26062	

### 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
10/2025 - Present	Rothschild Wealth, LLC	Managing Director, Wealth Advisor	Y	Oak Brook, IL, United States
02/2012 - 10/2025	SILIGMUELLER & NORVID WEALTH ADVISORS	MANAGING MEMBER	Y	GLEN ELLYN, 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.

No information reported.



## 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	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 1

**Reporting Source:** Regulator  
**Regulatory Action Initiated By:** NATIONAL ASSOCIATION OF SECURITIES DEALERS, INC.

**Sanction(s) Sought:**

**Other Sanction(s) Sought:**

**Date Initiated:** 05/31/1990

**Docket/Case Number:** CHI-1232 AWC

**Employing firm when activity occurred which led to the regulatory action:** INVESTORS BROKERAGE SERVICES, INC.

**Product Type:**

**Other Product Type(s):**

**Allegations:**

**Current Status:** Final

**Resolution:** Acceptance, Waiver & Consent(AWC)

**Resolution Date:** 05/31/1990

**Sanctions Ordered:** Censure  
Monetary/Fine \$5,000.00

**Other Sanctions Ordered:**

**Sanction Details:**

**Regulator Statement** ON MAY 31, 1990, THE LETTER OF ACCEPTANCE, WAIVER AND CONSENT NUMBER CHI-1232-AWC (DISTRICT NO. 8) SUBMITTED BY RESPONDENTS





INVESTORS BROKERAGE SERVICES, INC. AND DALE S. SILIGMUELLER WAS ACCEPTED; THEREFORE, THEY ARE CENSURED AND FINED \$5,000, JOINTLY AND SEVERALLY - (ARTICLE III, SECTIONS 1 AND 21 OF THE RULES OF FAIR PRACTICE - RESPONDENT MEMBER, ACTING THROUGH RESPONDENT SILIGMUELLER, EFFECTED TRANSACTIONS IN SECURITIES WHEN IT FAILED TO MAINTAIN REQUIRED NET CAPITAL; FAILED TO ACCURATELY COMPUTE ITS AGGREGATE INDEBTEDNESS AND NET CAPITAL; FAILED TO MAINTAIN ACCURATE BOOKS AND RECORDS; AND, FILED INACCURATE FOCUS PARTS I AND II REPORTS).

\*\*\*\$5,000.00 J&S PAID ON 6/28/90 INVOICE #90-08-703\*\*\*

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<b>Reporting Source:</b>	Individual
<b>Regulatory Action Initiated By:</b>	NASD CHICAGO OFFICE.
<b>Sanction(s) Sought:</b>	
<b>Other Sanction(s) Sought:</b>	
<b>Date Initiated:</b>	05/31/1990
<b>Docket/Case Number:</b>	CHI-1232 AWC
<b>Employing firm when activity occurred which led to the regulatory action:</b>	INVESTORS BROKERAGE SERVICES, INC.
<b>Product Type:</b>	
<b>Other Product Type(s):</b>	
<b>Allegations:</b>	INCORRECTLY ACCOUNTED FOR CERTAIN FOREIGN DRAFTS IN CALCULATION OF INVESTORS BROKERAGE SERVICES AGGREGATE INDEBTEDNESS. THERE IS NO STATUTORY, REGULATORY OR INTERPRETIVE GUIDANCE AS TO TREATMENT OF THESE KINDS OF INVESTMENTS IN THIS SITUATION.
<b>Current Status:</b>	Final
<b>Resolution:</b>	Acceptance, Waiver & Consent(AWC)
<b>Resolution Date:</b>	05/31/1990
<b>Sanctions Ordered:</b>	Censure Monetary/Fine \$5,000.00
<b>Other Sanctions Ordered:</b>	
<b>Sanction Details:</b>	INVESTOR BROKERAGE SERVICES, INC. ("IBS"), HAS ENTERED A LETTER OF ACCEPTANCE, WAIVER & CONSENT (CHI-1232-AWC), DATED MARCH 6, 1990, PROVIDING FOR A CENSURE AND A \$5,000 FINE, JOINTLY AND SEVERALLY, AS TO IBS AND ITS FINANCIAL PRINCIPAL, MR. DALE SILIGMUELLER.
<b>Broker Statement</b>	THE NASD STAFF ALLEGED THAT IBS AND MR. SILIGMUELLER INCORRECTLY ACCOUNTED FOR CERTAIN FOREIGN DRAFTS IN IBS'S COMPUTATIONS OF AGGREGATE INDEBTEDNESS AND NET CAPITAL



DURING THE TIME PERIOD FROM SEPTEMBER, 1988 TO JANUARY, 1989J, RESULTING IN DEFICIENCIES IN IBS'S REQUIRED NET CAPITAL POSITION, FAILURE TO PROMPTLY POSTS ITS CASH RECEIPTS, AND RESULTANT FILING OF INACCURATE FOCUS REPORTS AND DISBURSEMENT INCURRED DURING THIS PERIOD. THE ALLEGED VIOLATIONS REVOLVE ANROUND CHARACTERIZATION OF FOREIGN DRAFTS RECEIVED WITH RESPECT TO UNIT INVESTMENT TRUST SECURITIES. THERE IS NO STATUTORY, REGULATORY INTERPRETIVE GUIDANCE AS TO TREATMENT OF THESE KINDS OF INSTRUMENTS IN THE SITUATION.



## End of Report

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