



## IAPD Report

# ROBERT WAYNE WARTHER

CRD# 813761

<b><u>Section Title</u></b>	<b><u>Page(s)</u></b>
Report Summary	1
Qualifications	2 - 4
Registration and Employment History	5 - 6
Disclosure Information	7



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

### ROBERT WAYNE WARTHNER (CRD# 813761)

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 **10/14/2025**.

### CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
IA	WARTHNER PRIVATE WEALTH	CRD# 125145	02/18/2003
B	INDEPENDENCE CAPITAL CO., INC.	CRD# 24723	01/09/2017

### QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **11** 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	CAMBRIDGE INVESTMENT RESEARCH, INC.	39543	AKRON, OH	02/14/2013 - 12/31/2016
B	LPL FINANCIAL LLC	6413	AKRON, OH	09/08/2009 - 02/27/2013
IA	LPL FINANCIAL CORPORATION	6413	AKRON, OH	09/08/2009 - 12/12/2009

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
Customer Dispute	3
Termination	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 11 jurisdiction(s) and 1 SRO(s) through his or her employer(s).

#### Employment 1 of 2

Firm Name: **INDEPENDENCE CAPITAL CO., INC.**

Main Address: 5579 PEARL ROAD, STE 100  
PARMA, OH 44129

Firm ID#: 24723

Regulator	Registration	Status	Date
 FINRA	General Securities Representative	Approved	01/09/2017
 Alabama	Agent	Approved	02/08/2017
 Florida	Agent	Approved	04/19/2017
 Indiana	Agent	Approved	06/30/2021
 Michigan	Agent	Approved	01/31/2017
 New Jersey	Agent	Approved	05/10/2017
 Ohio	Agent	Approved	01/09/2017
 Pennsylvania	Agent	Approved	01/13/2017
 South Carolina	Agent	Approved	10/16/2025
 Washington	Agent	Approved	05/23/2017
 West Virginia	Agent	Approved	05/02/2017

#### Branch Office Locations

**INDEPENDENCE CAPITAL CO., INC.**  
2385 NW Executive Center  
Boca Raton, FL 33431

**INDEPENDENCE CAPITAL CO., INC.**  
2385 NW Executive Center Dr. Suite 100  
Boca Raton, FL 33431



## Qualifications

**INDEPENDENCE CAPITAL CO., INC.**

1075 W. Market Street  
Akron, OH 43793

**INDEPENDENCE CAPITAL CO., INC.**

5150 Tamiami Trail N. Suite 505  
Naples, FL 34103

**Employment 2 of 2**

Firm Name: **WARTHER PRIVATE WEALTH**

Main Address: 1075 WEST MARKET ST.  
AKRON, OH 44313

Firm ID#: 125145

Regulator	Registration	Status	Date
IA Florida	Investment Adviser Representative	Approved	07/27/2018
IA Ohio	Investment Adviser Representative	Approved	02/18/2003
IA Texas	Investment Adviser Representative	Restricted Approval	09/01/2021

**Branch Office Locations****WARTHER PRIVATE WEALTH**

1075 WEST MARKET ST.  
AKRON, OH 44313

**WARTHER PRIVATE WEALTH**

1075 WEST MARKET ST.  
AKRON, OH 44313



## 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, 4 general industry/product exams, and 2 state securities law exams.**

#### Principal/Supervisory Exams

Exam	Category	Date
 Investment Company Products/Variable Contracts Principal Examination (S26)	Series 26	11/26/1997

#### General Industry/Product Exams

Exam	Category	Date
 Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
 General Securities Representative Examination (S7)	Series 7	02/12/1999
 Investment Company Products/Variable Contracts Representative Examination (S6)	Series 6	02/22/1984
 Registered Representative Examination (S1)	Series 1	10/11/1975

#### State Securities Law Exams

Exam	Category	Date
 Uniform Investment Adviser Law Examination (S65)	Series 65	01/10/1998
 Uniform Securities Agent State Law Examination (S63)	Series 63	08/18/1995

### 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
B	02/14/2013 - 12/31/2016	CAMBRIDGE INVESTMENT RESEARCH, INC.	CRD# 39543	AKRON, OH
B	09/08/2009 - 02/27/2013	LPL FINANCIAL LLC	CRD# 6413	AKRON, OH
IA	09/08/2009 - 12/12/2009	LPL FINANCIAL CORPORATION	CRD# 6413	AKRON, OH
IA	01/01/2000 - 09/08/2009	MUTUAL SERVICE CORPORATION	CRD# 4806	AKRON, OH
B	05/28/1999 - 09/08/2009	MUTUAL SERVICE CORPORATION	CRD# 4806	AKRON, OH
IA	01/31/2002 - 06/23/2003	WARTHER COMPANIES	CRD# 115860	AKRON, OH
B	08/03/1993 - 05/28/1999	SECURITIES AMERICA, INC.	CRD# 10205	LAVISTA, NE
B	07/09/1986 - 08/04/1993	MARINER FINANCIAL SERVICES, INC.	CRD# 8292	LARGO, FL
B	02/23/1984 - 07/28/1986	PHILADELPHIA LIFE ASSET PLANNING COMPANY	CRD# 629	
B	10/17/1975 - 11/16/1978	PML SECURITIES COMPANY	CRD# 4082	

### 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
01/2017 - Present	Independence Capital Co.	Registered Representative	Y	psrms, OH, United States
12/2012 - Present	WARTHER PRIVATE WEALTH, LLC	INVESTMENT ADVISOR	Y	AKRON, OH, United States
11/2002 - Present	WARTHER CONSULTING, LLC	PRESIDENT, REGISTERED INVESTMENT ADVISER	Y	AKRON, OH, United States
05/1999 - Present	MUTUAL SERVICE CORPORATION	REGISTERED REPRESENTATIVE	Y	AKRON, OH, United States
09/1992 - Present	EXECUTIVE PENSION SERVICES	PRESIDENT - PRESIDENT	N	AKRON, OH, United States



## Registration & Employment History

### EMPLOYMENT HISTORY

Employment Dates	Employer Name	Position	Investment Related	Employer Location
01/1988 - Present	WARTHER PRIVATE WEALTH, LLC	PRESIDENT	Y	AKRON, OH, United States
02/2013 - 12/2016	CAMBRIDGE INVESTMENT RESEARCH, INC	REGISTERED REPRESENTATIVE	Y	FAIRFIELD, IA, 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.

Owner (WARTHER FINANCIAL GROUP), SELL LIFE INSURANCE AND FIXED ANNUITIES, 1075 W Market St Akron OH 44313, Start 8/10/2010, 10 hrs/month, Compensation: Commission. Owner (WARTHER PRIVATE WEALTH, LLC), REGISTERED INVESTMENT ADVISOR, 1075 W Market St Akron OH 44313, 140 hrs/month, Compensation: Fee Based Board Member (WORLD HOPE FOUNDATION), Foundation, 1075 W. MARKET ST, AKRON, OH 44313. start4/2009. 2 HR/MO, Compensation: None.

Owner (WARTHER FINANCIAL GROUP), fixed life insurance sales, 1075 WEST MARKET STREET, AKRON, OH 44313, Compensation: Commission.

TriAeres Properties LLC, Office Space Rental, 1075 West Market St Akron OH 44313, Start: 2013. Compensation: (Other (Rental) Catalina Aviation Inc, Plane Rental, 1075 West Market St Akron OH 44313, Start: 2013, Compensation: Hourly Robert Warther, Condo Rental, 1500 S Ocean Blvd 603 Pompano Beach FL 33062, Start 2022, Compensation: Other (rental)



## 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
Customer Dispute	3
Termination	1

### 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 3

<b>Reporting Source:</b>	Individual
<b>Employing firm when activities occurred which led to the complaint:</b>	Cambridge Investment Research, Inc.
<b>Allegations:</b>	Client alleges the annuity she purchased was unsuitable.
<b>Product Type:</b>	Annuity-Fixed
<b>Alleged Damages:</b>	\$0.00
<b>Alleged Damages Amount Explanation (if amount not exact):</b>	Unable to determine damages are less than \$5000.
<b>Is this an oral complaint?</b>	No
<b>Is this a written complaint?</b>	Yes
<b>Is this an arbitration/CFTC reparation or civil litigation?</b>	No

### Customer Complaint Information

<b>Date Complaint Received:</b>	11/02/2016
<b>Complaint Pending?</b>	No
<b>Status:</b>	Withdrawn
<b>Status Date:</b>	11/10/2016
<b>Settlement Amount:</b>	

**Individual Contribution****Amount:****Broker Statement**

A thorough review of suitability of the product was conducted with the client in advance of the client signing the application.

**Disclosure 2 of 3****Reporting Source:** Individual**Employing firm when activities occurred which led to the complaint:** Cambridge Investment Research, Inc.**Allegations:** Clients allege the RR withheld information regarding their 1035 exchange to Allianz.**Product Type:** Annuity-Variable**Alleged Damages:** \$8,149.12**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:** 09/30/2015**Complaint Pending?** No**Status:** Withdrawn**Status Date:** 10/30/2015**Settlement Amount:****Individual Contribution****Amount:****Broker Statement**

The client contacted RR to request a specific product and a transfer. It was unsolicited. The fees and structure of the product were completely explained by the office before the client asked to move forward with the exchange. Applications were mailed and returned.

**Disclosure 3 of 3****Reporting Source:** Individual**Employing firm when activities occurred which led to the complaint:** MUTUAL SERVICE CORPORATION**Allegations:** CLIENT ALLEGES THAT POLICY INFORMATION WAS NOT PROPERLY EXPLAINED AND MADE ALLEGATIONS OF MISREPRESENTATION. CLIENT ALSO FEELS THAT HE WAS PRESSURED TO GET POLICY & WANTED TO SEE THE RESULTS OF HIS FINANCIAL PLAN THAT WAS BEING PREPARED BY SAME REPRESENTATIVE. CLIENT STATED HE PLANNED ON USING THE PLAN TO DETERMINE HIS INSURANCE NEED, CLIENT WANTS CANCELED AND HIS PREMIUMS RETURNED.**Product Type:** Insurance



**Alleged Damages:** \$0.00

**Is this an oral complaint?** Yes

**Is this a written complaint?** No

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

### **Customer Complaint Information**

**Date Complaint Received:** 06/10/2002

**Complaint Pending?** No

**Status:** Closed/No Action

**Status Date:** 12/05/2016

**Settlement Amount:**

**Individual Contribution**

**Amount:**

### **Arbitration Information**

**Disposition:** No Action

**Disposition Date:** 12/05/2016



## Termination

This disclosure event involves a situation where the Investment Adviser Representative voluntarily resigned, was discharged or was permitted to resign after allegations were made that accused the Investment Adviser Representative of violating investment-related statutes, regulations, rules or industry standards of conduct; fraud or the wrongful taking of property; or failure to supervise in connection with investment-related statutes, regulations, rules or industry standards of conduct.

### **Disclosure 1 of 1**

**Reporting Source:** Firm  
**Firm Name:** LPL FINANCIAL LLC  
**Termination Type:** Discharged  
**Termination Date:** 01/29/2013  
**Allegations:** VIOLATED FIRM POLICY REGARDING COMMUNICATIONS WITH THE PUBLIC BY HOLDING INVESTMENT-RELATED SEMINARS NOT APPROVED BY THE FIRM.  
**Product Type:** No Product

---

**Reporting Source:** Individual  
**Firm Name:** LPL FINANCIAL LLC  
**Termination Type:** Discharged  
**Termination Date:** 01/29/2013  
**Allegations:** VIOLATED FIRM POLICY REGARDING COMMUNICATIONS WITH THE PUBLIC BY HOLDING INVESTMENT-RELATED SEMINARS NOT APPROVED BY THE FIRM.  
**Product Type:** No Product



## End of Report

This page is intentionally left blank.