



## IAPD Report

# JOHN OTTO SCHREIBER

CRD# 839937

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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

### JOHN OTTO SCHREIBER (CRD# 839937)

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 **11/17/2025**.

### CURRENT EMPLOYERS

|           | Firm   | CRD#        | Registered Since |
|-----------|--|-------------|------------------|
| <b>B</b>  | RAYMOND JAMES FINANCIAL SERVICES, INC.         | CRD# 6694   | 10/03/1985       |
| <b>IA</b> | RAYMOND JAMES FINANCIAL SERVICES ADVISORS, INC | CRD# 149018 | 10/23/2017       |

### QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **9** 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>IA</b> | SCHREIBER INVESTMENT ADVISORY SERVICES | 109773 | MUKWONAGO, WI | 04/08/2011 - 12/31/2019 |
| <b>IA</b> | BTS ASSET MANAGEMENT, INC.             | 105215 | HARTLAND, WI  | 07/08/1998 - 12/31/2007 |
| <b>B</b>  | CREATIVE ASSET MANAGEMENT, INC.        | 8510   | HARTLAND, WI  | 04/20/1981 - 09/30/1985 |

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     |
| Customer Dispute | 3     |
| Judgment/Lien    | 1     |



## Report Summary



## 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 9 jurisdiction(s) and 1 SRO(s) through his or her employer(s).

### Employment 1 of 2

Firm Name: **RAYMOND JAMES FINANCIAL SERVICES, INC.**  
Main Address: 880 CARILLON PARKWAY  
ST. PETERSBURG, FL 33716  
Firm ID#: 6694

|   | Regulator      | Registration                        | Status   | Date       |
|---|----------------|-------------------------------------|----------|------------|
| B | FINRA          | General Securities Principal        | Approved | 10/03/1985 |
| B | FINRA          | General Securities Representative   | Approved | 10/03/1985 |
| B | FINRA          | Municipal Securities Principal      | Approved | 07/11/1994 |
| B | FINRA          | Municipal Securities Representative | Approved | 07/11/1994 |
| B | Arkansas       | Agent                               | Approved | 12/13/2005 |
| B | Florida        | Agent                               | Approved | 10/11/1985 |
| B | Georgia        | Agent                               | Approved | 03/02/1995 |
| B | Maine          | Agent                               | Approved | 06/01/2006 |
| B | Michigan       | Agent                               | Approved | 11/30/1999 |
| B | New York       | Agent                               | Approved | 02/18/1988 |
| B | North Carolina | Agent                               | Approved | 03/25/2024 |
| B | Ohio           | Agent                               | Approved | 07/14/1994 |
| B | Wisconsin      | Agent                               | Approved | 10/09/1985 |




## Qualifications

### Branch Office Locations

**RAYMOND JAMES FINANCIAL SERVICES**  
801 MAIN STREET  
MUKWONAGO, WI 53149

### Employment 2 of 2

Firm Name: **RAYMOND JAMES FINANCIAL SERVICES ADVISORS, INC**  
Main Address: 880 CARILLON PARKWAY  
SAINT PETERSBURG, FL 33716  
Firm ID#: 149018

| Regulator  | Registration                      | Status   | Date       |
|--|-----------------------------------|----------|------------|
|  IA Wisconsin | Investment Adviser Representative | Approved | 10/23/2017 |

### Branch Office Locations

**RAYMOND JAMES FINANCIAL SERVICES ADVISORS, INC**  
801 MAIN STREET  
MUKWONAGO, WI 53149



## 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 3 principal/supervisory exams, 3 general industry/product exams, and 1 state securities law exam.**

#### Principal/Supervisory Exams

| Exam   | Category  | Date       |
|--|-----------|------------|
| General Securities Principal Examination (S24)   | Series 24 | 01/02/2023 |
| Municipal Securities Principal Examination (S53) | Series 53 | 01/02/2023 |
| Registered Principal Examination (S40)           | Series 40 | 07/12/1978 |

#### General Industry/Product Exams

| Exam  | Category    | Date       |
|---|-------------|------------|
| Municipal Securities Representative Examination (S52TO) | Series 52TO | 01/02/2023 |
| Securities Industry Essentials Examination (SIE)        | SIE         | 10/01/2018 |
| General Securities Representative Examination (S7)      | Series 7    | 06/18/1977 |

#### State Securities Law Exams

| Exam   | Category  | Date       |
|--|-----------|------------|
| Uniform Securities Agent State Law Examination (S63) | Series 63 | 12/18/1985 |

### PROFESSIONAL DESIGNATIONS

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

#### Certified Financial Planner

This representative holds or did hold **1** professional designation(s) that may have been used to qualify as an Investment Advisor representative. Please check with the appropriate designation authority for verification that the designation is still in effect. The contact information for these professional designation authorities can be found on the website for the North American Securities



Administrators Association at <http://www.nasaa.org>



### 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 | 04/08/2011 - 12/31/2019 | SCHREIBER INVESTMENT ADVISORY SERVICES | CRD# 109773 | MUKWONAGO, WI   |
| IA | 07/08/1998 - 12/31/2007 | BTS ASSET MANAGEMENT, INC.             | CRD# 105215 | HARTLAND, WI    |
| B  | 04/20/1981 - 09/30/1985 | CREATIVE ASSET MANAGEMENT, INC.        | CRD# 8510   |                 |
| B  | 07/01/1977 - 10/15/1983 | INVESTMENT MANAGEMENT & RESEARCH, INC  | CRD# 6694   |                 |

#### 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            |
|-------------------|--|---|--------------------|------------------------------|
| 10/2017 - Present | RAYMOND JAMES FINANCIAL SERVICES ADVISORS INC. | INVESTMENT ADVISER REP                      | Y                  | MUKWONAGO, WI, United States |
| 09/1985 - Present | RAYMOND JAMES FINANCIAL SERVICES, INC.         | FINANCIAL ADVISOR                           | Y                  | MUKWONAGO, WI, United States |
| 01/2010 - 01/2024 | John Schreiber Services Inc.                   | Independent Contractor, Officer - President | N                  | Mukwonago, WI, United States |
| 01/2011 - 01/2020 | SCHREIBER INVESTMENT ADVISORY SERVICES         | REGISTERED INVESTMENT ADVISOR REP           | Y                  | MUKWONAGO, WI, United States |
| 11/2010 - 12/2016 | SCHREIBER PROPERTIES MUKWONAGO, LLC            | PARTNER                                     | N                  | MUKWONAGO, 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.

- (1)Name of Business: John Schreiber Services Inc Address: 801 Main St, Mukwonago, WI, 53149, United States Activity Type: Support Company - Owner Position/Title: Independent Contractor Investment Related: No Start Date: 04/07/2014 Hours per month devoted to this business: 41-80 Hours per month devoted to this business during trading hours: 21-40 Description of duties: Independent Contractor
- (2)Name of Business: Schreiber Financial Services Address: 801 Main St, Mukwonago, WI, 53149-1537, United States Activity Type: Support Company - Non-Owner Position/Title: Independent Contractor Investment Related: No Start Date: 01/01/2024 Hours per month devoted to this business: 41-80 Hours per month devoted to this business during trading hours: 21-40 Description of duties: Financial Planner



## 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     |
| Customer Dispute | 3     |
| Judgment/Lien    | 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:** WISCONSIN

**Sanction(s) Sought:**

**Other Sanction(s) Sought:**

**Date Initiated:** 11/29/1979

**Docket/Case Number:** X-1367(L)

**Employing firm when activity occurred which led to the regulatory action:**

**Product Type:**

**Other Product Type(s):**

**Allegations:**

**Current Status:** Final

**Resolution:** Consent

**Resolution Date:** 12/24/1979

**Sanctions Ordered:** Suspension

**Other Sanctions Ordered:**

**Sanction Details:**



**Regulator Statement** 11-29-79 STATE OF WI: FILE NO. X-1367 (L) CONSENT ORDER IMPOSING SANCTIONS. SCHREIBER'S SECURITIES LICENSE WAS SUSPENDED FOR 5 DAYS COMMENCING 12/24/79 THROUGH 12/31/79 SCHREIBER OFFERED AND SOLD SECURITIES FOR RICHARDS OIL COMPANY PRODUCTION INCOME PARTNERSHIP, WHILE SUCH SECURITIES WERE NOT REGISTERED IN THE STATE OF WISCONSIN.

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**Reporting Source:** Individual

**Regulatory Action Initiated By:** WISCONSIN

**Sanction(s) Sought:** Suspension

**Other Sanction(s) Sought:**

**Date Initiated:** 11/29/1979

**Docket/Case Number:** X-1367(L)

**Employing firm when activity occurred which led to the regulatory action:** INVESTMENT MANAGEMENT & RESEARCH

**Product Type:** Other

**Other Product Type(s):** LIMITED PARTNERSHIPS

**Allegations:** IN DEEMBER 1979, IT WAS ALLEDGED THAT MR. SCHREIBER SOLD TO SEVERAL INVESTORS PARTNERHIP INTERESTS IN OIL INCOME PARTNERSHIPS WHICH WERE NOT PROPERLY REGISTERED. IN ADDITION, MR SCHREIBER SOLD \$48,700 WORTH OF WORLD BANK BONDS THROUGH A SWISS BANK WHICH WERE ALSO ALLEDGED TO BE IMPROPERLY REGISTERED.

**Current Status:** Final

**Resolution:** Consent

**Resolution Date:** 12/24/1979

**Sanctions Ordered:** Suspension

**Other Sanctions Ordered:**

**Sanction Details:** SUSPENSION FOR 5 DAYS FROM DECEMBER24 THROUGH DECEMBER 31ST, 1979. STATE OF WISCONSIN SECURITIES LICENSE

**Broker Statement** A 30 DAY SUSPENSION BY WI IN 1980.

MR. SCHREIBER HAS BEEN EMPLOYED AS A BROKER FOR 3-6 MONTHS WHEN THE ALLEGED SALE OF IMPROPERLY REGISTERED SECURITIES WAS MADE. HIS SUPERVISOR ASSURED HIM THEY WERE PROPERLY REGISTERED. NO CLIENT COMPLAINT WAS EVER FILED RELATIVE TO THOSE INVESTMENTS.



## 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

**Reporting Source:** Individual

**Employing firm when activities occurred which led to the complaint:** RAYMOND JAMES FINANCIAL SERVICES, INC

**Allegations:** CLAIMANT ALLEGED MISREPRESENTATION, BREACH OF FIDUCIARY DUTY, SUITABILITY.

**Product Type:** Mutual Fund(s)

**Alleged Damages:** \$35,000.00

## Customer Complaint Information

**Date Complaint Received:** 04/11/2001

**Complaint Pending?** No

**Status:** Arbitration/Reparation

**Status Date:** 04/11/2001

**Settlement Amount:**

**Individual Contribution Amount:**

## Arbitration Information

**Arbitration/Reparation Claim filed with and Docket/Case No.:** [NASD # 01-01632](#)

**Date Notice/Process Served:** 04/11/2001

**Arbitration Pending?** No

**Disposition:** Award to Applicant

**Disposition Date:** 03/04/2002

**Monetary Compensation Amount:** \$4,500.00

**Individual Contribution Amount:** \$4,500.00

**Broker Statement** CLAIMANTS WERE AWARDED \$4500.00 BY THE SOLE ARBITRATOR.

### Disclosure 2 of 3

**Reporting Source:** Individual

**Employing firm when activities occurred which led to the complaint:** RAYMOND JAMES FINANCIAL SERVICES, INC.



**Allegations:** CLIENT'S ALLEGE THEIR BROKER MISREPRESENTED FEES AND COMMISSIONS BEING CHARGED AND MISLEAD THEM ABOUT THE FEES AND COMMISSIONS OF "TIMING PROGRAM."

**Product Type:** Mutual Fund(s)

**Alleged Damages:** \$0.00

### Customer Complaint Information

**Date Complaint Received:** 04/11/2000

**Complaint Pending?** No

**Status:** Settled

**Status Date:** 08/01/2000

**Settlement Amount:** \$15,000.00

**Individual Contribution Amount:** \$15,000.00

**Broker Statement** ALL CLAIMS WERE REALEASE IN EXCHANGE FOR \$15,000.00 SETTLEMENT.

### Disclosure 3 of 3

**Reporting Source:** Individual

**Employing firm when activities occurred which led to the complaint:** CREATIVE ASSET MANAGEMENT, INC

**Allegations:** FIRST CLAIM-COMMON LAW FRAUD  
SECOND CLAIM- BREACH OF FIDUCIARY DUTY  
THIRD CLAIM- STRICT RESPONSIBILITY  
FOURTH CLAIM- NEGLIENT MISREPRESENTATION  
FIFTH CLAIM- VIOLATION OF RICO  
SIXTH CLAIM- CHURNING

**Product Type:** Other

**Other Product Type(s):** LIMITED PARTNERSHIPS

**Alleged Damages:** \$392,876.00

### Customer Complaint Information

**Date Complaint Received:** 06/04/1990

**Complaint Pending?** No

**Status:** Litigation

**Status Date:** 07/15/1991

**Settlement Amount:**

**Individual Contribution Amount:**

### Civil Litigation Information

**Court Details:** 9CCV007425

**Date Notice/Process Served:** 06/04/1990

**Litigation Pending?** No

**Disposition:** Settled



|  |  |
|--|--|
| <b>Disposition Date:</b>               | 07/25/1991   |
| <b>Monetary Compensation Amount:</b>   | \$26,500.00  |
| <b>Individual Contribution Amount:</b> | \$26,500.00  |
| <b>Broker Statement</b>                | AGREED TO PAY PLAINTIFF \$26,500- WHICH WAS DETERMINED TO BE APPROXIMATE AMOUNT IT WOULD COST TO GET CASE UP TO TRIAL.<br>NOT PROVIDED |



## Judgment/Lien

This disclosure event involves an unsatisfied and outstanding judgment or lien against the Investment Adviser Representative.

### Disclosure 1 of 1

|                                   |  |
|-----------------------------------|--|
| <b>Reporting Source:</b>          | Individual                                   |
| <b>Judgment/Lien Holder:</b>      | Bank of America                              |
| <b>Judgment/Lien Amount:</b>      | \$32,996.03                                  |
| <b>Judgment/Lien Type:</b>        | Civil  |
| <b>Date Filed with Court:</b>     | 06/15/2022                                   |
| <b>Date Individual Learned:</b>   | 06/20/2022                                   |
| <b>Type of Court:</b>             | State Court                                  |
| <b>Name of Court:</b>             | State of Wisconsin Circuit Court Dane County |
| <b>Location of Court:</b>         | State of Wisconsin Circuit Court Dane County |
| <b>Docket/Case #:</b>             | 21-CV-2949                                   |
| <b>Judgment/Lien Outstanding?</b> | Yes  |



## End of Report

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