



## IAPD Report

### ROGER ANTONY SEXTER

CRD# 859088

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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

### ROGER ANTONY SEXTER (CRD# 859088)

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 **12/16/2025**.

### CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
IA	USADVISORS WEALTH MANAGEMENT, LLC	CRD# 158108	01/31/2014
B	OSAIC WEALTH, INC.	CRD# 23131	06/14/2024

### QUALIFICATIONS

This representative is currently registered in **1** 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
B	SECURITIES AMERICA, INC.	10205	Edina, MN	02/09/2010 - 06/14/2024
B	FINANCIAL NETWORK INVESTMENT CORPORATION	13572	ST. LOUIS PARK, MN	01/02/1991 - 02/16/2010
B	FIRST PACIFIC CAPITAL CORPORATION	21042	ST. LOUIS PARK, MN	11/29/1989 - 12/31/1990

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	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 1 SRO(s) through his or her employer(s).

#### Employment 1 of 2

Firm Name: **OSAIC WEALTH, INC.**  
Main Address: 18700 N. HAYDEN ROAD  
SUITE 255  
SCOTTSDALE, AZ 85255  
Firm ID#: 23131

Regulator	Registration	Status	Date
 FINRA	General Securities Representative	Approved	06/14/2024
 Minnesota	Agent	Approved	06/14/2024

#### Branch Office Locations

**OSAIC WEALTH, INC.**  
Edina, MN

#### Employment 2 of 2

Firm Name: **USADVISORS WEALTH MANAGEMENT, LLC**  
Main Address: 15750 VENTURE LANE  
EDEN PRAIRIE, MN 55344  
Firm ID#: 158108

Regulator	Registration	Status	Date
 Minnesota	Investment Adviser Representative	Approved	01/31/2014

#### Branch Office Locations

**USADVISORS WEALTH MANAGEMENT, LLC**  
EDINA, MN



## 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, 3 general industry/product exams, and 0 state securities law exams.**

#### Principal/Supervisory Exams

Exam	Category	Date
No information reported.		

#### General Industry/Product Exams

Exam	Category	Date
B Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
B General Securities Representative Examination (S7)	Series 7	12/17/1983
B Registered Representative Examination (S1)	Series 1	10/26/1978

#### State Securities Law Exams

Exam	Category	Date
No information reported.		

### 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>B</b>	02/09/2010 - 06/14/2024	SECURITIES AMERICA, INC.	CRD# 10205	Edina, MN
<b>B</b>	01/02/1991 - 02/16/2010	FINANCIAL NETWORK INVESTMENT CORPORATION	CRD# 13572	ST. LOUIS PARK, MN
<b>B</b>	11/29/1989 - 12/31/1990	FIRST PACIFIC CAPITAL CORPORATION	CRD# 21042	
<b>B</b>	09/06/1983 - 12/06/1989	CREATIVE EQUITY RESOURCES, INC.	CRD# 8190	MINNEAPOLIS, MN
<b>B</b>	11/02/1978 - 09/09/1983	WADDELL & REED, INC.	CRD# 866	

### 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
06/2024 - Present	OSAIC WEALTH, INC.	Mass Transfer	Y	Edina, MN, United States
08/2011 - Present	USADVISORS WEALTH MANAGEMENT LLC	INVESTMENT ADVISOR REPRESENTATIVE	Y	EDINA, MN, United States
02/2010 - 06/2024	SECURITIES AMERICA INC.	REGISTERED REPRESENTATIVE	Y	Edina, MN, 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. ROGER SEXTER, INSURANCE AGENT

POSITION: agent NATURE: Independent insurance agent. INSURANCE SALES - AGENT - START DATE: 01/1974 - LOCATED AT 6509 GLEASON CT, EDINA, MN 55436. - 2% TIME SPENT INVESTMENT RELATED: No NUMBER OF HOURS: 1  
SECURITIES TRADING HOURS: 1 START DATE: 01/01/1974

ADDRESS: 6509 Gleason Ct, Edina MN 55436, United States

DESCRIPTION: sell insurance

#### 2. ROGER SEXTER, ANTIQUE DEALER

POSITION: owner NATURE: ANTIQUE SALES -OWNER -5% TIME SPENT INVESTMENT RELATED: No NUMBER OF HOURS: 10  
SECURITIES TRADING HOURS: 0 START DATE: 01/01/2000  
ADDRESS: 6509 Gleason Ct, EDINA MN 55436-1850, United States



## Registration & Employment History

### OTHER BUSINESS ACTIVITIES

DESCRIPTION: buy and sell antiques

3. ROGER SEXTER, RIA

POSITION: RIA NATURE: USADVISORS WEALTH MANAGEMENT LLC.. REGISTERED INVESTMENT ADVISOR  
INVESTMENT RELATED: Yes NUMBER OF HOURS: 33 SECURITIES TRADING HOURS: 32 START DATE: 01/01/2015  
ADDRESS: 6509 Gleason Ct, Edina MN 55436, United States  
DESCRIPTION: perform as a Registered Investment Advisor

4. NOTARY PUBLIC

POSITION: be the notary public NATURE: Act as a notary public. INVESTMENT RELATED: No NUMBER OF HOURS: 1  
SECURITIES TRADING HOURS: 1 START DATE: 03/06/2023  
ADDRESS: 6509 Gleason Ct, EDINA MN 55436-1850, United States  
DESCRIPTION: act as a notary public



## 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	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:** 07/02/1992

**Docket/Case Number:** C04920034

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

**Product Type:**

**Other Product Type(s):**

**Allegations:**

**Current Status:** Final

**Resolution:** Decision

**Resolution Date:** 02/28/1994

**Sanctions Ordered:** Censure  
Monetary/Fine \$2,000.00  
Suspension

**Other Sanctions Ordered:**

**Sanction Details:**

**Regulator Statement**

COMPLAINT NO. C04920034 FILED JULY 2, 1992 BY DISTRICT NO. 4 AGAINST ROGER ANTONY SEXTER ALLEGING VIOLATIONS OF ARTICLE III, SECTION 1 OF THE RULES OF FAIR PRACTICE IN THAT RESPONDENT SEXTER FAILED TO TIMELY HONOR A \$25,000 ARBITRATION AWARD PLUS \$13,000 IN INTEREST AND \$7,500 IN ATTORNEYS' FEES.

DECISION RENDERED SEPTEMBER 7, 1993, WHEREIN RESPONDENT SEXTER IS CENSURED, FINED \$2,000 AND SUSPENDED FROM ASSOCIATION WITH ANY NASD MEMBER IN ANY CAPACITY FOR 3 BUSINESS DAYS. IF NO FURTHER ACTION, DECISION IS FINAL OCTOBER 22, 1993.

SEPTEMBER 22, 1993 - APPEALED TO THE NBCC.

NBCC DECISION RENDERED JANUARY 28, 1994, WHEREIN THE FINDINGS MADE AND THE SANCTIONS IMPOSED ARE AFFIRMED. IF NO FURTHER ACTION, DECISION IS FINAL FEBRUARY 28, 1994.

PRESS RELEASE APRIL 1994: THE SUSPENSION WILL COMMENCE WITH THE OPENING OF BUSINESS APRIL 18, 1994 AND WILL CONCLUDE AT THE CLOSE OF BUSINESS APRIL 20, 1994.

\*\*\$2,000.00 PAID ON 3/17/94, INVOICE #94-04-95\*\*

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**Reporting Source:** Individual

**Regulatory Action Initiated By:** DISTRICT BUSINESS CONDUCT COMMITTEE FOR DISTRICT NO. 4

**Sanction(s) Sought:**

**Other Sanction(s) Sought:**

**Date Initiated:** 07/02/1992

**Docket/Case Number:** C04920034

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

**Product Type:**

**Other Product Type(s):**

**Allegations:** RESPONDENT SEXTER NEITHER PAID AWARD NOR MADE A TIMELY MOTION TO VACATE OR MODIFY THE AWARD PURSUANT TO APPLICABLE LAW. THE RESPONDENT'S FAILURE TO PAY CONTRAVENES THE RESOLUTION OF THE BOARD OF GOVERNORS AND VIOLATES ARTICLE III SECTION 1 OF THE ASSOCIATION'S RULES OF FAIR PRACTICES.

**Current Status:** Final

**Resolution:** Decision

**Resolution Date:** 02/28/1994

**Sanctions Ordered:** Censure  
Monetary/Fine \$2,000.00  
Suspension

**Other Sanctions Ordered:****Sanction Details:**

THE SANCTIONS IMPOSED BY DBCC WERE COMPLETELY SATISFIED. THE SANCTIONS WERE A CENSURE, A \$2000 FINE AND A THREE DAY SUSPENSION FROM ASSOCIATING WITH ANY NASD MEMBER FIRM IN ANY CAPACITY.

**Broker Statement**

A SUBSTANTIAL ARBITRATION AWARD WAS RENDERED AGAINST SEXTER IN APRIL 1992. SEXTER'S NET WORTH WAS NEGATIVE. THE DBCC COMPLAINT WAS FILED IN JULY 1992. SEXTER WAS ADVISED TO DECLARE BANKRUPTCY TO PROVIDE EVIDENCE THAT HE WAS UNABLE TO PAY AND PROBABLY DISMISS THE AWARD AND COMPLAINT. INSTEAD, SEXTER VOLUNTARILY MADE MONTHLY PAYMENTS. IN MARCH 1993 SEXTER MADE A LUMP SUM PAYMENT FROM EARNINGS TO SATISFY THE ENTIRE AWARD.



## 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:** Regulator  
**Employing firm when activities occurred which led to the complaint:** CREATIVE EQUITY RESOURCE, INC.  
**Allegations:** SUITABILITY; MISREPRESENTATION; BRCH OF FIDUCIARY DT; OMISSION OF FACTS; COMMON LAW FRAUD

**Product Type:**

**Alleged Damages:** \$75,000.00

### Arbitration Information

**Arbitration/Reparation Claim filed with and Docket/Case No.:** [UNKNOWN - CASE #91-02586](#)  
**Date Notice/Process Served:** 09/06/1991  
**Arbitration Pending?** No  
**Disposition:** Other  
**Disposition Date:** 04/02/1992  
**Disposition Detail:** AWARD AGAINST PARTY  
\*\*\*SEXTER IS JOINTLY AND SEVERALLY LIABLE  
FOR \$25,000.00 IN COMPENSATORY DAMAGES, PLUS \$13,000.00 IN  
INTEREST, AND JOINTLY AND SEVERALLY LIABLE FOR \$7,500.00 IN  
ATTORNEYS FEES\*\*\*

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**Reporting Source:** Individual  
**Employing firm when activities occurred which led to the complaint:** CREATIVE EQUITY RESOURCE, INC.  
**Allegations:** COMMON LAW BREACH OF FIDUCIARY DUTY; BREACH  
OF FIDUCIARY DUTY FOUND IN MN STATUTE SECTION 45-026; VIOLATION  
OF FEDERAL SECURITIES FRAUD SECTION 10(B) AND RULE  
10B-5; MINNESOTA RULE 2875-0910; VIOLATION OF SECTION 20(A) OF  
THE SECURITIES AND EXCHANGE ACT OF 1934; VIOL. OF MN STATUTE  
SEC. 80-A-01 & 80A-03; AND COMMON LAW FRAUD.

**Product Type:**

**Alleged Damages:** \$75,000.00

### Customer Complaint Information

**Date Complaint Received:**

**Complaint Pending?** No



**Status:** Arbitration/Reparation

**Status Date:** 04/02/1992

**Settlement Amount:**

**Individual Contribution**

**Amount:**

### Arbitration Information

**Arbitration/Reparation Claim filed with and Docket/Case No.:** [NASD: 91-02586](#)

**Date Notice/Process Served:** 09/06/1991

**Arbitration Pending?** No

**Disposition:** Award to Customer

**Disposition Date:** 04/02/1992

**Monetary Compensation Amount:** \$45,500.00

**Individual Contribution Amount:**

**Broker Statement**

RESPONDENT CREATIVE EQUITY RESOURCES, INC. AND ROGER A. SEXTER ARE JOINT & SEVERALLY LIABLE FOR \$25000 PLUS PREJUDGEMENT INTEREST OF 13000; CLAIMANTS CLAIM FOR PUNITIVE DAMAGES ON THE MERITS DENIED AND DISMISSED WITH PREJUDICE-CLAIMANT SHALL BE AWARDED ATTORNEY'S FEES IN THE AMOUNT OF 7500.

THE CUSTOMER CAME TO MR. SEXTER IN 1985 SEEKING TAX RELIEF. MR. SEXTER RECOMMENDED A MODEST PERCENT OF HIS PORTFOLIO BE PLACED IN PUBLIC REAL ESTATE LIMITED PARTNERSHIPS AND LIQUID REAL ESTATE INV. TRUSTS. IN 1987 HIS GOAL WAS HIGH AFTER-TAX INCOME. MR. SEXTER RECOMMENDED A PRIVATE PLACEMENT MORTGAGE NOTE. THE INVESTMENTS DID NOT PERFORM AS EXPECTED THE INVESTMENTS MET THE CLIENTS INVESTMENT OBJECTIVES. THE CLIENT MET THE SUITABILITY REQUIREMENTS.



## End of Report

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