

BrokerCheck Report

JASON WILLIAM ROESKE

CRD# 2216669

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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.

About BrokerCheck®



BrokerCheck offers information on all current, and many former, registered securities brokers, and all current and former registered securities firms. FINRA strongly encourages investors to use BrokerCheck to check the background of securities brokers and brokerage firms before deciding to conduct, or continue to conduct, business with them.

- **What is included in a BrokerCheck report?**

BrokerCheck reports for individual brokers include information such as employment history, professional qualifications, disciplinary actions, criminal convictions, civil judgments and arbitration awards. BrokerCheck reports for brokerage firms include information on a firm's profile, history, and operations, as well as many of the same disclosure events mentioned above.

- Please note that the information contained in a BrokerCheck 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 broker or brokerage firm, or concluded through a negotiated settlement with no admission or finding of wrongdoing.

- **Where did this information come from?**

- The information contained in BrokerCheck comes from FINRA's Central Registration Depository, or CRD® and is a combination of:

- information FINRA and/or the Securities and Exchange Commission (SEC) require brokers and brokerage firms to submit as part of the registration and licensing process, and
- information that regulators report regarding disciplinary actions or allegations against firms or brokers.

- **How current is this information?**

- Generally, active brokerage firms and brokers are required to update their professional and disciplinary information in CRD within 30 days. Under most circumstances, information reported by brokerage firms, brokers and regulators is available in BrokerCheck the next business day.

- **What if I want to check the background of an investment adviser firm or investment adviser representative?**

- To check the background of an investment adviser firm or representative, you can search for the firm or individual in BrokerCheck. If your search is successful, click on the link provided to view the available licensing and registration information in the SEC's Investment Adviser Public Disclosure (IAPD) website at <https://www.adviserinfo.sec.gov>. In the alternative, you may search the IAPD website directly or contact your state securities regulator at <http://www.finra.org/Investors/ToolsCalculators/BrokerCheck/P455414>.

- **Are there other resources I can use to check the background of investment professionals?**

- FINRA recommends that you learn as much as possible about an investment professional before deciding to work with them. Your state securities regulator can help you research brokers and investment adviser representatives doing business in your state.

Thank you for using FINRA BrokerCheck.



Using this site/information means that you accept the FINRA BrokerCheck Terms and Conditions. A complete list of Terms and Conditions can be found at brokercheck.finra.org



For additional information about the contents of this report, please refer to the User Guidance or www.finra.org/brokercheck. It provides a glossary of terms and a list of frequently asked questions, as well as additional resources. For more information about FINRA, visit www.finra.org.

JASON W. ROESKE

CRD# 2216669

Currently employed by and registered with the following Firm(s):

IA SPEECE THORSON CAPITAL GROUP INC

601 CARLSON PARKWAY
SUITE 850
MINNETONKA, MN 55305
CRD# 106052

Registered with this firm since: 11/12/2023

IA OAKWOOD CAPITAL, INC.

600 HIGHWAY 169 SOUTH
SUITE 1410
ST. LOUIS PARK, MN 55426
CRD# 112399

Registered with this firm since: 04/07/2022

B OAKWOOD CAPITAL SECURITIES, INC.

600 HIGHWAY 169 SOUTH
SUITE 1410
ST. LOUIS PARK, MN 55426
CRD# 21000

Registered with this firm since: 04/07/2022

Report Summary for this Broker



This report summary provides an overview of the broker's professional background and conduct. Additional information can be found in the detailed report.

Broker Qualifications

This broker is registered with:

- 1 Self-Regulatory Organization
- 2 U.S. states and territories

This broker has passed:

- 5 Principal/Supervisory Exams
- 7 General Industry/Product Exams
- 3 State Securities Law Exams

Disclosure Events

All individuals registered to sell securities or provide investment advice are required to disclose customer complaints and arbitrations, regulatory actions, employment terminations, bankruptcy filings, and criminal or civil judicial proceedings.

Are there events disclosed about this broker? **No**

Registration History

This broker was previously registered with the following securities firm(s):

IA EHLLERS

CRD# 146385
MINNEAPOLIS, MN
02/2022 - 05/2022

B LAKE STREET CAPITAL MARKETS, LLC

CRD# 164447
MINNEAPOLIS, MN
06/2021 - 02/2022

B LOCORR DISTRIBUTORS, LLC

CRD# 41782
EXCELSIOR, MN
09/2016 - 10/2019

Broker Qualifications



Registrations

This section provides the self-regulatory organizations (SROs) and U.S. states/territories the broker is currently registered and licensed with, the category of each license, and the date on which it became effective. This section also provides, for every brokerage firm with which the broker is currently employed, the address of each branch where the broker works.

This individual is currently registered with 1 SRO and is licensed in 2 U.S. states and territories through his or her employer.

Employment 1 of 3

Firm Name: **OAKWOOD CAPITAL SECURITIES, INC.**

Main Office Address: **600 HIGHWAY 169 SOUTH
SUITE 1410
ST. LOUIS PARK, MN 55426**

Firm CRD#: **21000**

SRO	Category	Status	Date
 FINRA	Compliance Officer	Approved	04/07/2022
 FINRA	General Securities Principal	Approved	04/07/2022
 FINRA	General Securities Representative	Approved	04/07/2022
 FINRA	Investment Banking Representative	Approved	04/07/2022
 FINRA	Municipal Securities Principal	Approved	04/07/2022
 FINRA	Municipal Securities Representative	Approved	04/07/2022
 FINRA	Registered Options Principal	Approved	04/07/2022

U.S. State/ Territory	Category	Status	Date
 Florida	Agent	Approved	04/07/2022
 Minnesota	Agent	Approved	04/07/2022

Branch Office Locations

OAKWOOD CAPITAL SECURITIES, INC.

**600 HIGHWAY 169 SOUTH
SUITE 1410**

Broker Qualifications



Employment 1 of 3, continued

ST. LOUIS PARK, MN 55426

Employment 2 of 3

Firm Name: **OAKWOOD CAPITAL, INC.**
Main Office Address: **600 HIGHWAY 169 SOUTH
SUITE 1410
ST. LOUIS PARK, MN 55426**
Firm CRD#: **112399**

U.S. State/ Territory	Category	Status	Date
IA Minnesota	Investment Adviser Representative	Approved	04/07/2022

Branch Office Locations

600 HIGHWAY 169 SOUTH
SUITE 1410
ST. LOUIS PARK, MN 55426

Employment 3 of 3

Firm Name: **SPEECE THORSON CAPITAL GROUP INC**
Main Office Address: **601 CARLSON PARKWAY
SUITE 850
MINNETONKA, MN 55305-5231**
Firm CRD#: **106052**

U.S. State/ Territory	Category	Status	Date
IA Minnesota	Investment Adviser Representative	Approved	11/12/2023

Branch Office Locations

Broker Qualifications



Employment 3 of 3, continued

601 CARLSON PARKWAY
SUITE 850
MINNETONKA, MN 55305-5231

Broker Qualifications



Industry Exams this Broker has Passed

This section includes all securities industry exams that the broker has passed. Under limited circumstances, a broker may attain a registration after receiving an exam waiver based on exams the broker has passed and/or qualifying work experience. Any exam waivers that the broker has received are not included below. A passed exam or exam waiver does not permit a broker to do business without an active SRO or state registration.

This individual has passed 5 principal/supervisory exams, 7 general industry/product exams, and 3 state securities law exams.

Principal/Supervisory Exams

Exam	Category	Date
B Compliance Officer Examination	Series 14	01/02/2023
B Municipal Advisor Principal Qualification Examination	Series 54	12/30/2020
B Municipal Securities Principal Examination	Series 53	08/08/2008
B Registered Options Principal Examination	Series 4	06/22/1995
B General Securities Principal Examination	Series 24	04/24/1995

General Industry/Product Exams

Exam	Category	Date
B Investment Banking Registered Representative Examination	Series 79TO	01/02/2023
B Municipal Securities Representative Examination	Series 52TO	01/02/2023
B Municipal Advisor Representative Qualification Exam	Series 50	09/22/2020
B Securities Industry Essentials Examination	SIE	10/01/2018
B Futures Managed Funds Examination	Series 31	12/10/2010
B Limited Representative-Equity Trader Exam	Series 55	11/05/2001
B General Securities Representative Examination	Series 7	03/24/1992

State Securities Law Exams

Exam	Category	Date
B IA Uniform Combined State Law Examination	Series 66	06/15/2012

Broker Qualifications



Industry Exams this Broker has Passed, continued

State Securities Law Exams Continued

Exam	Category	Date
IA Uniform Investment Adviser Law Examination	Series 65	08/02/1996
B Uniform Securities Agent State Law Examination	Series 63	04/02/1992

Additional information about the above exams or other exams FINRA administers to brokers and other securities professionals can be found at www.finra.org/brokerqualifications/registeredrep/.

Broker Qualifications



Professional Designations

This section details that the representative has reported **0** professional designation(s).

No information reported.

Registration and Employment History



Registration History

The broker previously was registered with the following firms:

Registration Dates	Firm Name	CRD#	Branch Location
IA 02/2022 - 05/2022	EHLERS	146385	ROSEVILLE, MN
B 06/2021 - 02/2022	LAKE STREET CAPITAL MARKETS, LLC	164447	MINNEAPOLIS, MN
B 09/2016 - 10/2019	LOCORR DISTRIBUTORS, LLC	41782	EXCELSIOR, MN
B 05/2014 - 09/2016	WELSH SECURITIES LLC	148203	MINNETONKA, MN
IA 06/2012 - 02/2013	AMERIPRISE FINANCIAL SERVICES, INC.	6363	MINNEAPOLIS, MN
B 10/1996 - 02/2013	AMERIPRISE FINANCIAL SERVICES, INC.	6363	MINNEAPOLIS, MN
B 10/2007 - 08/2010	AMERICAN ENTERPRISE INVESTMENT SERVICES INC.	26506	MINNEAPOLIS, MN
B 10/1996 - 07/2006	IDS LIFE INSURANCE COMPANY	6321	MINNEAPOLIS, MN
B 03/1994 - 09/1996	FBS INVESTMENT SERVICES, INC.	17868	SAINT PAUL, MN
B 03/1992 - 06/1992	HAYNE, MILLER FINANCIAL, INC.	13849	MINNEAPOLIS, MN

Employment History

This section provides up to 10 years of an individual broker's employment history as reported by the individual broker on the most recently filed Form U4.

Please note that the broker is required to provide this information only while registered with FINRA or a national securities exchange and the information is not updated via Form U4 after the broker ceases to be registered. Therefore, an employment end date of "Present" may not reflect the broker's current employment status.

Employment	Employer Name	Position	Investment Related	Employer Location
07/2023 - Present	ENCORE GROUP	CONSULTANT	N	CROSBY, MN, United States
05/2022 - Present	OAKWOOD CAPITAL SECURITIES, INC	COMPLIANCE CONSULTANT	Y	MINNEAPOLIS, MN, United States
02/2022 - Present	OAKWOOD CAPITAL, INC	COMPLIANCE CONSULTANT	Y	MINNEAPOLIS, MN, United States
02/2022 - 06/2023	self employed	CONSULTANT	N	CROSBY, MN, United States

Registration and Employment History



Employment History, continued

Employment	Employer Name	Position	Investment Related	Employer Location
07/2020 - 05/2022	EHLERS	CCO	Y	ROSEVILLE, MN, United States
05/2021 - 02/2022	Lake Street Capital Markets	Compliance	Y	Minneapolis, MN, United States
10/2019 - 06/2020	self employed	CONSULTANT	N	PLYMOUTH, MN, United States
09/2016 - 10/2019	LoCorr Distributors, LLC	Registered Rep	Y	Excelsior, MN, United States
02/2013 - 07/2018	PREDICTIVE MAINTENANCE NDT	ACCOUNTING	N	WEST PALM BEACH, FL, United States
05/2014 - 09/2016	WELSH SECURITIES LLC	CCO	Y	MINNETONKA, MN, United States

Other Business Activities

This section includes information, if any, as provided by the broker regarding other business activities the broker 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.

Encore Group; Compliance Consultant; Non-investment related at 36369 Dolney Lake Rd, Crosby, MN 56441 since 07/2023; Provide compliance and regulatory support as employee of Encore Group to FINRA member firms, registered investment advisers, and municipal advisers. 20-25 hours per week primarily during trading hours.

End of Report



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