

BrokerCheck Report

JOSHUA DEAN ROGERS

CRD# 3163818

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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.

JOSHUA D. ROGERS

CRD# 3163818

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

IA ARETE WEALTH ADVISORS, LLC
 1115 W FULTON MARKET
 3RD FLOOR
 CHICAGO, IL 60607
 CRD# 145488
 Registered with this firm since: 11/26/2007

B ARETE WEALTH MANAGEMENT, LLC
 1115 W Fulton Market
 3rd Floor
 Chicago, IL 60607
 CRD# 44856
 Registered with this firm since: 08/17/2007

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
- 21 U.S. states and territories

This individual is currently inactive or suspended with at least one regulator.

This broker has passed:

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

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

- B CENTER STREET SECURITIES, INC.**
 CRD# 26898
 NASHVILLE, TN
 01/2023 - 11/2023
- IA AMERIPRISE FINANCIAL SERVICES, INC.**
 CRD# 6363
 MINNEAPOLIS, MN
 01/2000 - 06/2007
- B AMERIPRISE FINANCIAL SERVICES, INC.**
 CRD# 6363
 CHICAGO, IL
 10/1999 - 06/2007

**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**



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 21 U.S. states and territories through his or her employer.

The individual has 6 inactive or suspended registrations.

[For an explanation on inactive and suspended registrations, click here.](#)

Employment 1 of 2

Firm Name: **ARETE WEALTH ADVISORS, LLC**

Main Office Address: **1115 W FULTON MARKET
3RD FLOOR
CHICAGO, IL 60607**

Firm CRD#: **145488**

	U.S. State/ Territory	Category	Status	Date
IA	District of Columbia	Investment Adviser Representative	Approved - Pending IAR CE	03/04/2008
IA	Florida	Investment Adviser Representative	Approved - Pending IAR CE	02/21/2012
IA	Illinois	Investment Adviser Representative	Approved - Pending IAR CE	11/26/2007
IA	Indiana	Investment Adviser Representative	Approved	08/06/2013
IA	Maryland	Investment Adviser Representative	Approved - Pending IAR CE	06/05/2012
IA	North Carolina	Investment Adviser Representative	Approved	06/26/2013

Branch Office Locations

1115 W FULTON MARKET
3RD FLOOR
CHICAGO, IL 60607

Employment 2 of 2

Firm Name: **ARETE WEALTH MANAGEMENT, LLC**



Broker Qualifications

Employment 2 of 2, continued

Main Office Address: **1115 W FULTON MARKET
3RD FLOOR
CHICAGO, IL 60607**

Firm CRD#: **44856**

SRO	Category	Status	Date
B FINRA	General Securities Principal	Inactive - Continuing Education	01/01/2026
B FINRA	General Securities Representative	Inactive - Continuing Education	01/01/2026
B FINRA	Investment Banking Principal	Inactive - Continuing Education	01/01/2026
B FINRA	Investment Banking Representative	Inactive - Continuing Education	01/01/2026
B FINRA	Municipal Securities Principal	Inactive - Continuing Education	01/01/2026
B FINRA	Registered Options Principal	Inactive - Continuing Education	01/01/2026

U.S. State/ Territory	Category	Status	Date
B Arizona	Agent	Approved	11/30/2011
B California	Agent	Approved	08/17/2007
B District of Columbia	Agent	Approved	12/13/2007
B Florida	Agent	Approved	08/30/2010
B Hawaii	Agent	Approved	09/29/2015
B Illinois	Agent	Approved	08/17/2007
B Indiana	Agent	Approved	08/06/2013
B Kansas	Agent	Approved	08/17/2010
B Maryland	Agent	Approved	06/05/2012
B Missouri	Agent	Approved	06/03/2016
B Nevada	Agent	Approved	04/09/2010



Broker Qualifications

Employment 2 of 2, continued

	U.S. State/ Territory	Category	Status	Date
B	New Hampshire	Agent	Approved	05/10/2012
B	New Mexico	Agent	Approved	02/01/2012
B	New York	Agent	Approved	01/14/2010
B	North Carolina	Agent	Approved	01/25/2012
B	North Dakota	Agent	Approved	09/01/2017
B	Oregon	Agent	Approved	09/11/2017
B	Pennsylvania	Agent	Approved	06/16/2015
B	South Dakota	Agent	Approved	02/08/2016
B	Texas	Agent	Approved	04/26/2010
B	Wisconsin	Agent	Approved	06/03/2016

Branch Office Locations

ARETE WEALTH MANAGEMENT, LLC

1115 W Fulton Market
3rd Floor
Chicago, IL 60607



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 3 principal/supervisory exams, 5 general industry/product exams, and 2 state securities law exams.

Principal/Supervisory Exams

Exam	Category	Date
B Registered Options Principal Examination	Series 4	06/07/2006
B Municipal Securities Principal Examination	Series 53	08/18/2004
B General Securities Principal Examination	Series 24	02/12/2004

General Industry/Product Exams

Exam	Category	Date
B Municipal Securities Representative Examination	Series 52TO	01/31/2023
B Investment Banking Registered Representative Examination	Series 79TO	01/02/2023
B Securities Industry Essentials Examination	SIE	10/01/2018
B Futures Managed Funds Examination	Series 31	11/23/2011
B General Securities Representative Examination	Series 7	01/11/1999

State Securities Law Exams

Exam	Category	Date
IA Uniform Investment Adviser Law Examination	Series 65	12/10/1999
B Uniform Securities Agent State Law Examination	Series 63	01/15/1999

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
B 01/2023 - 11/2023	CENTER STREET SECURITIES, INC.	26898	NASHVILLE, TN
IA 01/2000 - 06/2007	AMERIPRISE FINANCIAL SERVICES, INC.	6363	CHICAGO, IL
B 10/1999 - 06/2007	AMERIPRISE FINANCIAL SERVICES, INC.	6363	CHICAGO, IL
B 10/1999 - 07/2006	IDS LIFE INSURANCE COMPANY	6321	MINNEAPOLIS, MN
B 06/1999 - 09/1999	WEATHERLY SECURITIES CORPORATION	11081	NEW YORK, NY
B 01/1999 - 06/1999	PRIME CHARTER LTD.	25668	NEW YORK, NY

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
11/2007 - Present	ARETE WEALTH ADVISORS	MANAGER	N	Chicago, IL, United States
08/2007 - Present	ARETE WEALTH MANAGEMENT	PRESIDENT	Y	Chicago, IL, 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.

ARETE WEALTH INC. CEO AND CHAIRMAN OF THE BOARD; COMPENSATION = SALARY + BONUSES + STOCK OPTIONS; ARETE WEALTH INC. IS A HOLDING COMPANY DESIGNED TO PURCHASE, OWN AND OPERATE FINANCIAL SERVICES COMPANIES INCLUDING THE ONES LISTED BELOW:

10/23/07 ARETE WEALTH ADVISORS, LLC: CEO; OFFERS FEE BASED FINANCIAL ADVISORY SERVICES, INVESTMENT RELATED AT THE SAME LOCATION AND IN CONJUNCTION WITH OTHER DAILY ACTIVITIES.

10/30/07 ARETE INSURANCE AGENCY, LLC: MANAGING MEMBER; OFFERS VARIOUS NON SECURITY INSURANCE PRODUCTS,



Registration and Employment History

Other Business Activities, continued

INVESTMENT RELATED AT THE SAME LOCATION AND IN CONJUNCTION WITH OTHER DAILY ACTIVITIES

10/30/07 ARETE CONSULTING, LLC: CEO; OFFERS CONSULTING SERVICES, INVESTMENT RELATED AT THE SAME LOCATION AND IN CONJUNCTION WITH OTHER DAILY ACTIVITIES.

11/01/11 JOSH ROGERS IS A MANAGING MEMBER OF GREEN LLC. GREEN IS A PRIVATE EQUITY SPONSOR THAT MANAGES ISSUING ENTITIES THAT INVEST IN VARIOUS BUSINESSES FOCUSED ON RENEWABLE ENERGY. GREEN IS THE MANAGER OF GREEN STANDARD RESOURCES MANAGEMENT LLC, WHICH IS THE MANAGER OF GREEN STANDARD RESOURCES LLC. CURRENTLY THERE IS NO COMPENSATION.

07/31/13 JOSH ROGERS IS THE MANAGING MEMBER OF JRC VEG LLC. THIS ENTITY PROVIDES CONSULTING SERVICES AND OWNS A 10% INTEREST IN VIESTE ENERGY LLC AND A 22% INTEREST IN VIESTE GROUP LLC RESPECTIVELY. CURRENTLY NO COMPENSATION.

11/20/14 JOSH ROGERS IS A MEMBER OF THE BOARD OF DIRECTORS OF VIESTE GROUP LLC. VIESTE GROUP IS A HOLDING COMPANY FOR A RANGE OF RENEWABLE ENERGY INFRASTRUCTURE PROJECTS. CURRENTLY NO COMPENSATION.

11/20/14 JOSH ROGERS IS A MEMBER OF ARETE GROWTH PARTNERS LLC. THIS IS A HOLDING COMPANY THAT PRIMARILY OWNS REAL ESTATE. CURRENTLY NO COMPENSATION.

11/30/17 JOSH ROGERS IS A MANAGING MEMBER OF WINDY CITY CRYPTO LLC. THIS LLC OWNS AN INTEREST IN A PRIVATELY HELD BLOCKCHAIN SECURITY COMPANY. THE INVESTMENT IS PASSIVE. THERE IS NO COMPENSATION.

04/03/18 JOSH ROGERS IS THE SOLE MEMBER OF AREH II LLC WHICH OWNS AN APARTMENT IN CHICAGO. NO COMPENSATION.

07/09/20 ARETE SHIELD INSURANCE COMPANY INC: INSURANCE SALES; OFFICER/DIRECTOR; NOT INVESTMENT RELATED. COMPENSATION = PROFIT DIVIDENDS.

Night Radio Film, Inc., Producer, Help to produce films, New York, New York, not investment related, 1 hour per month, 0 during trading hours, Start date: 1/2025.

End of Report



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