

BrokerCheck Report

DAVID AARON ROCKWELL

CRD# 4236377

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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:

- o 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
- o 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.](http://www.finra.org)

DAVID A. ROCKWELL

CRD# 4236377

This broker is not currently registered.

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 not currently registered.

This broker has passed:

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

Registration History

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

- B CETERA ADVISOR NETWORKS LLC**
CRD# 13572
FORT MYERS, FL
12/2015 - 11/2018
- B CETERA ADVISOR NETWORKS LLC**
CRD# 13572
SEWICKLEY, PA
06/2015 - 08/2015
- B SUNTRUST INVESTMENT SERVICES, INC.**
CRD# 17499
FORT MYERS, FL
12/2012 - 06/2015

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? **Yes**

The following types of disclosures have been reported:

Type	Count
Regulatory Event	2
Criminal	3
Customer Dispute	3
Termination	2

Investment Adviser Representative Information

The information below represents the individual's record as a broker. For details on this individual's record as an investment adviser representative, visit the SEC's Investment Adviser Public Disclosure website at

<https://www.adviserinfo.sec.gov>

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 broker is not currently registered.



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.

This individual has passed 0 principal/supervisory exams, 2 general industry/product exams, and 2 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	10/01/2018
B General Securities Representative Examination	Series 7	09/05/2000

State Securities Law Exams

Exam	Category	Date
B IA Uniform Combined State Law Examination	Series 66	08/25/2004
B Uniform Securities Agent State Law Examination	Series 63	10/03/2000

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 12/2015 - 11/2018	CETERA ADVISOR NETWORKS LLC	13572	FORT MYERS, FL
B 06/2015 - 08/2015	CETERA ADVISOR NETWORKS LLC	13572	SEWICKLEY, PA
B 12/2012 - 06/2015	SUNTRUST INVESTMENT SERVICES, INC.	17499	FORT MYERS, FL
B 05/2009 - 12/2012	FIFTH THIRD SECURITIES, INC.	628	FORT MYERS, FL
B 09/2000 - 05/2009	COMERICA SECURITIES	17079	GROSSE POINTE WOODS, MI

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
05/2019 - Present	World Choice Securities, Inc	Registered Representative	Y	Cape Coral, FL, United States
11/2018 - 05/2019	Independent Insurance	Fixed Sales	N	Ft Myers, FL, United States
12/2015 - 11/2018	CETERA ADVISOR NETWORKS, LLC	REGISTERED REP/IAR	Y	EL SEGUNDO, CA, United States
07/2015 - 11/2015	UNEMPLOYED	UNEMPLOYED	N	ATLANTA, GA, United States
06/2015 - 07/2015	CETERA ADVISOR NETWORKS LLC	REGISTERED REP/IAR	Y	EL SEGUNDO, CA, United States
12/2012 - 06/2015	SUNTRUST INVESTMENT SERVICES, INC.	FINANCIAL ADVISOR	Y	ATLANTA, GA, United States
05/2009 - 11/2012	FIFTH THIRD SECURITIES	INVESTMENT EXECUTIVE	Y	FT. MYERS, FL, United States

Registration and Employment History



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.

No information reported.



Disclosure Events

What you should know about reported disclosure events:

1. 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.
2. **Certain thresholds must be met before an event is reported to CRD, for example:**
 - o A law enforcement agency must file formal charges before a broker is required to disclose a particular criminal event.
 - o A customer dispute must involve allegations that a broker engaged in activity that violates certain rules or conduct governing the industry and that the activity resulted in damages of at least \$5,000.
 - o
3. **Disclosure events in BrokerCheck reports come from different sources:**
 - o As mentioned at the beginning of this report, information contained in BrokerCheck comes from brokers, brokerage 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 BrokerCheck report. The different versions will be separated by a solid line with the reporting source labeled.
 - o
4. **There are different statuses and dispositions for disclosure events:**
 - o A disclosure event may have a status of *pending*, *on appeal*, or *final*.
 - § A "pending" event involves allegations that have not been proven or formally adjudicated.
 - § An event that is "on appeal" involves allegations that have been adjudicated but are currently being appealed.
 - § A "final" event has been concluded and its resolution is not subject to change.
 - o A final 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 involves an agreement by the parties to resolve the matter. Please note that brokers and brokerage firms may choose to settle customer disputes or regulatory matters for business or other reasons.
 - § A "resolved" matter usually involves no payment to the customer and no finding of wrongdoing on the part of the individual broker. Such matters generally involve customer disputes.

For your convenience, below is a matrix of the number and status of disclosure events involving this broker. Further information regarding these events can be found in the subsequent pages of this report. You also may wish to contact the broker to obtain further information regarding these events.

	Pending	Final	On Appeal
Regulatory Event	0	2	0
Criminal	0	3	0
Customer Dispute	1	2	N/A
Termination	N/A	2	N/A



Disclosure Event Details

When evaluating this information, please keep in mind that a disclosure event may be pending or involve allegations that are contested and have not been resolved or proven. The matter may, in the end, be withdrawn, dismissed, resolved in favor of the broker, or concluded through a negotiated settlement for certain business reasons (e.g., to maintain customer relationships or to limit the litigation costs associated with disputing the allegations) with no admission or finding of wrongdoing.

This report provides the information exactly as it was reported to CRD and therefore some of the specific data fields contained in the report may be blank if the information was not provided to CRD.

Regulatory - Final

This type of disclosure event may involve (1) a final, formal proceeding initiated by a regulatory authority (e.g., a state securities agency, self-regulatory organization, federal regulatory such as the Securities and Exchange Commission, foreign financial regulatory body) for a violation of investment-related rules or regulations; or (2) a revocation or suspension of a broker's authority to act as an attorney, accountant, or federal contractor.

Disclosure 1 of 2

Reporting Source:	Regulator
Regulatory Action Initiated By:	FINRA
Sanction(s) Sought:	Suspension
Date Initiated:	11/22/2019
Docket/Case Number:	2019062440602
Employing firm when activity occurred which led to the regulatory action:	N/A
Product Type:	No Product
Allegations:	Respondent Rockwell failed to respond to FINRA request for information.
Current Status:	Final
Resolution:	Letter
Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct?	No



Resolution Date: 02/25/2020

Sanctions Ordered: Bar (Permanent)

If the regulator is the SEC, CFTC, or an SRO, did the action result in a finding of a willful violation or failure to supervise?
No

(1) willfully violated any provision of the Securities Act of 1933, the Securities Exchange Act of 1934, the Investment Advisers Act of 1940, the Investment Company Act of 1940, the Commodity Exchange Act, or any rule or regulation under any of such Acts, or any of the rules of the Municipal Securities Rulemaking Board, or to have been unable to comply with any provision of such Act, rule or regulation?

(2) willfully aided, abetted, counseled, commanded, induced, or procured the violation by any person of any provision of the Securities Act of 1933, the Securities Exchange Act of 1934, the Investment Advisers Act of 1940, the Investment Company Act of 1940, the Commodity Exchange Act, or any rule or regulation under any of such Acts, or any of the rules of the Municipal Securities Rulemaking Board? or



(3) failed reasonably to supervise another person subject to your supervision, with a view to preventing the violation by such person of any provision of the Securities Act of 1933, the Securities Exchange Act of 1934, the Investment Advisers Act of 1940, the Investment Company Act of 1940, the Commodity Exchange Act, or any rule or regulation under any such Acts, or any of the rules of the Municipal Securities Rulemaking Board?

Sanction 1 of 2

Sanction Type: Bar (Permanent)
Capacities Affected: All capacities
Duration: Indefinite
Start Date: 02/25/2020

End Date:

Sanction 2 of 2

Sanction Type: Suspension
Capacities Affected: All Capacities
Duration: N/A
Start Date: 12/16/2019
End Date: 02/24/2020

Regulator Statement

Pursuant to FINRA Rule 9552(h) and in accordance with FINRA's Notice of Suspension and Suspension from Association letters dated November 22, 2019 and December 16, 2019, respectively, on February 25, 2020, Rockwell is barred from association with any FINRA member in all capacities. Respondent failed to request termination of his suspension within three months of the date of the Notice of Suspension; therefore, he is automatically barred from association with any FINRA member in all capacities.



Disclosure 2 of 2

Reporting Source:	Regulator
Regulatory Action Initiated By:	Florida Office of Financial Regulation
Sanction(s) Sought:	Denial
Date Initiated:	07/21/2015
Docket/Case Number:	61084-S
URL for Regulatory Action:	
Employing firm when activity occurred which led to the regulatory action:	Cetera Advisor Networks, LLC
Product Type:	No Product
Allegations:	Making a material false statement on the application for registration
Current Status:	Final
Resolution:	Order
Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct?	No
Resolution Date:	09/30/2015
Sanctions Ordered:	Denial
Regulator Statement	On 9/30/2015, the Office of Financial Regulation entered a Final Order adopting the stipulation and consent agreement in the matter of David Aaron Rockwell. Mr. Rockwell neither admitted nor denied the findings but consented to the entry of findings by the Office. The Office found that Mr. Rockwell made a material misstatement on the applications for registration. Pursuant to the Order, Mr. Rockwell's applications for registration as an associated person (AG and RA) of Cetera Advisor Networks, LLC are denied without prejudice to reapply no earlier than November 16, 2015.



Reporting Source:	Broker
Regulatory Action Initiated By:	FLORIDA OFFICE OF FINANCIAL REGULATION
Sanction(s) Sought:	Denial
Date Initiated:	07/21/2015
Docket/Case Number:	61084-S
Employing firm when activity occurred which led to the regulatory action:	CETERA ADVISOR NETWORKS
Product Type:	No Product
Allegations:	THE STATE OF FLORIDA, OFFICE OF FINANCIAL REGULATION FILED AN INTENT TO DENY REGISTRATION PURSUANT TO THE FILING OF A MATERIAL FALSE STATEMENT IN THE APPLICATION FOR REGISTRATION
Current Status:	Final
Resolution:	Order
Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct?	No
Resolution Date:	09/30/2015
Sanctions Ordered:	Denial
Broker Statement	on 9/30/2015, the Office of Financial Regulation entered a Final Order adopting the stipulation and consent agreement in the matter of David Aaron Rockwell. Mr Rockwell neither admitted nor denied the findings but consented to the entry of findings by the Office. The Office found that Mr Rockwell made a material misstatement on the applications for registration. Pursuant to the Order, Mr Rockwell's applications for registration as an associated person (AG and RA) of Cetera Advisor Networks, LLC are denied without prejudice to reapply no earlier than November 16, 2015



Criminal - Final Disposition

This type of disclosure event involves a criminal charge against the broker that has resulted in a conviction, acquittal, dismissal, or plea. The criminal matter may pertain to any felony or certain misdemeanor offenses, including bribery, perjury, forgery, counterfeiting, extortion, fraud, and wrongful taking of property.

Disclosure 1 of 3

Reporting Source:	Broker
If charge(s) were brought against an organization over which broker exercised control:	
Organization Name:	
Investment Related Business:	No
Broker's Position:	
Formal Charges were brought in:	Cape Coral, FL Police Dept
Name of Court:	Curcuit Court Lee County Florida
Location of Court:	Lee County, Florida
Docket/Case #:	18-CF-018600
Charge Date:	09/28/2018
Charge(s) 1 of 1	
Formal Charge(s)/Description:	Aggravated Stalking- Follow/Harass/Cyberstalk/Credible Threat to Person - 18CF018600
No of Counts:	1
Felony or Misdemeanor:	Felony
Plea for each charge:	not guilty
Disposition of charge:	Dismissed
Date of Amended Charge:	04/08/2019
Charge was Amended or reduced to:	Nolle Prosequi on Original charge
Amended No of Counts:	1
Amended Charge:	Stalking



Amended Plea:	guilty
Disposition of Amended Charge:	Pled guilty
Current Status:	Final
Status Date:	04/22/2019
Disposition Date:	04/22/2019
Sentence/Penalty:	Notice of Nolle Prosequi on April 22, 2019

Disclosure 2 of 3

Reporting Source:	Broker
If charge(s) were brought against an organization over which broker exercised control:	
Organization Name:	
Investment Related Business:	No
Broker's Position:	
Formal Charges were brought in:	State Court
Name of Court:	The 41st District Court of Michigan
Location of Court:	Township of Shelby and Macomb County
Docket/Case #:	03-3101-FY
Charge Date:	08/16/2003
Charge(s) 1 of 1	
Formal Charge(s)/Description:	Police officer-assault/resisting/obstruction
No of Counts:	1
Felony or Misdemeanor:	Felony
Plea for each charge:	Not guilty
Disposition of charge:	Dismissed



Current Status:	Final
Status Date:	12/02/2003
Disposition Date:	12/02/2003
Sentence/Penalty:	Dismissed file closed
Broker Statement	Charged with obstruction for not taking a field sobriety test. Charges were dismissed.

Disclosure 3 of 3

Reporting Source:	Firm
Formal Charges were brought in:	State Court
Name of Court:	41A1 JUDICIAL DISTRICT 16TH JUDICIAL CIRCUIT COURT
Location of Court:	40 N MAIN, MOUNT CLEMENS,MI 48043
Docket/Case #:	2013-002918 CASE # 13-004894
Charge Date:	05/24/2013
Charge(s) 1 of 2	
Formal Charge(s)/Description:	257.6256D OPERATE-WHILE INTOX/IMPAIRED FELONY
No of Counts:	1
Felony or Misdemeanor:	Felony
Plea for each charge:	NOT GUILTY
Disposition of charge:	Dismissed
Date of Amended Charge:	04/02/2013
Charge was Amended or reduced to:	257.62583 IMPAIRED OPERATING-2ND OFFENSE MISDEMEANOR
Amended No of Counts:	1
Amended Charge:	Misdemeanor
Amended Plea:	GUILTY
Disposition of Amended Charge:	Pled guilty

**Charge(s) 2 of 2**

Formal Charge(s)/Description:	750.82 FELONY ASSAULT WITH DANGEROUS WEAPON
No of Counts:	1
Felony or Misdemeanor:	Felony
Plea for each charge:	NOT GUILTY
Disposition of charge:	Dismissed
Date of Amended Charge:	04/02/2014
Charge was Amended or reduced to:	750.81 ASSAULT OR ASSAULT AND BATTERY MISDEMEANOR
Amended No of Counts:	1
Amended Charge:	Misdemeanor
Amended Plea:	GUILTY
Disposition of Amended Charge:	Pled guilty
Current Status:	Final
Status Date:	04/02/2014
Disposition Date:	04/02/2014
Sentence/Penalty:	DISMISSED/NO PROBATION 04/02/2014 FINE PAID \$1,800.00 06/10/2014
Firm Statement	INITIAL CHARGES DISMISSED. PLEAD GUILTY TO MISDEMEANOR CHARGES.

Reporting Source: Broker

If charge(s) were brought against an organization over which broker exercised control:

Organization Name:

Investment Related Business: No

Broker's Position:



Formal Charges were brought in:	State Court
Name of Court:	41A1 JUDICIAL DISTRICT 16TH JUDICIAL CIRCUIT COURT
Location of Court:	40 N. MAIN, MOUNT CLEMENS, MI 48043
Docket/Case #:	DOCKET 2013-002918 CASE # 13-004894
Charge Date:	05/24/2013
Charge(s) 1 of 2	
Formal Charge(s)/Description:	257.6256D OPERATE-WHILE INTOX/IMPAIRED FELONY
No of Counts:	1
Felony or Misdemeanor:	Felony
Plea for each charge:	NOT GUILTY
Disposition of charge:	Dismissed
Date of Amended Charge:	04/02/2013
Charge was Amended or reduced to:	257.625B3 IMPARED OPERATING-2ND OFFENSE MISDEMEANOR
Amended No of Counts:	1
Amended Charge:	Misdemeanor
Amended Plea:	GUILTY
Disposition of Amended Charge:	Pled guilty
Charge(s) 2 of 2	
Formal Charge(s)/Description:	750.82 FELONY ASSUALT WITH DANGEROUS WEAPON
No of Counts:	1
Felony or Misdemeanor:	Felony
Plea for each charge:	NOT GUILTY
Disposition of charge:	Dismissed
Date of Amended Charge:	04/02/2014



Charge was Amended or reduced to:	750.81 ASSUALT OR ASSUALT AND BATTERY MISDEMEANOR
Amended No of Counts:	1
Amended Charge:	Misdemeanor
Amended Plea:	GUILTY
Disposition of Amended Charge:	Pled guilty
Current Status:	Final
Status Date:	04/02/2014
Disposition Date:	04/02/2014
Sentence/Penalty:	DISMISSED/NO PROBATION 04/02/2014 FINE PAID \$1,800.00 06/10/2014
Broker Statement	INITIAL CHARGES DISMISSED. PLEAD GUILTY TO MISDEMEANOR CHARGES.



Customer Dispute - Settled

This type of disclosure event involves a consumer-initiated, investment-related complaint, arbitration proceeding or civil suit containing allegations of sale practice violations against the broker that resulted in a monetary settlement to the customer.

Disclosure 1 of 2

Reporting Source:	Firm
Employing firm when activities occurred which led to the complaint:	Cetera Advisor Networks, LLC
Allegations:	Claimant alleges their registered representative obtained loans in their name that were secured by their brokerage accounts without authorization.
Product Type:	No Product
Alleged Damages:	\$2,000,000.00
Is this an oral complaint?	No
Is this a written complaint?	Yes
Is this an arbitration/CFTC reparation or civil litigation?	Yes
Arbitration/Reparation forum or court name and location:	FINRA -Tampa, FL
Docket/Case #:	20-03333
Filing date of arbitration/CFTC reparation or civil litigation:	09/22/2020

Customer Complaint Information

Date Complaint Received:	09/24/2020
Complaint Pending?	No
Status:	Settled
Status Date:	01/20/2021
Settlement Amount:	\$415,000.00
Individual Contribution Amount:	\$0.00

Disclosure 2 of 2



Reporting Source:	Firm
Employing firm when activities occurred which led to the complaint:	Cetera Advisor Networks LLC
Allegations:	Client alleges that Mr. Rockwell misappropriated money from his investment accounts to invest in a private security related to a company owned by Mr. Rockwell.
Product Type:	Other: Private Security Transaction
Alleged Damages:	\$500,000.00
Arbitration Information	
Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.):	FINRA
Docket/Case #:	19-01785
Date Notice/Process Served:	06/26/2019
Arbitration Pending?	No
Disposition:	Settled
Disposition Date:	10/09/2019
Monetary Compensation Amount:	\$215,000.00
Individual Contribution Amount:	\$0.00



Customer Dispute - Pending

This type of disclosure event involves (1) a pending consumer-initiated, investment-related arbitration or civil suit that contains allegations of sales practice violations against the broker; or (2) a pending, consumer-initiated, investment-related written complaint containing allegations that the broker engaged in, sales practice violations resulting in compensatory damages of at least \$5,000, forgery, theft, or misappropriation, or conversion of funds or securities.

Disclosure 1 of 1

Reporting Source:	Firm
Employing firm when activities occurred which led to the complaint:	Cetera Advisor Networks LLC
Allegations:	Clients allege Mr. Rockwell was involved in forgery and fraud regarding their accounts.
Product Type:	No Product
Alleged Damages:	\$700,000.00

Civil Litigation Information

Type of Court:	State Court
Name of Court:	Circuit Court for County of Macomb
Location of Court:	Macomb County
Docket/Case #:	2019-2267
Date Notice/Process Served:	07/12/2019
Litigation Pending?	Yes



Employment Separation After Allegations

This type of disclosure event involves a situation where the broker voluntarily resigned, was discharged, or was permitted to resign after being accused of (1) violating investment-related statutes, regulations, rules or industry standards of conduct; (2) fraud or the wrongful taking of property; or (3) failure to supervise in connection with investment-related statutes, regulations, rules, or industry standards of conduct.

Disclosure 1 of 2

Reporting Source:	Firm
Employer Name:	World Choice Securities, Inc.
Termination Type:	Discharged
Termination Date:	06/21/2019
Allegations:	While at a previous broker-dealer customer established and funded an LLC with \$400k and then transferred same to an LLC established by Rockwell for the purpose of (a) real estate deal(s) allegedly never made. No specific dates were given but implied 2016 to 2018.
Product Type:	No Product
Firm Statement	Mr. Rockwell began the registration process to affiliate with our firm when these allegations came to light.

Disclosure 2 of 2

Reporting Source:	Firm
Employer Name:	CETERA ADVISOR NETWORKS, LLC
Termination Type:	Discharged
Termination Date:	11/14/2018
Allegations:	REPRESENTATIVE'S REGISTRATION WAS TERMINATED AFTER REPRESENTATIVE NOTIFIED THE FIRM THAT HE HAD BEEN CHARGED WITH A FELONY.
Product Type:	No Product

End of Report



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