

## BrokerCheck Report

### ROGAN & ASSOCIATES, INC.

CRD# 42762

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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.

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**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](http://brokercheck.finra.org)



For additional information about the contents of this report, please refer to the User Guidance or [www.finra.org/brokercheck](http://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)



## ROGAN & ASSOCIATES, INC.

CRD# 42762

SEC# 8-49995

### Main Office Location

200 9TH AVENUE. NORTH  
SUITE 100  
SAFETY HARBOR, FL 34695-3500  
Regulated by FINRA Florida Office

### Mailing Address

200 9TH AVENUE. NORTH  
SUITE 100  
SAFETY HARBOR, FL 34695-3500

### Business Telephone Number

727-712-3400

This firm is a brokerage firm and an investment adviser firm. For more information about investment adviser firms, visit the SEC's Investment Adviser Public Disclosure website at:

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

## Report Summary for this Firm

This report summary provides an overview of the brokerage firm. Additional information for this firm can be found in the detailed report.

### Firm Profile

This firm is classified as a corporation.

This firm was formed in Florida on 01/17/1997.

Its fiscal year ends in December.

### Firm History

Information relating to the brokerage firm's history such as other business names and successions (e.g., mergers, acquisitions) can be found in the detailed report.

### Firm Operations

This firm is registered with:

- the SEC
- 1 Self-Regulatory Organization
- 22 U.S. states and territories

Is this brokerage firm currently suspended with any regulator? **No**

This firm conducts 4 types of businesses.

This firm is not affiliated with any financial or investment institutions.

This firm does not have referral or financial arrangements with other brokers or dealers.

### Disclosure Events

Brokerage firms are required to disclose certain criminal matters, regulatory actions, civil judicial proceedings and financial matters in which the firm or one of its control affiliates has been involved.

Are there events disclosed about this firm? **Yes**

The following types of disclosures have been reported:

Type	Count
Regulatory Event	2



## Firm Profile

This firm is classified as a corporation.

This firm was formed in Florida on 01/17/1997.

Its fiscal year ends in December.

## Firm Names and Locations

This section provides the brokerage firm's full legal name, "Doing Business As" name, business and mailing addresses, telephone number, and any alternate name by which the firm conducts business and where such name is used.

**ROGAN & ASSOCIATES, INC.**

**Doing business as ROGAN & ASSOCIATES, INC.**

**CRD#** 42762

**SEC#** 8-49995

### Main Office Location

200 9TH AVENUE. NORTH  
SUITE 100  
SAFETY HARBOR, FL 34695-3500

**Regulated by FINRA Florida Office**

### Mailing Address

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SAFETY HARBOR, FL 34695-3500

### Business Telephone Number

727-712-3400



## Firm Profile

This section provides information relating to all direct owners and executive officers of the brokerage firm.

### Direct Owners and Executive Officers

<b>Legal Name &amp; CRD# (if any):</b>	ROGAN, MICHAEL GERARD 1503029
<b>Is this a domestic or foreign entity or an individual?</b>	Individual
<b>Position</b>	PRESIDENT/CEO/CFO/MSP/ROSEFP/SOLE OFFICER/SOLE SHAREHOLDER/PRINCIPAL FINANCIAL OFFICER/PRINCIPAL OPERATIONS OFFICER
<b>Position Start Date</b>	01/1997
<b>Percentage of Ownership</b>	75% or more
<b>Does this owner direct the management or policies of the firm?</b>	Yes
<b>Is this a public reporting company?</b>	No

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<b>Legal Name &amp; CRD# (if any):</b>	CARTER, ANA R 4424794
<b>Is this a domestic or foreign entity or an individual?</b>	Individual
<b>Position</b>	FINOP
<b>Position Start Date</b>	03/2019
<b>Percentage of Ownership</b>	Less than 5%
<b>Does this owner direct the management or policies of the firm?</b>	No
<b>Is this a public reporting company?</b>	No

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<b>Legal Name &amp; CRD# (if any):</b>	FOSS, EDWIN ROBINSON 1334662
<b>Is this a domestic or foreign entity or an individual?</b>	Individual

Firm Profile



Direct Owners and Executive Officers (continued)

Position	CHIEF COMPLIANCE OFFICER, AML COMPLIANCE OFFICER, GENERAL SECURITIES PRINCIPAL
Position Start Date	07/2004
Percentage of Ownership	Less than 5%
Does this owner direct the management or policies of the firm?	Yes
Is this a public reporting company?	

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## Firm Profile

This section provides information relating to any indirect owners of the brokerage firm.

## Indirect Owners

No information reported.



## Firm History

This section provides information relating to any successions (e.g., mergers, acquisitions) involving the firm.

No information reported.







Firm Operations

Registrations

This section provides information about the regulators (Securities and Exchange Commission (SEC), self-regulatory organizations (SROs), and U.S. states and territories) with which the brokerage firm is currently registered and licensed, the date the license became effective, and certain information about the firm's SEC registration.

**This firm is currently registered with the SEC, 1 SRO and 22 U.S. states and territories.**

Federal Regulator	Status	Date Effective
SEC	Approved	04/25/1997

SEC Registration Questions

This firm is registered with the SEC as:

A broker-dealer:    Yes

A broker-dealer and government securities broker or dealer:    No

A government securities broker or dealer only:    No

This firm has ceased activity as a government securities broker or dealer:    No

Self-Regulatory Organization	Status	Date Effective
FINRA	Approved	04/25/1997



## Firm Operations

### Registrations (continued)

U.S. States & Territories	Status	Date Effective
California	Approved	10/16/1997
Colorado	Approved	03/30/2012
Connecticut	Approved	11/07/2003
Florida	Approved	04/25/1997
Georgia	Approved	02/12/2004
Illinois	Approved	02/15/2006
Indiana	Approved	05/18/2010
Michigan	Approved	05/08/2000
Montana	Approved	02/21/2020
Nebraska	Approved	11/10/2015
New Hampshire	Approved	08/20/2020
New Jersey	Approved	07/20/2017
New York	Approved	05/10/2010
North Carolina	Approved	01/18/2008
Ohio	Approved	01/20/2017
Rhode Island	Approved	09/15/2004
South Carolina	Approved	03/23/2012
South Dakota	Approved	06/04/2020
Tennessee	Approved	12/02/2003
Texas	Approved	06/09/2004
Utah	Approved	08/29/2017
Virginia	Approved	02/12/2007



## Firm Operations

### Types of Business

This section provides the types of business, including non-securities business, the brokerage firm is engaged in or expects to be engaged in.

**This firm currently conducts 4 types of businesses.**

#### Types of Business

Mutual fund retailer

Municipal securities broker

Broker or dealer selling variable life insurance or annuities

Investment advisory services

#### Other Types of Business

This firm does not effect transactions in commodities, commodity futures, or commodity options.

This firm does engage in other non-securities business.

Non-Securities Business Description: INSURANCE ON AN AGENCY BASIS.

## **Firm Operations**



### **Clearing Arrangements**

**This firm does not hold or maintain funds or securities or provide clearing services for other broker-dealer(s).**

### **Introducing Arrangements**

**This firm does not refer or introduce customers to other brokers and dealers.**

## **Firm Operations**

### **Industry Arrangements**



**This firm does not have books or records maintained by a third party.**

**This firm does not have accounts, funds, or securities maintained by a third party.**

**This firm does not have customer accounts, funds, or securities maintained by a third party.**

#### **Control Persons/Financing**

**This firm does not have individuals who control its management or policies through agreement.**

**This firm does not have individuals who wholly or partly finance the firm's business.**



## Firm Operations

### Organization Affiliates

This section provides information on control relationships the firm has with other firms in the securities, investment advisory, or banking business.

**This firm is not, directly or indirectly:**

- in control of
  - controlled by
  - or under common control with
- the following partnerships, corporations, or other organizations engaged in the securities or investment advisory business.**

**This firm is not directly or indirectly, controlled by the following:**

- bank holding company
- national bank
- state member bank of the Federal Reserve System
- state non-member bank
- savings bank or association
- credit union
- or foreign bank



Disclosure Events

All firms registered to sell securities or provide investment advice are required to disclose regulatory actions, criminal or civil judicial proceedings, and certain financial matters in which the firm or one of its control affiliates has been involved. For your convenience, below is a matrix of the number and status of disclosure events involving this brokerage firm or one of its control affiliates. Further information regarding these events can be found in the subsequent pages of this report.

	Pending	Final	On Appeal
Regulatory Event	0	2	0



## Disclosure Event Details

### What you should know about reported disclosure events:

1. **BrokerCheck provides details for any disclosure event that was reported in CRD. It also includes summary information regarding FINRA arbitration awards in cases where the brokerage firm was named as a respondent.**
2. **Certain thresholds must be met before an event is reported to CRD, for example:**
  - A law enforcement agency must file formal charges before a brokerage firm is required to disclose a particular criminal event.
3. **Disclosure events in BrokerCheck reports come from different sources:**
  - Disclosure events for this brokerage firm were reported by the firm and/or regulators. When the firm and a regulator report information for the same event, both 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.
4. **There are different statuses and dispositions for disclosure events:**
  - 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.
  - 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 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.
5. **You may wish to contact the brokerage firm to obtain further information regarding any of the disclosure events contained in this BrokerCheck report.**

### Regulatory - Final

This type of disclosure event involves (1) a final, formal proceeding initiated by a regulatory authority (e.g., a state securities agency, self-regulatory organization, federal regulator such as the U.S. Securities and Exchange Commission, foreign financial regulatory body) for a violation of investment-related rules or regulations; or (2) a revocation or suspension of the authority of a brokerage firm or its control affiliate to act as an attorney, accountant or federal contractor.

#### Disclosure 1 of 2

**Reporting Source:** Regulator

**Current Status:** Final





**Allegations:** NASD RULES 1021, 1031,2110, 2210(B)(1),2210(D)(1)(A),3010 - WITHOUT ADMITTING OR DENYING THE ALLEGATIONS, THE RESPONDENT MEMBER CONSENTED TO THE ENTRY OF FINDINGS THAT, ACTING THROUGH AN INDIVIDUAL, SUBMITTED TO THE NASD ADVERTISEMENTS THAT WERE MATERIALLY MISLEADING AND FAILED TO DISCLOSE THE RISKS INHERENT IN INVESTING IN THE TEECHNOLOGY AND SCIENCES AREAS, FAILED TO DISCLOSE THAT A FUND WAS NON-DIVERSIFIED, AND FAILED TO DISCLOSE THAT THE FUND HAD AN UNDUE CONCENTRATION IN A LIMITED SERIES OF SECURITIES; ACTING THROUGH AN INDIVIDUAL,IN ADVERTISEMENTS MATERIALLY MISLEADING TO INVESTORS SUBMITTED TO THE NASD, FAILED TO DISCLOSE THAT APPROXIMATELY 49% OF THE FUND'S PORTFOLIO WAS MADE UP OF ONLY TWO SECURITIES AND APPROXIMATELY 66% OF THE FUND'S PORTFOLIO WAS MADE UP OF ONLY THREE SECURITIES; ACTING THROUGH AN INDIVIDUAL, FAILED TO OBTAIN APPROVAL FROM A REGISTERED PRINCIPAL OF THE FIRM PRIOR TO SUBMITTING ADS TO THE NASD; FAILED TO REGISTER AN INDIVIDUAL AS A GENERAL SECURITIES REPRESENTATIVE OR AS A GENERAL SECURITIES PRINCIPAL OF THE FIRM WHILE THE INDIVIDUAL WAS ACTIVELY ENGAGED IN THE CONDUCT OF BUSINESS BY THE FIRM IN ADVERTISING A FUND TO THE GENERAL PUBLIC; AND ACTING THROUGH ANOTHER INDIVIDUAL, FAILED TO ESTABLISH AND MAINTAIN A SUPERVISORY SYSTEM REASONABLY DESIGNED TO ACHIEVE COMPLIANCE WITH FEDERAL SECURITIES LAWS, REGULATIONS, NASD RULES TO SUPERVISE AN INDIVIDUAL'S ACTIVITIES ON BEHALF OF THE FIRM AND FAILED TO TAKE STEPS TO INVESTIGATE HIS CONDUCT AND INSURE HIS ACTIONS COMPLIED WITH APPLICABLE SECURITIES LAWS AND NASD RULES.

**Initiated By:** NATIONAL ASSOCIATION OF SECURITIES DEALERS, INC.

**Date Initiated:** 05/08/2002

**Docket/Case Number:** CAF020017

**Principal Product Type:** Other

**Other Product Type(s):** ADVERTISEMENTS

**Principal Sanction(s)/Relief Sought:**

**Other Sanction(s)/Relief Sought:**

**Resolution:** Acceptance, Waiver & Consent(AWC)

**Resolution Date:** 05/08/2002

**Sanctions Ordered:** Monetary/Fine \$5,000.00

**Other Sanctions Ordered:**



**Sanction Details:** FINED \$5,000 JOINTLY AND SEVERALLY

**Reporting Source:** Firm

**Current Status:** Final

**Allegations:** NASDR ALLEGED THAT ROGAN FAILED TO SUPERVISE MIOLA WHEN MIOLA, WITHOUT EMPLOYMENT BY ROGAN, ROSENBERG, & ASSOCIATES, PUBLISHED MISLEADING ADVERTISING UNDER THE NAME OF ROGAN, ROSENBERG, & ASSOCIATES.

**Initiated By:** NASDR

**Date Initiated:** 05/15/2000

**Docket/Case Number:** ENF000059

**Principal Product Type:** No Product

**Other Product Type(s):**

**Principal Sanction(s)/Relief Sought:** Suspension

**Other Sanction(s)/Relief Sought:** FINE

**Resolution:** Settled

**Resolution Date:** 05/21/2002

**Sanctions Ordered:** Monetary/Fine \$5,000.00  
Suspension

**Other Sanctions Ordered:**

**Sanction Details:** \$5000.00 FINE JOINTLY AND SEVERALLY AND MR. ROGAN WAS SUSPENDED AS A PRINCIPAL FOR 30 DAYS (06/17/2002 - 07/16/2002)

**Firm Statement** ALLEGED MISLEADING MUTUAL FUND ADVERTISEMENTS WERE PLACED BY MICHAEL MIOLA WITH FULL KNOWLEDGE OF NASDR ADVERTISING DEPT., AND WITHOUT KNOWLEDGE OR CONSENT OF MICHAEL ROGAN AND/OR ROGAN, ROSENBERG, & ASSOCIATES, INC. MIOLA WAS ACTING ON HIS OWN, WITHOUT ANY APPROVAL OR KNOWLEDGE OF ANY PRINCIPAL OF ROGAN, ROSENBERG, & ASSOCIATES, INC. AS ACKNOWLEDGED BY MIOLA, IN A LETTER TO THE NASD IN EARLY MAY 1999. MR. ROGAN SERVED THE SUSPENSION FROM 6/17/2002 - 7/16/2002.



**Reporting Source:** Regulator  
**Current Status:** Final  
**Allegations:** RESPONDENT MEMBER, ACTING THROUGH ROGAN: FILED A QUARTERLY FOCUS IIA REPORT SEVENTEEN DAYS LATE IN VIOLATION OF SEC RULE 17A-5 AND NASD RULE 2110.  
**Initiated By:** NATIONAL ASSOCIATION OF SECURITIES DEALERS, INC.  
**Date Initiated:** 09/07/1999  
**Docket/Case Number:** C07990057  
**Principal Product Type:** Other  
**Other Product Type(s):**  
**Principal Sanction(s)/Relief Sought:**  
**Other Sanction(s)/Relief Sought:**  
**Resolution:** Acceptance, Waiver & Consent(AWC)  
**Resolution Date:** 09/07/1999  
**Sanctions Ordered:** Monetary/Fine \$1,000.00  
**Other Sanctions Ordered:**  
**Sanction Details:** \$1,000.00 FINE, J&S  
**Regulator Statement** 01-12-00, \$1,000 PAID J&S ON 9/15/99, INVOICE #99-07-750

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**Reporting Source:** Firm  
**Current Status:** Final  
**Allegations:** ADS, ACTING THROUGH ROGAN, FILED ITS QUARTERLY FOCUS IIA REPORT FOR THE PERIOD ENDING MARCH 31, 1999, SEVENTEEN (17) DAYS LATE, IN VIOLATION OF NASD CONDUCT RULE 2110 AND SEC RULE 17A-5.  
**Initiated By:** NASD REGULATION INC  
**Date Initiated:** 08/06/1999  
**Docket/Case Number:** C07990057  
**Principal Product Type:** No Product

**Other Product Type(s):**

**Principal Sanction(s)/Relief Sought:** Civil and Administrative Penalt(ies) /Fine(s)

**Other Sanction(s)/Relief Sought:**

**Resolution:** Acceptance, Waiver & Consent(AWC)

**Resolution Date:** 08/26/1999

**Sanctions Ordered:** Monetary/Fine \$1,000.00

**Other Sanctions Ordered:** NONE

**Sanction Details:** \$1000 FINE, JOINT AND SEVERAL AGAINST ADS AND ROGAN.

**Firm Statement** ADS AND ROGAN ACCEPTED AND CONSENTED, WITHOUT ADMITTING OR DENYING THE ALLEGED VIOLATIONS, TO THE ENTRY OF THE FINDINGS BY NASD REGULATION INC.

**End of Report**



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