

BrokerCheck Report

MARC JULIAN ROSENBERG

CRD# 1199910

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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.

**MARC J. ROSENBERG**

CRD# 1199910

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

- B** **STONEHAVEN, LLC**
 600 Fifth Avenue
 Second Floor
 NEW YORK, NY 10020
 CRD# 118913
 Registered with this firm since: 10/23/2020

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
- 22 U.S. states and territories

This broker has passed:

- 1 Principal/Supervisory Exam
- 4 General Industry/Product Exams
- 2 State Securities Law Exams

Registration History

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

- B** **SILVER LEAF PARTNERS, LLC**
 CRD# 126694
 NEW YORK, NY
 01/2006 - 02/2021
- B** **CONIFER SECURITIES LLC**
 CRD# 23857
 NEW YORK, NY
 04/2004 - 12/2005
- B** **KNIGHT EQUITY MARKETS, L.P.**
 CRD# 38599
 JERSEY CITY, NJ
 12/2003 - 04/2004

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	1
Customer Dispute	1
Termination	1



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

Employment 1 of 1

Firm Name: **STONEHAVEN, LLC**
 Main Office Address: **600 FIFTH AVENUE
 2ND FLOOR
 NEW YORK, NY 10020**
 Firm CRD#: **118913**

	SRO	Category	Status	Date
B	FINRA	Direct Participation Programs	Approved	10/23/2020
B	FINRA	General Securities Representative	Approved	10/23/2020
B	FINRA	Government Securities Representative	Approved	10/23/2020

	U.S. State/ Territory	Category	Status	Date
B	Alaska	Agent	Approved	11/16/2020
B	Arizona	Agent	Approved	11/13/2020
B	California	Agent	Approved	10/26/2020
B	Colorado	Agent	Approved	11/18/2020
B	Florida	Agent	Approved	03/07/2022
B	Georgia	Agent	Approved	11/12/2020
B	Maine	Agent	Approved	11/16/2020
B	Massachusetts	Agent	Approved	01/03/2025
B	Michigan	Agent	Approved	03/15/2021
B	Minnesota	Agent	Approved	02/11/2021



Broker Qualifications

Employment 1 of 1, continued

	U.S. State/ Territory	Category	Status	Date
B	Nevada	Agent	Approved	03/11/2021
B	New Hampshire	Agent	Approved	01/02/2025
B	New Jersey	Agent	Approved	11/14/2020
B	New York	Agent	Approved	03/10/2022
B	North Carolina	Agent	Approved	01/02/2025
B	Ohio	Agent	Approved	10/26/2020
B	Oklahoma	Agent	Approved	01/06/2025
B	Oregon	Agent	Approved	01/10/2022
B	Pennsylvania	Agent	Approved	11/19/2020
B	Texas	Agent	Approved	10/30/2020
B	Utah	Agent	Approved	11/19/2020
B	Washington	Agent	Approved	03/04/2022

Branch Office Locations

STONEHAVEN, LLC
 600 Fifth Avenue
 Second Floor
 NEW YORK, NY 10020



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 1 principal/supervisory exam, 4 general industry/product exams, and 2 state securities law exams.

Principal/Supervisory Exams

Exam	Category	Date
B Direct Participation Programs Principal Examination	Series 39	06/30/1983

General Industry/Product Exams

Exam	Category	Date
B Government Securities Representative Examination	Series 72	01/02/2023
B Securities Industry Essentials Examination	SIE	10/01/2018
B General Securities Representative Examination	Series 7	01/17/1987
B Direct Participation Programs Representative Examination	Series 22	05/04/1983

State Securities Law Exams

Exam	Category	Date
IA Uniform Investment Adviser Law Examination	Series 65	06/08/1993
B Uniform Securities Agent State Law Examination	Series 63	09/17/1987

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 01/2006 - 02/2021	SILVER LEAF PARTNERS, LLC	126694	NEW YORK, NY
B 04/2004 - 12/2005	CONIFER SECURITIES LLC	23857	NEW YORK, NY
B 12/2003 - 04/2004	KNIGHT EQUITY MARKETS, L.P.	38599	JERSEY CITY, NJ
B 09/2000 - 01/2004	DONALDSON & CO., INCORPORATED	15404	ATLANTA, GA
B 03/1998 - 08/2000	CIBC WORLD MARKETS CORP.	630	NEW YORK, NY
B 07/1994 - 03/1998	SUTRO & CO. INCORPORATED	801	SAN FRANCISCO, CA
B 06/1991 - 06/1994	LEHMAN BROTHERS INC.	7506	NEW YORK, NY
B 07/1990 - 04/1991	MONTGOMERY SECURITIES	4357	SAN FRANCISCO, CA
B 07/1987 - 07/1990	BEAR, STEARNS & CO. INC.	79	NEW YORK, NY
B 05/1987 - 07/1987	MACKENZIE SECURITIES BROKERAGE CO.	10618	
B 02/1985 - 07/1987	TERRANOMICS SECURITIES CORPORATION	15972	
B 12/1983 - 01/1985	ALDA SECURITIES, INC.	14240	

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
04/2004 - Present	QUALITY MANAGER CONSULTANTS LLC	PRESIDENT	Y	Scottsdale, AZ, United States
12/2005 - 10/2020	SILVER LEAF PARTNERS, LLC	REGISTERED REPRESENTATIVE	Y	NEW YORK, NY, 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.

QUALITY MANAGER CONSULTANTS; PRESIDENT, AN INVESTMENT RELATED, INVESTMENT CONSULTING THIRD PARTY SALES AND MARKETING FIRM. APPROX 160 HOURS MONTH, MOST DURING SECURITIES TRADING HOURS.

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:**
 - A law enforcement agency must file formal charges before a broker is required to disclose a particular criminal event.
 - 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.
 -
3. **Disclosure events in BrokerCheck reports come from different sources:**
 - 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.
 -
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 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	1	0
Customer Dispute	0	1	N/A
Termination	N/A	1	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 1

Reporting Source:	Regulator
Regulatory Action Initiated By:	NATIONAL ASSOCIATION OF SECURITIES DEALERS, INC.
Sanction(s) Sought:	
Other Sanction(s) Sought:	
Date Initiated:	03/30/1992
Docket/Case Number:	CO-1920016
Employing firm when activity occurred which led to the regulatory action:	MONTGOMERY SECURITIES
Product Type:	Other
Other Product Type(s):	
Allegations:	COMPLAINT NO. C01920016 - DISTRICT NO. 1 FILED MARCH 30, 1992 AGAINST RESPONDENT MARC JULIAN ROSENBERG ALLEGING A VIOLATION OF ARTICLE III, SECTION 1 OF THE RULES OF FAIR PRACTICE IN THAT RESPONDENT ROSENBERG EFFECTED THE PURCHASE OF SHARES OF STOCK IN THE ACCOUNT OF A PUBLIC CUSTOMER WITHOUT THE KNOWLEDGE OR CONSENT OF THE CUSTOMER.



Current Status: Final

Resolution: Decision & Order of Offer of Settlement

Resolution Date: 11/23/1992

Sanctions Ordered: Censure
Monetary/Fine \$2,500.00

Other Sanctions Ordered:

Sanction Details: DECISION RENDERED NOVEMBER 23, 1992, WHEREIN THE OFFER OF SETTLEMENT SUBMITTED BY RESPONDENT ROSENBERG WAS ACCEPTED; THEREFORE, HE IS CENSURED AND FINED \$2,500. ** 09/29/00GS: \$2,500 PAID IN FULL ON JANUARY 12, 1993.

Reporting Source: Broker

Regulatory Action Initiated By: NASD, DISTRICT BUSINESS CONDUIT COMMITTEE, DISTRICT #1

Sanction(s) Sought:

Other Sanction(s) Sought:

Date Initiated: 03/30/1992

Docket/Case Number: CO-1920016

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

Product Type:

Other Product Type(s):

Allegations: ALLEGED VIOLATION OF ARTICLE III, SECTION 7 OF THE RULES OF FAIR PRACTICE WHILE MR. ROSENBERG WAS EMPLOYED BY MONTGOMERY SECURITIES.

Current Status: Final

Resolution: Consent

Resolution Date: 11/23/1992

Sanctions Ordered: Censure



Monetary/Fine \$2,500.00

Other Sanctions Ordered:

Sanction Details:

WITHOUT ADMITTING OR DNEYING THE ALLEGATIONS
MADE BY THE NASD AND TO AVOID ANY FURTHER PROCEEDINGS WITH
RESPECT TO THIS MATTER, MR. ROSENBERG CONSENTED TO A CENSURE
AND FINE OF \$2500.

Broker Statement

Not Provided



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 1

Reporting Source: Firm

Employing firm when activities occurred which led to the complaint: CIBC WORLD MARKETS CORP.

Allegations: THE PLAINTIFFS IN THE MATTER ALLEGED THAT MR. ROSENBERG INDUCED THEM TO INVEST IN A PURPORTEDLY LEGITIMATE HEDGE FUND THAT TURNED TO OUT TO BE AN ILLEGAL PONZI SCHEME. THE COMPLAINT FURTHER ALLEGED THAT MR. ROSENBERG FAILED TO CONDUCT PROPER DUE DILIGENCE TO DETERMINE THE TRUE NATURE OF THE HEDGE FUND.

Product Type: Other

Other Product Type(s): HEDGE FUND

Alleged Damages:

Customer Complaint Information

Date Complaint Received: 06/21/2000

Complaint Pending? No

Status: Litigation

Status Date: 06/21/2000

Settlement Amount:

Individual Contribution Amount:

Civil Litigation Information

Court Details: STATE OF MINNESOTA, COUNTY OF HENNEPIN
MC 00-10909

Date Notice/Process Served: 06/21/2000

Litigation Pending? No

Disposition: Settled

Disposition Date: 12/07/2004

Monetary Compensation \$836,350.00

**Amount:****Individual Contribution** \$0.00**Amount:****Firm Statement**

ON DECEMBER 7, 2004, WITHOUT ADMITTING ANY LIABILITY, AND TO AVOID THE TIME COSTS AND UNCERTAINTIES OF LITIGATION, CIBC WORLD MARKETS CORP. SETTLED A COURT MATTER FOR \$836,350.

Reporting Source:

Firm

Employing firm when activities occurred which led to the complaint:

SUTRO & CO., INC.

Allegations:

ALLEGE NEGLIGENCE, BREACH OF FIDUCIARY DUTY, MISREPRESENTATION, STATUTORY VIOLATIONS. DAMAGES ALLEGED IN EXCESS OF \$50,000.00

Product Type:

Mutual Fund(s)

Other Product Type(s):

HEDGE FUND

Alleged Damages:

\$50,000.00

Customer Complaint Information**Date Complaint Received:**

06/29/2000

Complaint Pending?

Yes

Status:

Litigation

Status Date:

06/29/2000

Settlement Amount:**Individual Contribution****Amount:****Civil Litigation Information****Court Details:**

MINNESOTA-HENNEPIN COUNTY -- 4TH JUDICIAL DISTRICT. NO DOCKET NUMBER YET ASSIGNED.

Date Notice/Process Served:

06/29/2000

Litigation Pending?

Yes

Firm Statement

PLAINTIFFS, SOPHISTICATED INVESTOR, INVESTED IN A PRIVATE HEDGE FUND. THE HEDGE FUND MANGER HAS ADMITTED TO ENGAGING INFRAUD AND HAS PLED GUILTY TO CRIMINAL CHARGES.



Reporting Source: Broker

Employing firm when activities occurred which led to the complaint: CIBC WORLD MARKETS CORP.

Allegations: PLAINTIFFS, [CUSTOMERS], FILED A COMPLAINT IN A MINNESOTA STATE COURT, WHICH ALLEGES THAT MR. ROSENBERG INDUCED THEM TO INVEST IN A PURPORTEDLY LEGITIMATE HEDGE FUND THAT TURNED OUT TO BE AN ILLEGAL PONZI SCHEME. THE COMPLAINT FURTHER ALLEGES THAT ROSENBERG FAILED TO CONDUCT PROPER DUE DELIGENCE TO DETERMINE THE TRUE NATURE OF THE HEDGE FUND

Product Type: Other

Other Product Type(s): -HEDGE FUND

Alleged Damages:

Customer Complaint Information

Date Complaint Received: 06/21/2000

Complaint Pending? No

Status: Litigation

Status Date: 06/21/2000

Settlement Amount:

Individual Contribution Amount:

Civil Litigation Information

Court Details: MINNESOTA-HENNEPIN COUNTY--4TH JUDICIAL DISTRICT. MC 00-10909

Date Notice/Process Served: 06/29/2000

Litigation Pending? No

Disposition: Settled

Disposition Date: 12/07/2004

Monetary Compensation Amount: \$836,350.00

Individual Contribution Amount: \$0.00



Broker Statement

ON DECEMBER 7, 2004, WITHOUT ADMITTING ANY LIABILITY, AND TO AVOID THE TIME COSTS AND UNCERTAINTIES OF LITIGATION, CIBC WORLD MARKETS CORP. SETTLED A COURT MATTER FOR \$836,350.



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 1

Reporting Source:	Broker
Employer Name:	MONTGOMERY SECURITIES
Termination Type:	Permitted to Resign
Termination Date:	04/22/1991
Allegations:	N/A UNAUTHORIZED TRADE IN CUSTOMER ACCOUNT (CANDICE NAGEL)
Product Type:	Other
Other Product Types:	
Broker Statement	I WAS PERMITTED TO RESIGN. NOT PROVIDED

End of Report



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