

BrokerCheck Report

VINCENT HARL ROSSI

CRD# 1201864

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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:
 - 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.

VINCENT H. ROSSI

CRD# 1201864

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 MORGAN STANLEY DW INC.**
CRD# 7556
PURCHASE, NY
07/2002 - 08/2005
- B U.S. BANCORP PIPER JAFFRAY INC.**
CRD# 665
MINNEAPOLIS, MN
01/1997 - 07/2002
- B SMITH BARNEY INC.**
CRD# 7059
NEW YORK, NY
07/1994 - 01/1997

Disclosure Events

This broker has been involved in one or more disclosure events involving certain final criminal matters, regulatory actions, civil judicial proceedings, or arbitrations or civil litigations.

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

The following types of disclosures have been reported:

Type	Count
Customer Dispute	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), states and U.S. territories the broker is currently registered and licensed with, the category of each registration, and the date on which the registration became effective. This section also provides, for each 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. 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 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 General Securities Representative Examination	Series 7	12/03/1992
B National Commodity Futures Examination	Series 3	07/26/1983

State Securities Law Exams

Exam	Category	Date
IA Uniform Investment Adviser Law Examination	Series 65	12/21/1992
B Uniform Securities Agent State Law Examination	Series 63	12/10/1992

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 **1** professional designation(s).

Certified Financial Planner

This representative holds or did hold **1** professional designation(s) that may have been used to qualify as an Investment Advisor representative. Please check with the appropriate designation authority for verification that the designation is still in effect. The contact information for these professional designation authorities can be found on the website for the North American Securities Administrators Association at <http://www.nasaa.org>



Registration and Employment History

Registration History

The broker previously was registered with the following securities firms:

Registration Dates	Firm Name	CRD#	Branch Location
B 07/2002 - 08/2005	MORGAN STANLEY DW INC.	7556	PURCHASE, NY
B 01/1997 - 07/2002	U.S. BANCORP PIPER JAFFRAY INC.	665	MINNEAPOLIS, MN
B 07/1994 - 01/1997	SMITH BARNEY INC.	7059	NEW YORK, NY
B 12/1992 - 06/1994	KIDDER, PEABODY & CO. INCORPORATED	7613	NEW YORK, NY
B 11/1983 - 08/1987	SMITH BARNEY, HARRIS UPHAM & CO., INCORPORATED	7059	

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
08/2005 - Present	ICW INVESTMENT ADVISORS, LLC	CHIEF EXECUTIVE OFFICER	Y	SCOTTSDALE, AZ, United States

Disclosure Events



What you should know about reported disclosure events:

- 1. **Disclosure events in BrokerCheck reports come from different sources:**
 - As mentioned at the beginning of this report, information contained in BrokerCheck comes from brokers, their employing firms, and regulators. When more than one source reports information for the same disclosure event, all versions of the event will appear in the BrokerCheck report. The different versions are separated by a solid line with the reporting source labeled.

For your convenience, below is a matrix of the number and status of regulatory 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.

	Final	On Appeal
Customer Dispute	2	N/A



Disclosure Event Details

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.

Customer Dispute - Award / Judgment

This type of disclosure event involves a final, consumer-initiated, investment-related arbitration or civil suit containing allegations of sales practice violations against the named broker that resulted in an arbitration award or civil judgment for the customer.

Disclosure 1 of 2

Reporting Source:	Regulator
Employing firm when activities occurred which led to the complaint:	PIPER JAFFRAY, INC. N/K/A U.S. BANKCORP PIPER JAFFRAY, INC.
Allegations:	BREACH OF CONTRACT, OMISSIONS, MISREPRESENTATION
Product Type:	Mutual Fund(s)
Alleged Damages:	\$78,000.00
Arbitration Information	
Arbitration/Reparation Claim filed with and Docket/Case No.:	NASD - CASE #99-05125
Date Notice/Process Served:	11/15/1999
Arbitration Pending?	No
Disposition:	Award
Disposition Date:	10/06/2000
Disposition Detail:	>10/27/00 RESPONDENTS SHALL BE AND HEREBY ARE JOINTLY AND SEVERALLY LIABLE FOR AND SHALL PAY TO THE CLAIMANTS THE SUM OF \$78,000.00 (COMPENSATORY DAMAGES)INCLUDING INTEREST.

Reporting Source:	Broker
Employing firm when activities occurred which led to the complaint:	U.S. BANCORP PIPER JAFFRAY INC.
Allegations:	CLAIMANTS ALLEGE NEGLIGENCE, BREACH OF FIDUCIARY DUTY, UNSUITABILITY, VIOLATIONS OF FEDERAL AND ARIZONA STATE SECURITIES LAWS, CHURNING.



Product Type: Mutual Fund(s)

Alleged Damages: \$200,000.00

Customer Complaint Information

Date Complaint Received: 11/30/1999

Complaint Pending? No

Status: Arbitration/Reparation

Status Date: 10/06/2000

Settlement Amount:

Individual Contribution Amount:

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: [NATIONAL ASSOCIATION OF SECURITIES DEALERS, INC.](#)

Arbitration/Reparation Claim No.: [CASE NUMBER 99-05125](#)

Date Notice/Process Served: 11/30/1999

Arbitration Pending? No

Disposition: Award to Customer

Disposition Date: 10/06/2000

Monetary Compensation Amount: \$139,500.00

Individual Contribution Amount: \$0.00

Broker Statement

DURING THE ASIA CURRENCY CRISIS IN THE 4TH QUARTER OF 1998, CLAIMANTS TRANSFERRED THEIR ACCOUNTS TO PAINE WEBBER TO HELP THEIR SON-IN-LAW EARN NEW ACCOUNT BONUSES. THEIR ACCOUNTS LOST MONEY DURING THE TRANSFER. IN AN ATTEMPT TO RECOVER MARKET LOSSES, CLAIMANTS ALLEGED PIPER JAFFRAY DID NOT REBATE A 12B-1 MUTUAL FUND FEE THAT WAS IN FACT REBATED TO CLAIMANTS. CLAIMANTS THEN AMENDED THEIR ALLEGATIONS TO OTHER VIOLATIONS AS PREDICATE ACTS TO RECOVER MARKET LOSSES. NASD AWARD OF \$78,000; \$36,000 AS ATTORNEY FEES; \$24,900 AS WITNESS FEES. VINCENT ROSSI WAS NO ASKED AND DID NOT CONTRIBUTE TO THE AWARD.



Reporting Source: Broker

Employing firm when activities occurred which led to the complaint: SMITH BARNEY

Allegations: UNAUTHORIZED TRADING;
UNAUTHORIZED OPTIONS TRADING; UNSUITABILITY.
ALLEGED COMPENSATORY DAMAGES OF \$147,292.74 PLUS INTEREST;
ATTORNEYS' FEES, TREBLE DAMAGES AND PUNITIVE DAMAGES FROM 23
CLAIMS FOR RELIEF.

Product Type: Equity Listed (Common & Preferred Stock)

Alleged Damages: \$147,292.74

Customer Complaint Information

Date Complaint Received: 06/02/1989

Complaint Pending? No

Status: Arbitration/Reparation

Status Date: 04/22/1991

Settlement Amount: \$0.00

Individual Contribution Amount: \$0.00

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: NATIONAL ASSOCIATION OF SECURITIES DEALERS, INC.; 89-1813

Date Notice/Process Served: 06/02/1989

Arbitration Pending? No

Disposition: Award to Customer

Disposition Date: 04/22/1991

Monetary Compensation Amount: \$9,199.60

Individual Contribution Amount: \$0.00

Broker Statement UPON INFORMATION AND BELIEF, CLAIMANTS WERE TRADING STOCKS AND OPTIONS ON MARGIN DURING THE OCTOBER 19, 1987 STOCK



MARKET CRASH AND RECEIVED MARGIN CALLS THAT RESULTED IN SECURITIES LIQUIDATIONS AT LOSSES. CLAIMANTS WERE CLIENTS OF ANOTHER SMITH BARNEY BROKER, [OTHER FIRM EMPLOYEE] AT THE TIME OF THE LOSS. ALL 22 CLAIMS OF CLAIMANTS WERE DISMISSED. ALL RESPONDENTS WERE FOUND JOINTLY AND SEVERALLY LIABLE TO PAY CLAIMANT'S MOTHER, THE SUM OF \$9,199.60 PLUS INTEREST FOR FAILING TO MEET WITH HER AND INSTEAD RELYING ON HER SON USING HER POWER OF ATTORNEY. VINCENT ROSSI WAS NOT ASKED AND DID NOT CONTRIBUTE TO THE AWARD.

End of Report



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