BrokerCheck Report

EDWARD STEVEN ROGERS

CRD# 1582591

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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.

EDWARD S. ROGERS

CRD# 1582591

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:

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

Registration History

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

B **PREFERRED SECURITIES GROUP, INC.**
CRD# 35704
BOCA RATON, FL
01/1999 - 03/1999

B **D.L. CROMWELL INVESTMENTS, INC.**
CRD# 37730
BOCA RATON, FL
11/1995 - 03/1996

B **HUNTER INTERNATIONAL SECURITIES, INC.**
CRD# 34722
POMPANO BCH, FL
02/1994 - 09/1995

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
Regulatory Event	2

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

Principal/Supervisory Exams

	Exam	Category	Date
B	General Securities Principal Examination	Series 24	03/23/1989

General Industry/Product Exams

	Exam	Category	Date
B	National Commodity Futures Examination	Series 3	02/10/1998
B	General Securities Representative Examination	Series 7	11/15/1986

State Securities Law Exams

	Exam	Category	Date
B	Uniform Securities Agent State Law Examination	Series 63	03/05/1987

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 securities firms:

	Registration Dates	Firm Name	CRD#	Branch Location
B	01/1999 - 03/1999	PREFERRED SECURITIES GROUP, INC.	35704	BOCA RATON, FL
B	11/1995 - 03/1996	D.L. CROMWELL INVESTMENTS, INC.	37730	BOCA RATON, FL
B	02/1994 - 09/1995	HUNTER INTERNATIONAL SECURITIES, INC.	34722	POMPANO BCH, FL
B	04/1993 - 11/1993	R.B. WEBSTER INVESTMENTS, INC.	19273	
B	06/1992 - 05/1993	JOSEPHTHAL LYON & ROSS INCORPORATED	3227	NEW YORK, NY
B	09/1991 - 06/1992	CHATFIELD DEAN & CO., INC.	14714	GREENWOOD VILLAGE, CO
B	11/1990 - 01/1991	R.B. WEBSTER INVESTMENTS, INC.	19273	
B	10/1989 - 10/1990	VANGUARD CAPITAL	22081	DEL MAR, CA
B	05/1989 - 10/1989	GSG GLOBAL SECURITIES GROUP INC.	16135	
B	09/1988 - 04/1989	HABERSHEIR SECURITIES, INC.	15166	
B	12/1986 - 09/1988	GRAYSTONE NASH, INC.	10635	

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

No information reported.

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
Regulatory Event	2	0

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.

Regulatory - Final

This type of disclosure event involves a final, formal proceeding initiated by a regulatory authority (e.g., a state securities agency, self-regulatory organization, federal regulator such as the Securities and Exchange Commission, foreign financial regulatory body) for a violation of investment-related rules or regulations.

Disclosure 1 of 2

Reporting Source:	Regulator
Regulatory Action Initiated By:	FL DIVISION OF SECURITIES AND INVESTOR PROTECTION, *See FAQ #1*
Sanction(s) Sought:	
Other Sanction(s) Sought:	
Date Initiated:	09/04/1992
Docket/Case Number:	92 271.DOS
Employing firm when activity occurred which led to the regulatory action:	JOSEPHTHAL LYON GROSS, INC.
Product Type:	
Other Product Type(s):	
Allegations:	ON 9-4-92, THE STATE OF FLORIDA APPROVED SUBJECT INDIVIDUAL AS AN ASSOCIATED PERSON OF JOSEPHTHAL LYON & ROSS, INCORPORATED PURUANT TO AN AGREEMENT.
Current Status:	Final
Resolution:	Consent
Resolution Date:	09/04/1992
Sanctions Ordered:	
Other Sanctions Ordered:	
Sanction Details:	THE TERMS OF THE AGREEMENT PROVIDE, BUT ARE NOT LIMITED TO, THE FOLLOWING: ROGERS AGREES NOT TO ACT IN ANY PRINCIPAL, SUPERVISORY, OR MANAGERIAL CAPACITY WHILE EMPLOYED BY JLR. SUCH CONDITIONS WILL REMAIN IN EFFECT THROUGHOUT THE

	REGISTRATION WITH THIS FIRM OR UNTIL RELIEF IS OTHERWISE SOUGHT AND GRANTED. CONTACT FL REGISTRATION SECTION FOR FURTHER INFORMATION.
Regulator Statement	Not Provided

Reporting Source:	Broker
Regulatory Action Initiated By:	STATE OF FLORIDA
Sanction(s) Sought:	
Other Sanction(s) Sought:	
Date Initiated:	09/04/1992
Docket/Case Number:	92 271.DOS
Employing firm when activity occurred which led to the regulatory action:	JOSEPHTHAL LYON GROSS, INC.
Product Type:	
Other Product Type(s):	
Allegations:	STATE OF FLA FELT THAT PREVIOUSLY DISCLOSED DISCIPLINARY HISTORY WAS CAUSE FOR REGISTRATION AGREEMENT.
Current Status:	Final
Resolution:	Consent
Resolution Date:	09/04/1992
Sanctions Ordered:	
Other Sanctions Ordered:	
Sanction Details:	STATE OF FLORIDA GRANTED REGISTRATION OF REGISTERED REPRESENTATIVE WITH REGISTRATION AGREEMENT.
Broker Statement	Not Provided

Disclosure 2 of 2

Reporting Source:	Regulator

Regulatory Action Initiated By:	FLORIDA
Sanction(s) Sought:	
Other Sanction(s) Sought:	
Date Initiated:	08/25/1989
Docket/Case Number:	1067-S-4/89
Employing firm when activity occurred which led to the regulatory action:	HABERSHEIR SECURITIES, INC.
Product Type:	
Other Product Type(s):	
Allegations:	
Current Status:	Final
Resolution:	Consent
Resolution Date:	08/25/1989
Sanctions Ordered:	Cease and Desist/Injunction
Other Sanctions Ordered:	
Sanction Details:	
Regulator Statement	8/10/89: FORM U6 (8050-20589) DISCLOSES: ON MAY 17, 1989, THE STATE OF FLORIDA ENTERED AN ORDER TO CEASE AND DESIST, ADMINISTRATIVE CHARGES AND COMPLAINT AGAINST RESPONDENTS W.D. FARD SECURITIES, INC. (aka - HABERSHEIR SECURITIES, INC.), RAYMOND HAYDEN (aka - RAYMOND KHALIF), FRANK J. HURT III, SHARIFF MUSTAKEEM, PRESTON SPEARS, RAHIM DAVOUDPOUR, DENNIS BEFUMO AND EDWARD ROGERS. THE STATE HAS DETERMINED THAT RESPONDENTS OPERATED A BRANCH OFFICE IN FORT LAUDERDALE PRIOR TO REGISTRATION OF THE BRANCH, ASSOCIATED PERSONS OF THE DEALER SOLD SECURITIES PRIOR TO BEING REGISTERED TO DO SO, AND THE DEALER DID NOT SUSPENDED OPERATIONS DURING A SUSPENSION IMPOSED BY THE NASD. DOCKET/CASE #1067-S-4/89 *** 10/3/89-AMENDED FORM U6 (8002-25689) DISCLOSES: ON AUGUST

22, 1989, THE STATE OF FLORIDA APPROVED THE APPLICATION FOR REGISTRATION OF EDWARD STEVEN ROGERS AS AN ASSOCIATED PERSON OF GSG GLOBAL SECURITIES GROUP, INC., SUBJECT TO A STIPULATION AND CONSENT AGREEMENT. THE AGREEMENT RESOLVED THE ORDER TO CEASE AND DESIST AND ADMINISTRATIVE CHARGES FILED BY FLORIDA ON MAY 17, 1989, THROUGH ENTRY OF A FINAL ORDER OF CLOSURE ISSUED AUGUST 17, 1989 THAT SERVED TO DISMISS THE ADMINISTRATIVE ACTION UPON PAYMENT OF $1000 TO REIMBURSE THE STATE FOR ADMINISTRATIVE COSTS. THE AGREEMENT FURTHER PLACED CERTAIN RESTRICTIONS UPON HIS REGISTRATION. (DOCKET/CASE NO. 1067-S-4/89; DATED AUGUST 25, 1989.

Reporting Source:	Broker
Regulatory Action Initiated By:	STATE OF FLORIDA
Sanction(s) Sought:	
Other Sanction(s) Sought:	
Date Initiated:	08/25/1989
Docket/Case Number:	1067-S-4/89
Employing firm when activity occurred which led to the regulatory action:	HABERSHEIR SECURITIES, INC.
Product Type:	
Other Product Type(s):	
Allegations:	ORDER ALLEGED THAT HABENSHEIR SEC IN FT LAUDERDALE FL, AT WHICH I WAS EMPLOYED WAS OPERATING AT A TIME WHEN THE MAIN BRANCH OFFICE IN ATLANTA GA HAD BEEN SUSPENDED BY THE NASD. THE ORDER ALSO ALLEGED BOOKS & RECORDS VIOLATIONS ETC IN CONNECTION WITH THE FT LAUDERDALE ADDRESS.
Current Status:	Final
Resolution:	Consent
Resolution Date:	08/25/1989

Sanctions Ordered:	Cease and Desist/Injunction
Other Sanctions Ordered:	
Sanction Details:	I ENTERED INTO A CONSENT & STIPULATION AGREEMENT AND WAS LICENSED BY THE STATE OF FLORIDA PERSUANT TO CERTAIN CONDITIONS. CONDITIONS WERE; SUPERVISION FOR A PRINCIPLE PHYSICALLY PRESENT, AND AGREEMENT NOT TO ENGAGE IN PROHIBITED BUSINESS PRACTICES. CONSENT AGREEMENT WAS FOR 1 YEAR AND TERMINATED IN AUGUST OF 1990.
Broker Statement	FT LAUDERDALE OFFICE OF HABENSHEIR SECURITIES WAS NEVER NOTIFIED BY ATLANTA OFFICE THAT THEY WERE UNDER SUSPISION. THIS WAS PROVED TO THE STATE OF FLORIDA TO BE CORRECT AND THAT IS HOW AGREEMENT WAS REACHED. I HAVE AGREED TO HELP THE STATE OF FLORIDA AGAINST HABERSHEIR SECURITIES.

End of Report

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