

BrokerCheck Report

CHAD MICHAEL ROGERS

CRD# 4029698

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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.

CHAD M. ROGERS

CRD# 4029698

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
- 3 General Industry/Product Exams
- 2 State Securities Law Exams

Registration History

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

- B IFP SECURITIES, LLC**
CRD# 297287
Oklahoma City, OK
06/2022 - 09/2023
- B THE O.N. EQUITY SALES COMPANY**
CRD# 2936
Oklahoma City, OK
04/2013 - 06/2022
- B NORTHWESTERN MUTUAL INVESTMENT SERVICES, LLC**
CRD# 2881
OKLAHOMA CITY, OK
06/2002 - 09/2012

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	4
Termination	1
Judgment/Lien	1

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. 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, 3 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	02/19/2016
B Investment Company Products/Variable Contracts Representative Examination	Series 6	06/22/2002

State Securities Law Exams

Exam	Category	Date
IA Uniform Investment Adviser Law Examination	Series 65	05/31/2024
B Uniform Securities Agent State Law Examination	Series 63	07/13/2002

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).

Chartered Financial Consultant

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 firms:

Registration Dates	Firm Name	CRD#	Branch Location
B 06/2022 - 09/2023	IFP SECURITIES, LLC	297287	Oklahoma City, OK
B 04/2013 - 06/2022	THE O.N. EQUITY SALES COMPANY	2936	Oklahoma City, OK
B 06/2002 - 09/2012	NORTHWESTERN MUTUAL INVESTMENT SERVICES, LLC	2881	OKLAHOMA CITY, OK

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
07/2024 - Present	Merit Advisors, Inc.	Investment Advisor	Y	Oklahoma City, OK, United States
02/2013 - Present	Rogers Financial, Inc.	CEO/President	Y	Oklahoma City, OK, United States
09/2023 - 06/2024	Rogers Financial, Inc.	Chief Compliance Officer	Y	Oklahoma City, OK, United States
07/2022 - 09/2023	Independent Financial Partners, LLC.	Investment Advisor	Y	Tampa, FL, United States
06/2013 - 06/2022	ONESCO/ONIMCO	Investment Advisor	Y	Oklahoma City, OK, United States

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.

1. Rogers Financial Inc., investment-related, 12324 S. Western Avenue, Ste B, Oklahoma City, Ok 73170, Fixed Product Life, Disability, Long-term Care Insurance, Health Insurance, and Fixed Annuity products, CEO/President, Start date: 2/2013, Approximate time: 40 hours/month working and during market hours. 2. Chad M. Rogers, investment-related, 12324 S. Western Avenue, Ste B, Oklahoma City, Ok 73170, Fixed Product Life, Disability, Long-term Care Insurance, Health Insurance, and Fixed Annuity products, Individual Producer, all comp paid personally, Start date:

Registration and Employment History



Other Business Activities, continued

2/2013, Approximate time: 40 hours/month working and during market 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.
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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.
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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	4	0
Termination	N/A	1	N/A
Judgment/Lien	1	N/A	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 4

Reporting Source:	Broker
Regulatory Action Initiated By:	Oklahoma Insurance Department
Sanction(s) Sought:	Bar Civil and Administrative Penalty(ies)/Fine(s) Expulsion
Date Initiated:	06/11/2025
Docket/Case Number:	24-0714-DIS
Employing firm when activity occurred which led to the regulatory action:	IFP Securities, LLC and Independent Financial Partners, LLC
Product Type:	Insurance Other: transferring customers' accounts from previous employer to IFP Securities, LLC
Allegations:	Representative's previous employer filed a complaint with the Oklahoma Insurance Department, alleging that representative had impersonated clients of the previous employer, using clients' personal identifying information, in order to move their accounts to representative's new employer.
Current Status:	Final
Resolution:	Decision



Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct?	Yes
Resolution Date:	06/11/2025
Sanctions Ordered:	Civil and Administrative Penalty(ies)/Fine(s) Suspension
Sanction 1 of 1	
Sanction Type:	Suspension
Capacities Affected:	All capacities
Duration:	One year
Start Date:	06/11/2025
End Date:	06/10/2026
Monetary Sanction 1 of 1	
Monetary Related Sanction:	Civil and Administrative Penalty(ies)/Fine(s)
Total Amount:	\$2,300.00
Portion Levied against individual:	\$2,300.00
Payment Plan:	
Is Payment Plan Current:	
Date Paid by individual:	
Was any portion of penalty waived?	No
Amount Waived:	
Broker Statement	Prior to joining IFP Securities on June 7, 2022, I was a registered representative with another firm where I had worked for nearly a decade. After joining IFP, several of my long-time clients notified me that they were experiencing logistical and administrative challenges with their accounts at my prior firm, and requested my assistance. As a result, the clients sought my assistance and authorized me to contact my prior firm on their behalf. Accordingly, I contacted my previous firm by phone to assist such clients with securing the information necessary to facilitate the requested transactions. In each instance, I assisted the requesting client



pursuant to their specific request, and facilitated the requested transaction. However, by impersonating such clients, I violated IFP's internal policies, as well as certain statutes under the Oklahoma Insurance Code that prohibit such conduct, no matter what the intent or the absence of any harm to the customer. As a result, I was separated from IFP on September 15, 2023. A hearing was held on June 11, 2025 before the Oklahoma Insurance Department regarding my actions. The hearing officer did not find my actions to have been conducted with fraudulent intent. Nevertheless, he found that impersonating clients evidenced deceitful or dishonest conduct, which constitutes a violation of 36 O.S. §1435.13(A) of the Oklahoma Insurance Code, and ordered (i) a suspension of my registration with the Oklahoma Insurance Department for 12 months, (ii) a fine of \$2,000, and (iii) costs of the proceeding in the amount of \$300. NO CLIENTS WERE DISADVANTAGED OR HARMED IN ANY WAY AS A CONSEQUENCE OF MY ACTIONS, AND IN OVER 22 YEARS IN THE INDUSTRY I HAVE NEVER RECEIVED A CUSTOMER COMPLAINT.

Disclosure 2 of 4

Reporting Source:	Regulator
Regulatory Action Initiated By:	FINRA
Sanction(s) Sought:	Other: N/A
Date Initiated:	07/22/2025
Docket/Case Number:	2023079833901
Employing firm when activity occurred which led to the regulatory action:	IFP Securities, LLC
Product Type:	Other: Unspecified securities
Allegations:	Without admitting or denying the findings, Rogers consented to the sanctions and to the entry of findings that he impersonated customers during phone calls to his prior member firm. The findings stated that Rogers impersonated the customers to facilitate the transfer of their accounts to his employing member firm, or, in some instances, to transfer funds to the customers' bank accounts. Although the customers consented to transferring their accounts or funds, none of them gave Rogers permission to impersonate them during these calls.
Current Status:	Final
Resolution:	Acceptance, Waiver & Consent(AWC)



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:	07/22/2025
Sanctions Ordered:	Civil and Administrative Penalty(ies)/Fine(s) Suspension
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 1

Sanction Type:	Suspension
Capacities Affected:	All capacities
Duration:	45 days
Start Date:	08/04/2025
End Date:	09/17/2025

**Monetary Sanction 1 of 1****Monetary Related Sanction:** Civil and Administrative Penalty(ies)/Fine(s)**Total Amount:** \$5,000.00**Portion Levied against individual:** \$5,000.00**Payment Plan:** Deferred**Is Payment Plan Current:****Date Paid by individual:****Was any portion of penalty waived?** No**Amount Waived:****Reporting Source:** Broker**Regulatory Action Initiated By:** FINRA**Sanction(s) Sought:** Civil and Administrative Penalty(ies)/Fine(s)
Suspension**Date Initiated:** 07/22/2025**Docket/Case Number:** [2023079833901](#)**Employing firm when activity occurred which led to the regulatory action:** IFP Securities, LLC and Independent Financial Partners, LLC**Product Type:** No Product**Allegations:** Representative's previous employer filed a Form U5 with FINRA alleging that the representative had impersonated clients of the previous employer to facilitate account transfers or other transactions in the customers' accounts as requested by such customers. Although the clients consented to the transactions, they did not authorize the representative to impersonate them. This conduct was found to violate FINRA Rule 2010.**Current Status:** Final**Resolution:** Acceptance, Waiver & Consent(AWC)



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:	07/22/2025
Sanctions Ordered:	Civil and Administrative Penalty(ies)/Fine(s) Suspension
Sanction 1 of 1	
Sanction Type:	Suspension
Capacities Affected:	All Capacities
Duration:	45 days
Start Date:	
End Date:	
Monetary Sanction 1 of 1	
Monetary Related Sanction:	Civil and Administrative Penalty(ies)/Fine(s)
Total Amount:	\$5,000.00
Portion Levied against individual:	\$5,000.00
Payment Plan:	
Is Payment Plan Current:	Yes
Date Paid by individual:	
Was any portion of penalty waived?	No
Amount Waived:	
Broker Statement	<p>Prior to joining IFP Securities on June 7, 2022, I was a registered representative with another firm where I had worked for nearly a decade. After joining IFP, several of my long-time clients notified me that they were experiencing logistical and administrative challenges with their accounts at my prior firm. As a result, the clients sought my assistance and authorized me to contact my prior firm on their behalf. Accordingly, I contacted my previous firm by phone to assist such clients with securing the information necessary to facilitate the requested transactions. In each instance, I assisted the requesting client pursuant to their specific request,</p>



and facilitated the requested transaction. However, by impersonating such clients, I violated IFP's internal policies, as well as FINRA Rule 2010, no matter what the intent or the absence of any harm to the customer. As a result, I was separated from IFP on September 15, 2023, and this matter was subsequently investigated by FINRA following the filing of my Form U5. While the clients sought my assistance to effect the requested transactions, they did not authorize my impersonation of them to do so. I accepted a 45-day suspension and a \$5,000 fine under an AWC with FINRA. NO CLIENTS WERE DISADVANTAGED OR HARMED IN ANY WAY AS A CONSEQUENCE OF MY ACTIONS, AND IN OVER 22 YEARS IN THE INDUSTRY I HAVE NEVER RECEIVED A CUSTOMER COMPLAINT.

Disclosure 3 of 4	
Reporting Source:	Regulator
Regulatory Action Initiated By:	Oklahoma Department of Securities
Sanction(s) Sought:	Denial
Date Initiated:	02/22/2024
Docket/Case Number:	ODS 24-097
URL for Regulatory Action:	https://www.securities.ok.gov/Enforcement/Orders/?SearchText=rogers&SortID=Filed+Date&Display=2024&SearchBtn=+
Employing firm when activity occurred which led to the regulatory action:	IFP Securities, LLC, and Independent Financial Partners
Product Type:	No Product
Allegations:	While under heightened supervision, Rogers engaged in dishonest and unethical practices in the securities business by impersonating customers in telephone calls to another firm and/or accessing clients' accounts by using the clients' own unique identifying information.
Current Status:	Final
Resolution:	Consent



Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct?	Yes
Resolution Date:	05/23/2024
Sanctions Ordered:	Civil and Administrative Penalty(ies)/Fine(s) Suspension
Sanction 1 of 1	
Sanction Type:	Suspension
Capacities Affected:	All Capacities
Duration:	9 months
Start Date:	09/15/2023
End Date:	06/15/2024
Requalification 1 of 1	
Requalification Type:	Requalification by Exam
Length of time given to requalify:	
Type of exam required :	Series 65 or 66
Has condition been satisfied:	No
Monetary Sanction 1 of 1	
Monetary Related Sanction:	Civil and Administrative Penalty(ies)/Fine(s)
Total Amount:	\$5,000.00
Portion Levied against individual:	\$5,000.00
Payment Plan:	\$1,000 due on 5/31/2024, 7/1/2024, 8/1/2024, 9/1/2024, 10/1/2024
Is Payment Plan Current:	Yes
Date Paid by individual:	05/23/2024
Was any portion of penalty waived?	No

**Amount Waived:****Regulator Statement**

At the conclusion of the ordered suspension, Rogers may reapply for registration under the Oklahoma Uniform Securities Act of 2004 as an agent and/or investment adviser representative of a broker-dealer and/or investment adviser, respectively, that he does not control, as defined for the Forms BD and ADV, respectively. Rogers' registrations will be conditioned on Rogers having an onsite supervisor for two years.

Reporting Source:

Broker

Regulatory Action Initiated By:

OKLAHOMA DEPARTMENT OF SECURITIES

Sanction(s) Sought:

Civil and Administrative Penalty(ies)/Fine(s)
Suspension

Date Initiated:

05/23/2024

Docket/Case Number:

24-097

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

IFP SECURITIES, LLC and Independent Financial Partners, LLC

Product Type:

No Product

Allegations:

Firm notified by previous employer that representative impersonated clients with clients' personal identifying information, in order to move their accounts from one firm to another.

Current Status:

Final

Resolution:

Consent

Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct?

Yes

Resolution Date:

05/23/2024

Sanctions Ordered:

Civil and Administrative Penalty(ies)/Fine(s)
Suspension

Sanction 1 of 1



Sanction Type:	Suspension
Capacities Affected:	All Capacities
Duration:	9 months
Start Date:	09/15/2023
End Date:	06/15/2024
Monetary Sanction 1 of 1	
Monetary Related Sanction:	Civil and Administrative Penalty(ies)/Fine(s)
Total Amount:	\$5,000.00
Portion Levied against individual:	\$5,000.00
Payment Plan:	\$1,000 monthly installments due on the first day of each month beginning May 23, 2024, until paid in full
Is Payment Plan Current:	Yes
Date Paid by individual:	
Was any portion of penalty waived?	No
Amount Waived:	
Broker Statement	<p>Prior to joining IFP on June 7, 2022, I was a financial advisor with another firm where I had worked for nearly a decade. After joining IFP, several of my long-time clients notified me that they were experiencing logistical and administrative challenges with their accounts at my prior firm, and requested my assistance. Among other things, I understood from the clients that they were having difficulty obtaining the information necessary to execute certain financial transactions in their accounts, and/or move their accounts to IFP. As a result, the clients sought my assistance and authorized me to contact my prior firm on their behalf. Accordingly, I contacted my previous firm by phone to assist such clients with securing the information necessary to facilitate the requested transactions. In each instance, I assisted the requesting client pursuant to their specific request, and facilitated the requested transaction. However, by impersonating such clients, I violated IFP's internal policies, as well as certain statutory rules and regulations of FINRA and the Oklahoma Department of Securities that prohibit such conduct, no matter what the intent or the absence of any harm to the customer. As a result, I was separated from IFP on September 15, 2023. NO CLIENTS WERE DISADVANTAGED OR HARMED IN ANY WAY AS A CONSEQUENCE OF MY ACTIONS, AND IN OVER 22 YEARS IN THE INDUSTRY I HAVE NEVER RECEIVED A CUSTOMER COMPLAINT.</p>



Disclosure 4 of 4

Reporting Source:	Regulator
Regulatory Action Initiated By:	Oklahoma department of securities
Sanction(s) Sought:	Censure Civil and Administrative Penalty(ies)/Fine(s)
Date Initiated:	09/14/2017
Docket/Case Number:	18-022
URL for Regulatory Action:	
Employing firm when activity occurred which led to the regulatory action:	The O. N. Equity Sales Company
Product Type:	No Product
Allegations:	Rogers failed to timely report several required disclosures.
Current Status:	Final
Resolution:	Consent
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:	11/17/2017
Sanctions Ordered:	Censure Civil and Administrative Penalty(ies)/Fine(s)
Monetary Sanction 1 of 1	
Monetary Related Sanction:	Civil and Administrative Penalty(ies)/Fine(s)
Total Amount:	\$1,000.00
Portion Levied against individual:	\$1,000.00
Payment Plan:	no

**Is Payment Plan Current:****Date Paid by individual:****Was any portion of penalty waived?** No**Amount Waived:**

Reporting Source: Broker

Regulatory Action Initiated By: OKLAHOMA DEPARTMENT OF SECURITIES

Sanction(s) Sought: Censure
Civil and Administrative Penalty(ies)/Fine(s)

Date Initiated: 09/14/2017**Docket/Case Number:** 18-022

Employing firm when activity occurred which led to the regulatory action: THE O.N EQUITY SALES COMPANY

Product Type: No Product**Allegations:** Rogers failed to timely report several required disclosures.**Current Status:** Final**Resolution:** Consent

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: 11/17/2017

Sanctions Ordered: Censure
Civil and Administrative Penalty(ies)/Fine(s)

Monetary Sanction 1 of 1**Monetary Related Sanction:** Civil and Administrative Penalty(ies)/Fine(s)



Total Amount:	\$1,000.00
Portion Levied against individual:	\$1,000.00
Payment Plan:	No
Is Payment Plan Current:	
Date Paid by individual:	11/24/2017
Was any portion of penalty waived?	No
Amount Waived:	



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: Firm

Employer Name: IFP SECURITIES, LLC

Termination Type: Discharged

Termination Date: 09/15/2023

Allegations: Firm notified by third party that representative impersonated client(s) with personal information via phone call.

Product Type: Other: Moving accounts from one firm to another

Reporting Source: Broker

Employer Name: IFP SECURITIES, LLC and Independent Financial Partners, LLC

Termination Type: Discharged

Termination Date: 09/15/2023

Allegations: Firm notified by third party that representative impersonated client(s) with personal information via phone call.

Product Type: Other: Moving accounts from one firm to another

Broker Statement

Prior to joining IFP on June 7, 2022, I was a financial advisor with another firm where I had worked for nearly a decade. After joining IFP, several of my long-time clients notified me that they were experiencing logistical and administrative challenges with their accounts at my prior firm, and requested my assistance. Among other things, I understood from the clients that they were having difficulty obtaining the information necessary to execute certain financial transactions in their accounts, and/or move their accounts to IFP. As a result, the clients sought my assistance and authorized me to contact my prior firm on their behalf. Accordingly, I contacted my previous firm by phone to assist such clients with securing the information necessary to facilitate the requested transactions. In each instance, I assisted the requesting client pursuant to their specific request, and facilitated the requested transaction. However, by impersonating such clients, I violated IFP's internal policies, as well as certain statutory rules and regulations of FINRA that prohibit such conduct, no matter what the intent or the absence of any harm to the customer. As a result, I was separated from IFP on September 15, 2023. NO CLIENTS WERE DISADVANTAGED OR HARMED IN ANY WAY AS



A CONSEQUENCE OF MY ACTIONS, AND IN OVER 22 YEARS IN THE
INDUSTRY I HAVE NEVER RECEIVED A CUSTOMER COMPLAINT.



Judgment / Lien

This type of disclosure event involves an unsatisfied and outstanding judgments or liens against the broker.

Disclosure 1 of 1

Reporting Source:	Broker
Judgment/Lien Holder:	IRS
Judgment/Lien Amount:	\$68,151.00
Judgment/Lien Type:	Tax
Date Filed with Court:	09/28/2015
Date Individual Learned:	10/28/2016
Type of Court:	Office of Grady County Clerk
Name of Court:	Grady County Clerk's Office
Location of Court:	Chickasha, Oklahoma (Grady County Clerk's Office)
Docket/Case #:	1-2015-016775
Judgment/Lien Outstanding?	Yes
Broker Statement	As of August 1, 2024, this was the only filed lien outstanding, based on a search conducted by my tax counsel.

End of Report



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