BrokerCheck Report

RICHARD ROBERT ROSE

CRD# 404057

Section Title	Page(s)

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

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.

RICHARD R. ROSE

CRD# 404057

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

IA **LPL FINANCIAL LLC**
6116 BROWNSVILLE RD EXIT
STE 103
FINLEYVILLE, PA 15332
CRD# 6413
Registered with this firm since: 08/17/2023

B **LPL FINANCIAL LLC**
6116 BROWNSVILLE RD EXIT
STE 103
FINLEYVILLE, PA 15332
CRD# 6413
Registered with this firm since: 08/15/2023

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
- 1 U.S. state or territory

This broker has passed:

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

Registration History

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

B **TRIAD ADVISORS LLC**
CRD# 25803
FINLEYVILLE, PA
08/2006 - 08/2023

IA **TRIAD ADVISORS, LLC**
CRD# 25803
ATLANTA, GA
08/2006 - 08/2023

B **TOWER SQUARE SECURITIES, INC.**
CRD# 833
FINLEYVILLE, PA
06/2001 - 09/2006

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
Criminal	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 1 U.S. state or territory through his or her employer.

Employment 1 of 1

Firm Name: **LPL FINANCIAL LLC**

Main Office Address: **1055 LPL WAY**
FORT MILL, SC 29715

Firm CRD#: **6413**

	SRO	Category	Status	Date
B	FINRA	General Securities Principal	Approved	08/15/2023
B	FINRA	General Securities Representative	Approved	08/15/2023
B	FINRA	Operations Professional	Approved	08/15/2023

	U.S. State/ Territory	Category	Status	Date
B	Pennsylvania	Agent	Approved	08/16/2023
IA	Pennsylvania	Investment Adviser Representative	Approved	08/17/2023

Branch Office Locations

LPL FINANCIAL LLC
6116 BROWNSVILLE RD EXIT
STE 103
FINLEYVILLE, PA 15332

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 3 state securities law exams.

Principal/Supervisory Exams

	Exam	Category	Date
B	General Securities Principal Examination	Series 24	05/05/1997

General Industry/Product Exams

	Exam	Category	Date
B	Operations Professional Examination	Series 99TO	01/02/2023
B	General Securities Representative Examination	Series 7TO	01/02/2023
B	Securities Industry Essentials Examination	SIE	10/01/2018
B	Registered Representative Examination	Series 1	08/13/1973

State Securities Law Exams

	Exam	Category	Date
IA	Uniform Investment Adviser Law Examination	Series 65	11/27/2006
B IA	Uniform Combined State Law Examination	Series 66	07/16/2001
B	Uniform Securities Agent State Law Examination	Series 63	11/25/1992

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 **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	08/2006 - 08/2023	TRIAD ADVISORS LLC	25803	FINLEYVILLE, PA
IA	08/2006 - 08/2023	TRIAD ADVISORS, LLC	25803	FINLEYVILLE, PA
B	06/2001 - 09/2006	TOWER SQUARE SECURITIES, INC.	833	FINLEYVILLE, PA
IA	06/2001 - 03/2004	TOWER SQUARE SECURITIES, INC.	833	FINLEYVILLE, PA
B	11/1974 - 03/2000	ADVANTAGE CAPITAL CORPORATION	146	ATLANTA, GA
B	08/1973 - 11/1974	WADDELL & REED, INC.	866	

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
08/2023 - Present	LPL Financial	Registered Admin	Y	Finleyville, PA, United States
12/2020 - 07/2023	Triad Advisors	Registered Admin	Y	Norcross, GA, United States
08/2006 - 12/2020	TRIAD ADVISORS, INC.	REGISTERED REP	Y	NORCROSS, GA, 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- 08/2023 / Richard R. Rose / TAX PREP / Investment Related / 10 Hrs mnth / 1 Hr during trading / 2 time spnt prcnt / start date 01/01/1971
2- 08/2023 / ROSE FINANCIAL GROUP / DBA for LPL Business (entity for LPL business) / Investment Related / 160 hrs mnth / 8 hrs during trading / 100 time spnt prcnt
3- 08/2023 / Richard R. Rose / Tax Prep/Accounting/CPA / Investment Related / 10 hrs mnth / 1 hrs during trading / 2 time spnt prcnt / start date 01/01/1971

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
Criminal	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 discloure 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.

Criminal - Final Disposition

This type of disclosure event involves a criminal charge against the broker that has resulted in a conviction, acquittal, dismissal, or plea. The criminal matter may pertain to any felony or certain misdemeanor offenses, including bribery, perjury, forgery, counterfeiting, extortion, fraud, and wrongful taking of property.

Disclosure 1 of 1

Reporting Source:	Broker
Organization Name (if charge(s) were brought against an organization over which broker exercised control):	N/A
Court Details:	COMMONWEALTH OF PENNSYLVANIA ALLEGHENY COUNTY, PA STATE COURT DOCKET NUMBER: CR-0000232-99
Charge Date:	09/20/1999
Charge Details:	1. ONE COUNT, 2. FELONY CRIMINAL CONSPIRACY, 3. PLEA OF NOT GUILTY.
Felony?	Yes
Current Status:	Final
Status Date:	10/27/2000
Disposition Details:	A. DISMISSED OCTOBER 27, 2000 BY THE COURT OF COMMON PLEAS OF ALLEGHENY COUNTY, PENNSYLVANIA
Broker Statement	I WAS CHARGED IN SEPTEMBER OF 1999 WITH ONE COUNT OF CRIMINAL CONSPIRACY IN CONNECTION WITH CERTAIN ALLEGED ACTIVITIES OF MY FATHER, ROBERT C. ROSE. A CRIMINAL COMPLAINT WAS FILED BY THE DISTRICT ATTORNEY ERRONEOUSLY ACCUSING ME OF CONSPIRING WITH MY FATHER TO FACILITATE THE THEFT OF FUNDS BELONGING TO CERTAIN OF HIS CLIENTS AND FRIENDS. THE EVIDENCE SHOWED THAT I HAD NO

INVOLVEMENT WHATSOEVER WITH MY FATHER IN ANY ALLEGED IMPROPRIETIES. THE CRIMINAL CHARGE AGAINST ME WAS DISMISSED BY THE COURT ON OCTOBER 27, 2000 FOR FOR LACK OF EVIDENCE.

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:	ADVANTAGE CAPITAL CORPORATION
Allegations:	CORRESPONDENCE FROM THE CLIENT'S ATTORNEY INDICATED THAT CUSTOMER PURCHASED OVER $90,000 OF WHAT WAS PURPORTED TO BE TAX-FREE MUNICIPAL BONDS FROM 1988 TO 1999 THROUGH THIRD PARTY, WHO IS RICHARD ROSE'S FATHER. SINCE THE REP'S FATHER IS NOT LICENSED, THE CLIENT ALLEGES THAT IT WAS UNDERSTOOD THAT THE PURCHASES WERE BEING MADE THROUGH RICHARD ROSE. THE MONEY WAS NOT INVESTED THROUGH OUR FIRM AND THE FUNDS HAVE NOT BEEN RECOVERED.
Product Type:	Other
Alleged Damages:	$150,000.00

Customer Complaint Information

Date Complaint Received:	09/29/1999
Complaint Pending?	No
Status:	Settled
Status Date:	05/21/2001
Settlement Amount:	$46,316.66
Individual Contribution Amount:	$0.00

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.:	NASD CASE NO. 00-02817
Date Notice/Process Served:	09/29/1999
Arbitration Pending?	No
Disposition:	Settled
Disposition Date:	05/21/2001

Monetary Compensation Amount:	$46,316.66
Individual Contribution Amount:	$0.00

Reporting Source:	Broker
Employing firm when activities occurred which led to the complaint:	ADVANTAGE CAPITAL CORPORATION
Allegations:	CORRESPONENCE FROM THE CLIENT'S ATTORNEY INDICATED THAT CUSTOMER PURCHASED OVER $90,000 OF WHAT WAS PURPOSED TO BE TAX-FREE MUNICIPAL BONDS FROM 1988 TO 1999 THROUGH THIRD PARTY, WHO IS RICHARD ROSE'S FATHER. SINCE THE REP'S FATHER IS NOT LICENSED, THE CLIENT ALLEGES THAT IT WAS UNDERSTOOD THAT THE PURCHASES WERE BEING MADE THROUGH RICHARD ROSE. THE MONEY WAS NOT INVESTED THROUGH OUR FIRM AND THE FUNDS HAVE NOT BEEN RECOVERED.
Product Type:	Other
Alleged Damages:	$150,000.00

Customer Complaint Information

Date Complaint Received:	09/29/1999
Complaint Pending?	No
Status:	Arbitration/Reparation
Status Date:	05/21/2001
Settlement Amount:	
Individual Contribution Amount:	

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.:	ARBITRATION CLAIM NASD ARBITRATION NO 00-02817
Date Notice/Process Served:	09/29/1999
Arbitration Pending?	No
Disposition:	Settled

Disposition Date:	05/21/2001
Monetary Compensation Amount:	$46,316.66
Individual Contribution Amount:	$0.00
Broker Statement	AN ARBITRATION CLAIM WAS FILED BY [CUSTOMER] IN JULY 2000. THE CLAIM WAS FOR DAMAGES ARISING OUT OF THE VERY SAME ALLEGATIONS WHICH WERE REFERENCED IN DRP 14A1B. THERE WAS NO BASIS FOR THIS ACTION AND WAS SETTLED BY ADVANTAGE CAPITAL CORPORATION DUE TO THE POTENTIAL COST OF LITIGATION WITH NO CONTRIBUTION FROM MYSELF.

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:	ADVANTAGE CAPITAL CORPORATION
Termination Type:	Voluntary Resignation
Termination Date:	02/16/2000
Allegations:	AS A RESULT OF A COMPLAINT FILED BY [CUSTOMER], AN NASD CONDUCT RULE 3070 INVESTIGATION WAS CONDUCTED BY THE NASD REGULATION (EXAMINATION NO. E9A990826).
Product Type:	No Product
Other Product Types:	
Broker Statement	ADVANTAGE CAPITAL REQUIRED THAT I ANSWER CERTAIN QUESTIONS WHICH MY ATTORNEY WOULD NOT ALLOW ME TO ANSWER DUE TO THE PENDING CRIMINAL CARGES NOTED ON DRP 23A(1)(B). I VOLUNTARARILY RESIGNED DUE TO THE ADVICE OF MY ATTORNEY, NOT BECAUSE I HAD ENGAGED IN ANY IMPROPER CONDUCT. IN OCTOBER, 2000, NASD REGULATION FOUND THAT NO ACTION WAS WARRANTED REGARDING [CUSTOMER]'S COMPLAINT.

End of Report

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