

BrokerCheck Report

MELVIN ROKEACH

CRD# 4124577

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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.

MELVIN ROKEACH

CRD# 4124577

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 MAY CAPITAL GROUP, L.L.C.**
CRD# 37081
NEW YORK, NY
03/2008 - 09/2018
- B PARK AVENUE SECURITIES LLC**
CRD# 46173
NEW YORK, NY
03/2000 - 02/2003

**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	3
Criminal	1
Customer Dispute	1
Termination	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	09/24/2018
B General Securities Representative Examination	Series 7	09/24/2001
B Investment Company Products/Variable Contracts Representative Examination	Series 6	03/03/2000

State Securities Law Exams

Exam	Category	Date
IA Uniform Investment Adviser Law Examination	Series 65	11/19/2001
B Uniform Securities Agent State Law Examination	Series 63	03/27/2000

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 03/2008 - 09/2018	MAY CAPITAL GROUP, L.L.C.	37081	NEW YORK, NY
B 03/2000 - 02/2003	PARK AVENUE SECURITIES LLC	46173	NEW YORK, NY

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
10/2013 - Present	STRATEGIC WEALTH MANAGEMENT GROUP	PORTFOLIO STRATEGIST	Y	NEW YORK, NY, United States
01/2006 - Present	RAMPART AMERICA	INSURANCE BROKER	N	FORT LEE, NJ, 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.

INSURANCE BROKER (LIFE AND HEALTH, PROPERTY & CASUALTY) 10 HOURS PER WEEK. NY, NY. STRATEGIC ADVISORS LLC
INDEPENDENT CONTRACTOR FOR REGISTERED INVESTMENT ADVISORY FIRM- ESTIMATED 10 HOURS PER WEEK NY NY

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	3	0
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 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 3

Reporting Source:	Regulator
Regulatory Action Initiated By:	NASD
Sanction(s) Sought:	
Date Initiated:	11/24/2003
Docket/Case Number:	C10030106
Employing firm when activity occurred which led to the regulatory action:	PARK AVENUE SECURITIES, LLC
Product Type:	No Product
Allegations:	NASD RULE 2110, IM-1000-1 - RESPONDENT WILLFULLY FAILED TO DISCLOSE MATERIAL FACTS ON HIS FORM U4.
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: 11/24/2003

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

Regulator Statement THE SETTLEMENT INCLUDES A FINDING THAT ON OR ABOUT OCTOBER 21, 1999, ROKEACH WILLFULLY FAILED TO DISCLOSE A MATERIAL FACT ON A FORM U4 AND ON OR ABOUT APRIL 24, 2000, HE WILLFULLY MISREPRESENTED A MATERIAL FACT ON A FORM U4 AMENDMENT AND THAT UNDER SECTION 15(B)(4)(A) OF THE SECURITIES EXCHANGE ACT OF 1934 AND ARTICLE III, SECTION 4(F) OF THE NASD BY-LAWS, ROKEACH IS SUBJECT TO A STATUTORY DISQUALIFICATION WITH RESPECT TO ASSOCIATION WITH A MEMBER.
WITHOUT ADMITTING OR DENYING THE ALLEGATIONS, ROKEACH CONSENTED TO THE DESCRIBED SANCTIONS AND TO THE ENTRY OF FINDINGS, THEREFORE, HE IS FINED \$7,500 AND SUSPENDED FROM ASSOCIATION WITH ANY NASD MEMBER IN ANY CAPACITY FOR SIX MONTHS. SUSPENSION EFFECTIVE JANUARY 5, 2004 TO JULY 4, 2004. FINES PAID.

Reporting Source: Broker

Regulatory Action Initiated By: NATIONAL ASSOCIATION OF SECURITIES DEALERS INC.

Sanction(s) Sought: Suspension

Other Sanction(s) Sought: \$7,500 FINE

Date Initiated: 09/24/2003

Docket/Case Number: C1003

Employing firm when activity occurred which led to the regulatory action: PARK AVENUE SECURITIES LLC

Product Type: No Product

Other Product Type(s):



Allegations:	ON OR ABOUT 10/21/99 I FAILED TO DISCLOSE A MATERIAL FACT ON A FORM U-4 AND MISUNDERSTOOD THE QUESTIONS AND ANSWERED INCORRECTLY.
Current Status:	Final
Resolution:	Acceptance, Waiver & Consent(AWC)
Resolution Date:	12/09/2003
Sanctions Ordered:	Monetary/Fine \$7,500.00 Suspension
Other Sanctions Ordered:	
Sanction Details:	A SUSPENSION FROM ASSOCIATING WITH ANY NASD MEMBER FIRM IN ANY CAPACTIY FOR SIX MONTHS BEGINNING JANUARY 5, 2004 AND ENDING JULY 4, 2004 AND A FINE IN THE AMOUNT OF \$7,500. SUBJECT TO A STATUATORY DISQUALIFICATION WITH RESPECT TO ASSOCIATION WITH A MEMBER. I MAY NOT BE ASSOCIATED WITH ANY NASD MEMBER IN ANY CAPACTIY INCLUDING CLERICAL OR MINISTERIAL FUNCTIONS DURING THE PERIOD OF SUSPENSION

Disclosure 2 of 3

Reporting Source:	Broker
Regulatory Action Initiated By:	STATE OF NEW YORK DEPARTMENT OF INSURANCE
Sanction(s) Sought:	Other
Other Sanction(s) Sought:	STIPULATION IMPOSING A PENALTY OF \$500.00 DATED 7/30/02.
Date Initiated:	06/04/2002
Docket/Case Number:	CSB-221426
Employing firm when activity occurred which led to the regulatory action:	PARK AVENUE SECURITIES
Product Type:	Insurance
Other Product Type(s):	
Allegations:	ANSWERED IN THE NEGATIVE WHEN ASKED WHETHER OTHER THAN TRAFFIC INFRACTIONS I HAD EVER BEEN CONVICTED IN ANY CRIMINAL ACTION WHEN IN FACT I PLED GUILTY OF FILING AN INCORRECT TAX



RETURN IN VIOLATION OF TITLE 26 US CODE, SECTION 7206(1) A FELONY ON OR ABOUT NOVEMBER 5, 1987.

Current Status: Final

Resolution: Stipulation and Consent

Resolution Date: 07/30/2002

Sanctions Ordered: Monetary/Fine \$500.00

Other Sanctions Ordered:

Sanction Details: N/A

Disclosure 3 of 3

Reporting Source: Firm

Regulatory Action Initiated By: THE TREASURER OF THE STATE DEPARTMENT OF FLORIDA

Sanction(s) Sought: Other

Other Sanction(s) Sought: PROBATION FOR 1 YEAR AND \$1,500 PENALTY.

Date Initiated: 10/05/2001

Docket/Case Number: 42880-01-AG

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

Product Type: Insurance

Other Product Type(s):

Allegations: ON HIS APPLICATION UNDER OATH FOR AN INSURANCE LICENSE TO THE STATE OF FLORIDA DEPARTMENT OF INSURANCE ("FL DOI"), MR. ROKEACH FAILED TO DISCLOSE HIS FELONY GUILTY PLEA TO FEDERAL INCOME TAX FRAUD CHARGES AND SUBSEQUENT SENTENCE OF THREE (3) YEARS PROBATION AND \$3000 RESTITUTION PAYMENT. THE FL DOI ALLEGED THAT MR. ROKEACH'S SWORN DENIAL OF ANY PRIOR FELONY CHARGES WAS A VIOLATION OF THE FLORIDA INSURANCE CODE AND RULES OF THE FL DOI.

Current Status: Final

Resolution: Consent



Resolution Date: 02/26/2002

Sanctions Ordered: Monetary/Fine \$1,500.00

Other Sanctions Ordered: 1 YEAR PROBATION

Sanction Details: AN ADMINISTRATIVE PENALTY OF \$1500 AND A 1 YEAR PROBATION WAS ASSESSED SOLELY AGAINST MR. ROKEACH.

Firm Statement MR. ROKEACH CONSENTED TO AN ADMINISTRATIVE ORDER IMPOSING A PENALTY OF \$1,500 AND A 1 YEAR PROBATION.

Reporting Source: Broker

Regulatory Action Initiated By: THE TREASURER OF THE STATE OF FLORIDA DEPARTMENT OF INSURANCE

Sanction(s) Sought: Other

Other Sanction(s) Sought: PROBATION PURSUANT TO SECTION 626.691 FLORIDA STATUTES FOR A PERIOD OF ONE (1) YEAR.

Date Initiated: 12/04/2000

Docket/Case Number: 42880-01-AG

Employing firm when activity occurred which led to the regulatory action: WEALTH ADVISORY GROUP LLC

Product Type: No Product

Other Product Type(s):

Allegations: RESPONDENT MADE A MATERIAL MISSTATEMENT ON HIS AUGUST 7, 2000, APPLICATION FOR LICENSURE BY FAILING TO DIVULGE THAT ON OR ABOUT NOVEMBER 5, 1987, HE PLED GUILTY TO INCOME TAX FRAUD, A FELONY, IN THE UNITED STATES DISTRICT COURT, DISTRICT OF NEW JERSEY.

Current Status: Final

Resolution: Stipulation and Consent

Resolution Date: 02/26/2002

Sanctions Ordered: Monetary/Fine \$1,500.00

Other Sanctions Ordered: PROBATION PURSUANT TO SECTION 626.691 FLORIDA STATUTES FOR A PERIOD OF ONE (1) YEAR.



Sanction Details:

RESPONDENT SHALL PAY AN ADMINISTRATIVE PENALTY IN THE AMOUNT OF ONE THOUSAND FIVE HUNDRED DOLLARS (\$1500) AS AUTHORIZED BY 626.681, FLORIDA STATUTES, WITHIN THIRTY (30) DAYS OF THE ENTRY OF THE CONSENT ORDER. RESPONDENT HAS PAID THE FINE WITHIN THE SPECIFIED TIME AND HIS LICENSE IS CURRENTLY ACTIVE.



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):	NONE
Court Details:	UNITED STATES DISTRICT COURT OF NEW JERSEY 26 U.S.C. 7206(1)CASE NO. 87-00336
Charge Date:	07/01/1987
Charge Details:	A PLEA OF GUILTY TO ONE COUNT OF A TWO COUNT INFORMATION WAS MADE IN JULY 1987 FOR VIOLATION OF TITLE 26 U.S.C. SECTION 7206(1) FOR THE YEAR 1981.
Felony?	Yes
Current Status:	Final
Status Date:	11/05/1987
Disposition Details:	DISPOSITION PLED GUILTY, JULY 22, 1987, 11/5/87 SENTENCE TO 3 YEARS PROBATION, \$3,000.00 FINE PAID, EARLY DISCHARGE FROM PROBATION 11/21/89.
Broker Statement	I RECEIVE ERRONEOUS 1099'S IN 1981 AND 1982, AND PLED GUILTY KNOWING ADDITIONAL INCOME WAS NOT REPORTED. I FILED AN AMENDED TAX RETURNS FOR THOSE YEARS, PAID THE TAXES AND PENALTIES, AND THE MATTER WAS CLOSED. I HAVE NO FURTHER INCIDENTS.



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:	MAY CAPITAL GROUP, L.L.C.
Allegations:	Statement of Claim names May Capital Group, LLC as the Respondent. Melvin Rokeach is identified as the broker/representative of the firm. Claims against the Respondent are misrepresentation, failure to conduct reasonable due diligence, and failure to supervise.
Product Type:	Direct Investment-DPP & LP Interests
Alleged Damages:	\$125,000.00
Is this an oral complaint?	No
Is this a written complaint?	No
Is this an arbitration/CFTC reparation or civil litigation?	Yes
Arbitration/Reparation forum or court name and location:	FINRA Dispute Resolution Services
Docket/Case #:	24-01312
Filing date of arbitration/CFTC reparation or civil litigation:	06/13/2024

Customer Complaint Information

Date Complaint Received:	06/17/2024
Complaint Pending?	No
Status:	Settled
Status Date:	08/13/2024
Settlement Amount:	\$50,000.00
Individual Contribution Amount:	\$50,000.00



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:	PARK AVENUE
Termination Type:	Discharged
Termination Date:	01/30/2003
Allegations:	SENDING CORRESPONDENCE THAT DID NOT GO THROUGH COMPLIANCE
Product Type:	No Product
Other Product Types:	
Broker Statement	UNDER SUPERVISION AND DID NOT FOLLOW PROCEDURES

End of Report



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