

## BrokerCheck Report

**SUSAN ELIZABETH ROHE**

CRD# 4398022

<u>Section Title</u>	<u>Page(s)</u>
Report Summary	1
Broker Qualifications	2 - 6
Registration and Employment History	8 - 9



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](http://brokercheck.finra.org)



For additional information about the contents of this report, please refer to the User Guidance or [www.finra.org/brokercheck](http://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.](http://www.finra.org)

**SUSAN E. ROHE**

CRD# 4398022

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

**IA STRATEGIC ADVISERS LLC**  
 AUSTIN, TX  
 CRD# 104555  
 Registered with this firm since: 03/31/2025

**B FIDELITY BROKERAGE SERVICES LLC**  
 ONE DESTINY WAY  
 WESTLAKE, TX 76262  
 CRD# 7784  
 Registered with this firm since: 02/04/2020

**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:**

- 2 Self-Regulatory Organizations
- 51 U.S. states and territories

**This broker has passed:**

- 0 Principal/Supervisory Exams
- 3 General Industry/Product Exams
- 3 State Securities Law Exams

**Registration History**

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

**IA FIDELITY PERSONAL AND WORKPLACE ADVISORS**

CRD# 288590  
 BOSTON, MA  
 04/2020 - 03/2025

**IA BLACKROCK INVESTMENT MANAGEMENT, LLC**

CRD# 108928  
 PRINCETON, NJ  
 05/2008 - 04/2017

**B BLACKROCK INVESTMENTS, LLC**

CRD# 38642  
 PRINCETON, NJ  
 05/2008 - 04/2017

**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? **No**



## 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 2 SROs and is licensed in 51 U.S. states and territories through his or her employer.**

### Employment 1 of 2

Firm Name: **FIDELITY BROKERAGE SERVICES LLC**

Main Office Address: **900 SALEM STREET  
SMITHFIELD, RI 02917**

Firm CRD#: **7784**

	SRO	Category	Status	Date
B	FINRA	General Securities Representative	Approved	02/04/2020
B	New York Stock Exchange	General Securities Representative	Approved	02/04/2020

	U.S. State/ Territory	Category	Status	Date
B	Alabama	Agent	Approved	03/31/2021
B	Alaska	Agent	Approved	03/31/2021
B	Arizona	Agent	Approved	03/31/2021
B	Arkansas	Agent	Approved	03/31/2021
B	California	Agent	Approved	11/11/2020
B	Colorado	Agent	Approved	03/31/2021
B	Connecticut	Agent	Approved	03/31/2021
B	Delaware	Agent	Approved	03/31/2021
B	District of Columbia	Agent	Approved	03/31/2021
B	Florida	Agent	Approved	02/04/2020
B	Georgia	Agent	Approved	01/12/2021

## Broker Qualifications



### Employment 1 of 2, continued

	U.S. State/ Territory	Category	Status	Date
B	Hawaii	Agent	Approved	03/31/2021
B	Idaho	Agent	Approved	03/31/2021
B	Illinois	Agent	Approved	03/31/2021
B	Indiana	Agent	Approved	03/31/2021
B	Iowa	Agent	Approved	03/31/2021
B	Kansas	Agent	Approved	03/31/2021
B	Kentucky	Agent	Approved	03/31/2021
B	Louisiana	Agent	Approved	03/31/2021
B	Maine	Agent	Approved	03/31/2021
B	Maryland	Agent	Approved	03/31/2021
B	Massachusetts	Agent	Approved	03/31/2021
B	Michigan	Agent	Approved	03/31/2021
B	Minnesota	Agent	Approved	03/31/2021
B	Mississippi	Agent	Approved	03/31/2021
B	Missouri	Agent	Approved	03/31/2021
B	Montana	Agent	Approved	03/31/2021
B	Nebraska	Agent	Approved	03/31/2021
B	Nevada	Agent	Approved	03/31/2021
B	New Hampshire	Agent	Approved	03/04/2021
B	New Jersey	Agent	Approved	02/11/2021
B	New Mexico	Agent	Approved	03/31/2021



## Broker Qualifications

### Employment 1 of 2, continued

	U.S. State/ Territory	Category	Status	Date
B	New York	Agent	Approved	01/06/2021
B	North Carolina	Agent	Approved	03/04/2021
B	North Dakota	Agent	Approved	03/31/2021
B	Ohio	Agent	Approved	04/01/2021
B	Oklahoma	Agent	Approved	03/31/2021
B	Oregon	Agent	Approved	03/31/2021
B	Pennsylvania	Agent	Approved	03/31/2021
B	Rhode Island	Agent	Approved	03/31/2021
B	South Carolina	Agent	Approved	03/31/2021
B	South Dakota	Agent	Approved	03/31/2021
B	Tennessee	Agent	Approved	03/31/2021
B	Texas	Agent	Approved	03/10/2021
B	Utah	Agent	Approved	03/31/2021
B	Vermont	Agent	Approved	03/31/2021
B	Virginia	Agent	Approved	01/06/2021
B	Washington	Agent	Approved	03/31/2021
B	West Virginia	Agent	Approved	03/31/2021
B	Wisconsin	Agent	Approved	03/31/2021
B	Wyoming	Agent	Approved	03/31/2021

### Branch Office Locations



Broker Qualifications

Employment 1 of 2, continued  
FIDELITY BROKERAGE SERVICES LLC  
ONE DESTINY WAY  
WESTLAKE, TX 76262

Employment 2 of 2  
Firm Name: STRATEGIC ADVISERS LLC  
Main Office Address: 155 SEAPORT BLVD  
BOSTON, MA 02210-2698  
Firm CRD#: 104555

U.S. State/ Territory	Category	Status	Date
IA Texas	Investment Adviser Representative	Approved	03/31/2025

Branch Office Locations

AUSTIN, TX



## 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 3 state securities law exams.**

### Principal/Supervisory Exams

Exam	Category	Date
No information reported.		

### General Industry/Product Exams

Exam	Category	Date
<b>B</b> General Securities Representative Examination	Series 7TO	02/04/2020
<b>B</b> Securities Industry Essentials Examination	SIE	04/07/2017
<b>B</b> General Securities Representative Examination	Series 7	04/08/2002

### State Securities Law Exams

Exam	Category	Date
<b>B</b> <b>IA</b> Uniform Combined State Law Examination	Series 66	03/09/2020
<b>IA</b> Uniform Investment Adviser Law Examination	Series 65	09/10/2002
<b>B</b> Uniform Securities Agent State Law Examination	Series 63	04/29/2002

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/](http://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
IA 04/2020 - 03/2025	FIDELITY PERSONAL AND WORKPLACE ADVISORS	288590	TAMPA, FL
IA 05/2008 - 04/2017	BLACKROCK INVESTMENT MANAGEMENT, LLC	108928	PRINCETON, NJ
B 05/2008 - 04/2017	BLACKROCK INVESTMENTS, LLC	38642	PRINCETON, NJ
IA 10/2005 - 02/2008	CHASE INVESTMENT SERVICES CORP.	25574	CENTENNIAL, CO
B 10/2005 - 02/2008	CHASE INVESTMENT SERVICES CORP.	25574	CENTENNIAL, CO
B 04/2005 - 07/2005	CHASE INVESTMENT SERVICES CORP.	25574	CHICAGO, IL
IA 04/2005 - 07/2005	CHASE INVESTMENT SERVICES CORP.	25574	ISLIP, NY
B 10/2004 - 03/2005	BANC OF AMERICA INVESTMENT SERVICES, INC.	16361	BOSTON, MA
IA 10/2004 - 03/2005	BANC OF AMERICA INVESTMENT SERVICES, INC.	16361	GARDEN CITY, NY
B 03/2004 - 10/2004	QUICK & REILLY, INC.	11217	NEW YORK, NY
IA 03/2004 - 10/2004	QUICK & REILLY, INC.	11217	GARDEN CITY, NY
B 04/2002 - 03/2004	CITIGROUP GLOBAL MARKETS INC.	7059	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
03/2025 - Present	Fidelity Investments	Mass Transfer	Y	BOSTON, MA, United States
12/2019 - Present	Fidelity Brokerage Services LLC	Financial Consultant	Y	Tampa, FL, United States



## Registration and Employment History

### Employment History, continued

Employment	Employer Name	Position	Investment Related	Employer Location
04/2017 - 11/2019	BLACKROCK INVESTMENTS, INC.	Vice President - Wholesaler	Y	London, United Kingdom
05/2008 - 03/2017	BLACKROCK INVESTMENTS, INC.	Vice President	Y	PLAINSBORO, 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.

No information reported.

## End of Report



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