



IAPD Report

LEE EVAN ROSENBERG

CRD# 1010402

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Please contact FINRA with any concerns.



IAPD Information About Representatives

IAPD offers information on all current-and many former representatives. Investors are strongly encouraged to use IAPD to check the background of representatives before deciding to conduct, or continue to conduct, business with them.

What is included in a IAPD report?

IAPD reports for individual representatives include information such as employment history, professional qualifications, disciplinary actions, criminal convictions, civil judgments and arbitration awards.

It is important to note that the information contained in an IAPD 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 representative, or concluded through a negotiated settlement with no admission or finding of wrongdoing.

Where did this information come from?

The information contained in IAPD comes from the Investment Adviser Registration Depository (IARD) and FINRA's Central Registration Depository, or CRD, (see more on CRD below) and is a combination of:

- information the states require representatives and firms to submit as part of the registration and licensing process, and
- information that state regulators report regarding disciplinary actions or allegations against representatives.

How current is this information?

Generally, representatives are required to update their professional and disciplinary information in IARD within 30 days.

Need help interpreting this report?

For help understanding how to read this report, please consult NASAA's IAPD Tips page <http://www.nasaa.org/IAPD/IARReports.cfm>

What if I want to check the background of an Individual Broker or Brokerage Firm?

To check the background of an Individual Broker or Brokerage firm, you can search for the firm or individual in IAPD. If your search is successful, click on the link provided to view the available licensing and registration information in FINRA's BrokerCheck website.

Are there other resources I can use to check the background of investment professionals?

It is recommended that you learn as much as possible about an individual representative or Investment Adviser firm before deciding to work with them. Your state securities regulator can help you research individuals and certain firms doing business in your state. The contact information for state securities regulators can be found on the website of the North American Securities Administrators Association <http://www.nasaa.org>



Report Summary

LEE EVAN ROSENBERG (CRD# 1010402)

The report summary provides an overview of the representative's professional background and conduct. The information contained in this report has been provided by the representative, investment adviser and/or securities firms, and/or securities regulators as part of the states' investment adviser registration and licensing process. The information contained in this report was last updated by the representative, a previous employing firm, or a securities regulator on **04/08/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	LPL FINANCIAL LLC	CRD# 6413	07/10/2025
IA	LPL FINANCIAL LLC	CRD# 6413	07/10/2025

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **34** jurisdiction(s).

Is this representative currently Inactive or Suspended with any regulator? **No**

Note: Not all jurisdictions require IAR registration or may have an exemption from registration.

Additional information including this individual's qualification examinations and professional designations is available in the Detailed Report.

REGISTRATION HISTORY

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

	FIRM	CRD#	LOCATION	REGISTRATION DATES
IA	CADARET GRANT & CO INC	10641	BOCA RATON, FL	01/11/2011 - 07/10/2025
B	CADARET, GRANT & CO., INC.	10641	BOCA RATON, FL	02/05/1990 - 07/10/2025
IA	AMERICAN INVESTMENT PLANNERS LLC	155558	BOCA RATON, FL	02/11/2011 - 12/19/2022

For additional registration and employment history details as reported by the individual, refer to the Registration and Employment History section of the Detailed Report.

DISCLOSURE INFORMATION

Disclosure events include certain criminal charges and convictions, formal investigations and disciplinary actions initiated by regulators, customer disputes and arbitrations, and financial disclosures such as bankruptcies and unpaid judgments or liens.

Are there events disclosed about this representative? **Yes**

The following types of events are disclosed about this representative:

Type	Count
Civil Event	1
Customer Dispute	5



Qualifications

REGISTRATIONS

This section provides the SRO, states and U.S. territories in which the representative is currently registered and licensed, the category of each registration, and the date on which the registration becomes effective. This section also provides, for each firm with which the representative is currently employed, the address of each location where the representative works. This individual is currently registered with **34** jurisdiction(s) and 1 SRO(s) through his or her employer(s).

Employment 1 of 1

Firm Name: **LPL FINANCIAL LLC**
Main Address: 1055 LPL WAY
FORT MILL, SC 29715
Firm ID#: 6413

	Regulator	Registration	Status	Date
B	FINRA	Direct Participation Programs	Approved	07/10/2025
B	FINRA	Invest. Co and Variable Contracts	Approved	07/10/2025
B	FINRA	General Securities Representative	Approved	10/13/2025
B	Arizona	Agent	Approved	07/10/2025
B	California	Agent	Approved	07/10/2025
B	Colorado	Agent	Approved	07/10/2025
B	Connecticut	Agent	Approved	07/10/2025
B	Delaware	Agent	Approved	07/10/2025
B	District of Columbia	Agent	Approved	07/10/2025
B	Florida	Agent	Approved	07/15/2025
IA	Florida	Investment Adviser Representative	Approved	07/15/2025
B	Georgia	Agent	Approved	07/10/2025
B	Idaho	Agent	Approved	07/10/2025



Qualifications

Regulator	Registration	Status	Date
B Illinois	Agent	Approved	07/10/2025
B Indiana	Agent	Approved	07/10/2025
B Iowa	Agent	Approved	07/10/2025
B Maine	Agent	Approved	07/10/2025
B Maryland	Agent	Approved	07/10/2025
B Massachusetts	Agent	Approved	08/01/2025
B Michigan	Agent	Approved	07/10/2025
B Minnesota	Agent	Approved	07/10/2025
B Nebraska	Agent	Approved	10/24/2025
B Nevada	Agent	Approved	07/10/2025
B New Hampshire	Agent	Approved	02/17/2026
B New Jersey	Agent	Approved	07/10/2025
IA New Jersey	Investment Adviser Representative	Approved	07/10/2025
B New Mexico	Agent	Approved	07/10/2025
B New York	Agent	Approved	07/10/2025
IA New York	Investment Adviser Representative	Approved	07/10/2025
B North Carolina	Agent	Approved	07/10/2025
B Ohio	Agent	Approved	07/10/2025
B Oregon	Agent	Approved	07/10/2025



Qualifications

Regulator	Registration	Status	Date
B Pennsylvania	Agent	Approved	07/10/2025
B Rhode Island	Agent	Approved	01/26/2026
B South Carolina	Agent	Approved	07/10/2025
B Tennessee	Agent	Approved	07/10/2025
B Texas	Agent	Approved	07/10/2025
IA Texas	Investment Adviser Representative	Restricted Approval	07/10/2025
B Vermont	Agent	Approved	07/25/2025
B Virginia	Agent	Approved	07/10/2025
B Washington	Agent	Approved	07/10/2025

Branch Office Locations

LPL FINANCIAL LLC
500 NORTH BROADWAY
SUITES 260 & 242
JERICHO, NY 11753

LPL FINANCIAL LLC
7777 GLADES ROAD
SUITE 100
BOCA RATON, FL 33434



Qualifications

PASSED INDUSTRY EXAMS

This section includes all industry exams that the representative has passed. Under limited circumstances, a representative may attain registration after receiving an exam waiver based on a combination of exams the representative has passed and qualifying work experience. Likewise a new exam requirement may be grandfathered based on a representative's specific qualifying work experience. Exam waivers and grandfathering are not included below.

This individual has passed 0 principal/supervisory exams, 4 general industry/product exams, and 1 state securities law exam.

Principal/Supervisory Exams

Exam	Category	Date
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No information reported.

General Industry/Product Exams

Exam	Category	Date
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General Securities Representative Examination (S7TO)	Series 7TO	10/13/2025
Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
Direct Participation Programs Representative Examination (S22)	Series 22	01/07/1983
Investment Company Products/Variable Contracts Representative Examination (S6)	Series 6	12/04/1981

State Securities Law Exams

Exam	Category	Date
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Uniform Securities Agent State Law Examination (S63)	Series 63	12/03/1986
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PROFESSIONAL DESIGNATIONS

This section details that the representative has reported **1** professional designation(s).

Certified Financial Planner

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 & Employment History

PREVIOUSLY REGISTERED WITH THE FOLLOWING FIRMS

This representative held registrations with the following firms:

	Registration Dates	Firm Name	ID#	Branch Location
IA	01/11/2011 - 07/10/2025	CADARET GRANT & CO INC	CRD# 10641	BOCA RATON, FL
B	02/05/1990 - 07/10/2025	CADARET, GRANT & CO., INC.	CRD# 10641	BOCA RATON, FL
IA	02/11/2011 - 12/19/2022	AMERICAN INVESTMENT PLANNERS LLC	CRD# 155558	BOCA RATON, FL
IA	03/07/2007 - 12/31/2008	CADARET GRANT & CO INC	CRD# 10641	BOCA RATON, FL
B	02/01/1988 - 02/23/1988	CADARET, GRANT & CO., INC.	CRD# 16404	
B	07/22/1982 - 02/10/1988	NATHAN & LEWIS SECURITIES, INC.	CRD# 8503	
B	07/13/1982 - 12/20/1984	HOME LIFE EQUITY SALES CORP.	CRD# 10410	
B	12/11/1981 - 12/20/1984	HOME LIFE INSURANCE COMPANY	CRD# 4184	

EMPLOYMENT HISTORY

Below is the representative's employment history for up to the last 10 years.

Employment Dates	Employer Name	Position	Investment Related	Employer Location
07/2025 - Present	LPL FINANCIAL LLC	Financial Advisor	Y	JERICHO, NY, United States
10/2015 - 07/2025	Cadaret, Grant & Co., Inc.	Reg. Representative	Y	Boca Raton, FL, United States
01/1990 - 07/2025	CADARET, GRANT & CO., INC.	REGISTERED REPRESENTATIVE	Y	JERICHO, NY, United States
03/2018 - 12/2024	Lebenthal Global Advisors LLC	IAR	Y	Hauppauge, NY, United States
10/2010 - 12/2022	AMERICAN INVESTMENT PLANNERS LLC	RIA -PRESIDENT AND FINANCIAL PLANNER	Y	JERICHO, NY, United States



Registration & Employment History



OTHER BUSINESS ACTIVITIES

This section includes information, if any, as provided by the representative regarding other business activities the representative 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. 7/10/2025: R&S Planning; At reported business location(s); Non-Variable Insurance; Inv. related; start date 1/1/1980; 1hr/mo. during trading.
2. 7/10/2025: AIP Florida LLC; At reported business location(s); Business Entity For Tax/Investment Purposes Only; Not inv. related; start date 11/30/2023; 1hr/mo. during trading.
3. 7/10/2025: No Business name; At reported business location(s); Non-Variable Insurance; Inv. related; start date 1/1/1974; 1hr/mo. during trading.
4. 7/10/2025: American Investment Planners LLC; At reported business location(s); DBA for LPL Business (entity for LPL business); Inv. related; start date 1/1/2011; 160hrs/mo. during trading.
5. 7/10/2025 - Books Authored under Lee Rosenberg - Author - Not Investment Related - At Reported Business Location(s) - Start Date 01/01/1993 - 0 hours per month/ during trading



Disclosure Summary

Disclosure Information

What you should know about reported disclosure events:

(1) Certain thresholds must be met before an event is reported to IARD, for example:

- A law enforcement agency must file formal charges before an Investment Adviser Representative is required to report a particular criminal event.;
- A customer dispute must involve allegations that an Investment Adviser Representative engaged in activity that violates certain rules or conduct governing the industry and that the activity resulted in damages of at least \$5,000.

(2) Disclosure events in IAPD reports come from different sources:

As mentioned in the "About IAPD" section on page 1 of this report, information contained in IAPD comes from Investment Adviser Representatives, 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 IAPD report. The different versions will be separated by a solid line with the reporting source labeled.

(3) There are different statuses and dispositions for disclosure events:

- A disclosure event may have a status of *pending*, *on appeal*, or *final*.
 - A "pending" disclosure event involves allegations that have not been proven or formally adjudicated.
 - A disclosure event that is "on appeal" involves allegations that have been adjudicated but are currently being appealed.
 - A "final" disclosure event has been concluded and its resolution is not subject to change.
- A final disclosure 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 represents a disposition wherein the parties involved in a dispute reach an agreement to resolve the matter. Please note that Investment Adviser Representatives and firms may choose to settle customer disputes or regulatory matters for business or other reasons.
 - A "resolved" matter usually includes a disposition wherein no payment is made to the customer or there is no finding of wrongdoing on the part of the Investment Adviser Representative. Such matters generally involve customer disputes.

(4) You may wish to contact the Investment Adviser Representatives to obtain further information regarding any of the disclosure events contained in this IAPD report.



DISCLOSURE EVENT DETAILS

When evaluating this information, please keep in mind that some items may involve pending actions or allegations that may be contested and have not been resolved or proven. The event may, in the end, be withdrawn, dismissed, resolved in favor of the Investment Adviser Representative, or concluded through a negotiated settlement with no admission or finding of wrongdoing.

This report provides the information exactly as it was reported to the Investment Adviser Registration Depository. Some of the specific data fields contained in the report may be blank if the information was not provided.

The following types of events are disclosed about this representative:

Type	Count
Civil Event	1
Customer Dispute	5

Civil Event

This disclosure event involves an injunction issued by a foreign or domestic court in connection with investment-related activity, a finding by a domestic or foreign court of a violation of any investment-related statute or regulation, or an action dismissed by a domestic or foreign court pursuant to a settlement agreement.

Disclosure 1 of 1

Reporting Source:	Individual
Initiated By:	ATTORNEY GENERAL OF THE STATE OF NEW YORK
Relief Sought:	
Other Relief Sought:	
Date Court Action Filed:	04/11/1984
Product Type:	
Other Product Types:	
Court Details:	G.B.L. 354 RESTRAINT INDEX #41457/84
Employing firm when activity occurred which led to the action:	FIRST ENERGY LEASING CORPORATION
Allegations:	ORDER WAS BASED ON ALLEGATIONS THAT CERTAIN LEASES OFFERED & SOLD TO RESIDENTS OF NY WERE INVESTMENT CONTRACTS AND, AS SUCH, SECURITIES AND THAT THE "ISSURER" OF THESE SECURITIES FAILED TO COMPLY WITH REGISTRATION REQUIREMENTS.
Current Status:	Final
Resolution:	Judgment Rendered
Resolution Date:	04/11/1984
Sanctions Ordered or Relief Granted:	
Other Sanctions:	
Sanction Details:	ON 11/3/89, THE ATTORNEY GENERAL ADVISED THE COUR



THAT NO ACTION WAS COMMENCED AGAINST MR. ROSENBERG. THE ATTORNEY GENERAL SEEKED TO RELEASE ROSENBERG FROM THE ORDER OF INVESTIGATION AND ACCOMPANYING RESTRAINT ISSUED PURSUANT TO G.B.L. 354 IN APRIL 1984.

QUESTIONS 22E4 AND 22E5 ALSO ADDRESS THE ABOVE EXPLANATION FOR 22C1. THE INQUIRY OF INVESTIGATION AND ORDER OF RESTRAINT HAVE BEEN RELEASED BY THE COURT ON 12/29/89.

Broker Statement



Customer Dispute

This section provides information regarding a customer dispute that was reported to the Investment Adviser Registration Depository (IARD) by the Investment Adviser Representative (IAR), an investment adviser and/or securities firm, and/or a securities regulator. The event may include a consumer-initiated, investment-related complaint, arbitration proceeding or civil suit that contains allegations of sales practice violations against the individual.

The customer dispute may be pending or may have resulted in a civil judgment, arbitration award, monetary settlement, closure without action, withdrawal, dismissal, denial, or other outcome.

Disclosure 1 of 5

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	Cadaret, Grant & Co., Inc.
Allegations:	Allegations of unsuitable investment.
Product Type:	Annuity-Variable
Alleged Damages:	\$51,370.67
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
Docket/Case #:	19-03598
Filing date of arbitration/CFTC reparation or civil litigation:	12/05/2019

Customer Complaint Information

Date Complaint Received:	12/16/2019
Complaint Pending?	No
Status:	Settled
Status Date:	10/12/2020
Settlement Amount:	\$30,000.00
Individual Contribution Amount:	\$0.00

Disclosure 2 of 5

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	Cadret, Grant & Co., Inc.
Allegations:	On May 22, 2006, [Customer] purchased an AXA Accumulator Plus Variable Annuity with a guaranteed minimum income benefit ("GMIB") rider. The GMIB rider provided [Customer] with the option of annuitizing the benefit base on the 10th anniversary of the annuity or later, or if the account went to \$0, [Customer] would be forced to annuitize. [Customer] was permitted to withdraw up to 6% of the



benefit base without impacting the benefit base. Unfortunately, on January 1, 2007, [Customer] began systematic withdrawals of \$2,400 per month, while the benefit base was \$375,667. Therefore, [Customer] exceeded the 6% benefit base withdrawal limit by \$6,264 in withdrawals annually since 2007. [Customer] withdrawals in excess of 6% negatively impacted the benefit base. Mr. Rosenberg accepted responsibility for not determining earlier that the benefit base was impacted by the withdrawals. Mr. Rosenberg brought the issue to [Customer] attention and offered to compensate her for the impact the excess withdrawals had on her annuity benefit base. This was not a complaint made by [Customer]. Rather, the issue was brought to [Customer] attention by Mr. Rosenberg in September 2016. The issue was not described by [Customer] as a complaint, until on or about June 21, 2017 when [Customer] representative used the word complaint when negotiating the amount offered to compensate [Customer].

Product Type: Annuity-Variable
Alleged Damages: \$275,000.00
Is this an oral complaint? No
Is this a written complaint? Yes
Is this an arbitration/CFTC reparation or civil litigation? No

Customer Complaint Information

Date Complaint Received: 06/21/2017
Complaint Pending? No
Status: Settled
Status Date: 11/17/2017
Settlement Amount: \$180,000.00
Individual Contribution Amount: \$0.00

Disclosure 3 of 5

Reporting Source: Individual
Employing firm when activities occurred which led to the complaint: CADARET, GRANT & CO., INC.
Allegations: ALLEGED FAILURE TO FOLLOW INSTRUCTIONS
Product Type: Debt-Corporate
 Debt-Municipal
 Equity-OTC
 Equity Listed (Common & Preferred Stock)
 Mutual Fund
 Unit Investment Trust
Alleged Damages: \$0.00
Alleged Damages Amount Explanation (if amount not exact): HAS THE POTENTIAL TO BE MORE THAN \$5,000
Is this an oral complaint? No
Is this a written complaint? Yes



Is this an arbitration/CFTC
reparation or civil litigation? No

Customer Complaint Information

Date Complaint Received: 05/20/2009

Complaint Pending? No

Status: Evolved into Arbitration/CFTC reparation (the individual is a named party)

Status Date: 09/28/2009

Settlement Amount:

Individual Contribution
Amount:

Arbitration Information

Arbitration/CFTC reparation
claim filed with (FINRA, AAA,
CFTC, etc.): FINRA

Docket/Case #: 09-05467

Date Notice/Process Served: 09/28/2009

Arbitration Pending? No

Disposition: Settled

Disposition Date: 09/20/2010

Monetary Compensation
Amount: \$450,000.00

Individual Contribution
Amount: \$5,000.00

Disclosure 4 of 5

Reporting Source: Individual

Employing firm when
activities occurred which led
to the complaint: CADARET, GRANT & CO., INC.

Allegations: ALLEGED UNAUTHORIZED TRADING

Product Type: Equity Listed (Common & Preferred Stock)

Alleged Damages: \$650,000.00

Is this an oral complaint? No

Is this a written complaint? Yes

Is this an arbitration/CFTC
reparation or civil litigation? No

Customer Complaint Information

Date Complaint Received: 03/26/2009

Complaint Pending? No

Status: Closed/No Action



Status Date: 09/22/2010

Settlement Amount:

Individual Contribution Amount:

Disclosure 5 of 5

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: CADARET, GRANT & CO., INC.

Allegations: DECLINE IN ACCOUNT VALUE

Product Type: Mutual Fund

Alleged Damages: \$150,000.00

Is this an oral complaint? No

Is this a written complaint? Yes

Is this an arbitration/CFTC reparation or civil litigation? No

Customer Complaint Information

Date Complaint Received: 01/09/2009

Complaint Pending? No

Status: Closed/No Action

Status Date: 09/22/2010

Settlement Amount:

Individual Contribution Amount:



End of Report

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