



## IAPD Report

# MICHAEL GERARD ROGAN

CRD# 1503029

<b><u>Section Title</u></b>	<b><u>Page(s)</u></b>
Report Summary	1
Qualifications	2 - 4
Registration and Employment History	6 - 7
Disclosure Information	8



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.



## **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

### MICHAEL GERARD ROGAN (CRD# 1503029)

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 **08/11/2025**.

### CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
IA	ROGAN & ASSOCIATES	CRD# 42762	07/22/1997
B	J.W. COLE FINANCIAL, INC.	CRD# 124583	05/12/2025

### QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **13** 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
B	ROGAN & ASSOCIATES, INC.	42762	Lakewood Ranch, FL	04/28/1997 - 12/09/2025
B	CENTURY SECURITIES ASSOCIATES, INC.	28218	ST. LOUIS, MO	08/24/1995 - 12/31/1996
B	COHIG & ASSOCIATES, INC.	16184	ENGLEWOOD, CO	07/28/1994 - 08/17/1995

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
Regulatory Event	2















## 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 **13** jurisdiction(s) and 1 SRO(s) through his or her employer(s).

### Employment 1 of 2

Firm Name: **J.W. COLE FINANCIAL, INC.**  
Main Address: 4301 ANCHOR PLAZA PARKWAY  
SUITE 450  
TAMPA, FL 33634  
Firm ID#: 124583

	Regulator	Registration	Status	Date
	FINRA	Financial and Operations Principal	Approved	05/12/2025
	FINRA	General Securities Principal	Approved	05/12/2025
	FINRA	General Securities Representative	Approved	05/12/2025
	FINRA	Municipal Securities Principal	Approved	05/12/2025
	FINRA	Municipal Securities Representative	Approved	05/12/2025
	FINRA	Operations Professional	Approved	05/12/2025
	FINRA	Registered Options Principal	Approved	05/12/2025
	Arizona	Agent	Approved	05/16/2025
	California	Agent	Approved	05/14/2025
	Florida	Agent	Approved	05/13/2025
	Georgia	Agent	Approved	05/14/2025
	Illinois	Agent	Approved	05/15/2025
	Michigan	Agent	Approved	05/14/2025



## Qualifications

	Regulator	Registration	Status	Date
B	New Jersey	Agent	Approved	05/14/2025
B	New York	Agent	Approved	05/14/2025
B	North Carolina	Agent	Approved	05/14/2025
B	Ohio	Agent	Approved	05/14/2025
B	South Dakota	Agent	Approved	05/14/2025
B	Texas	Agent	Approved	05/14/2025
B	Virginia	Agent	Approved	05/14/2025

## Branch Office Locations

200 Ninth Avenue North  
Suite 100  
Safety Harbor, FL 34695

Carrollton, TX

## Employment 2 of 2

Firm Name: **ROGAN & ASSOCIATES**  
Main Address: 200 9TH AVENUE NORTH  
SUITE 100  
SAFETY HARBOR, FL 34695  
Firm ID#: 42762

	Regulator	Registration	Status	Date
IA	Florida	Investment Adviser Representative	Approved	07/22/1997
IA	New York	Investment Adviser Representative	Approved	08/29/2022

## Branch Office Locations

**ROGAN & ASSOCIATES**  
200 9TH AVENUE NORTH  
SUITE 100  
SAFETY HARBOR, FL 34695



## 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 4 principal/supervisory exams, 4 general industry/product exams, and 1 state securities law exam.**

#### Principal/Supervisory Exams

	Exam	Category	Date
B	General Securities Principal Examination (S24)	Series 24	01/02/2023
B	Registered Options Principal Examination (S4)	Series 4	01/02/2023
B	Financial and Operations Principal Examination (S27)	Series 27	01/02/2023
B	Municipal Securities Principal Examination (S53)	Series 53	03/26/2003

#### General Industry/Product Exams

	Exam	Category	Date
B	Municipal Securities Representative Examination (S52TO)	Series 52TO	05/12/2025
B	Operations Professional Examination (S99TO)	Series 99TO	01/02/2023
B	Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
B	General Securities Representative Examination (S7)	Series 7	05/17/1986

#### State Securities Law Exams

	Exam	Category	Date
B	Uniform Securities Agent State Law Examination (S63)	Series 63	08/25/2003



## PROFESSIONAL DESIGNATIONS

This section details that the representative has reported **0** professional designation(s).

No information reported.



## Registration & Employment History

### PREVIOUSLY REGISTERED WITH THE FOLLOWING FIRMS

This representative held registrations with the following firms:

	Registration Dates	Firm Name	ID#	Branch Location
B	04/28/1997 - 12/09/2025	ROGAN & ASSOCIATES, INC.	CRD# 42762	Lakewood Ranch, FL
B	08/24/1995 - 12/31/1996	CENTURY SECURITIES ASSOCIATES, INC.	CRD# 28218	ST. LOUIS, MO
B	07/28/1994 - 08/17/1995	COHIG & ASSOCIATES, INC.	CRD# 16184	ENGLEWOOD, CO
B	07/08/1991 - 08/04/1994	CORPORATE SECURITIES GROUP, INC.	CRD# 11025	ST. LOUIS, MO
B	02/12/1990 - 06/28/1991	PCI FINANCIAL SERVICES, INC.	CRD# 25728	
B	09/30/1988 - 03/22/1990	DONALD & CO. SECURITIES INC.	CRD# 7776	TINTON FALLS, NJ
B	07/21/1987 - 10/07/1988	R.B. MARICH, INC.	CRD# 13227	
B	07/31/1986 - 08/11/1987	THE STUART-JAMES COMPANY, INC.	CRD# 11691	
B	05/22/1986 - 01/30/1987	FIRST JERSEY SECURITIES, INC.	CRD# 6621	

### 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
04/2025 - Present	J.W. Cole Financial, Inc.	Registered Representative	Y	Tampa, FL, United States
01/1997 - Present	ROGAN & ASSOCIATES, INC.	PRESIDENT/CEO/CF O/MSP/ROSFP/SOLE OFFICER/SOLE SHAREHOLDER/PRINCIPAL FINANCIAL OFFICER/PRINCIPAL OPERATIONS OFFICER	Y	SAFETY HARBOR, FL, 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) The Pub at Safety Harbor, LLC; Not investment related; 103 8th Ave N, Safety Harbor, FL 34695; Pub; Investor; Start date 10/16/2020; 0 hours spent.

(2) Rogan & Associates, RIA; Financial Planning RIA; Investment Related; 200 9th Ave N, Ste 100, Safety Harbor, FL 34695; President; start 1/1/1997; 240 hours/month, 240 hours/month during trading.

(3) Rogan & Associates Inc; Life insurance sales to clients; 200 Ninth Ave North Suite 100 Safety Harbor, FL 34695; Investment Related; President; Start Date: 7/29/2025; Less than 10 hours/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
Regulatory Event	2

### Regulatory Event

This disclosure event may include a final, formal proceeding initiated by a regulatory authority (e.g., a state securities agency, a federal regulator such as the Securities and Exchange Commission or the Commodities Futures Trading Commission, or a foreign financial regulatory body) for a violation of investment-related rules or regulations. This disclosure event may also include a revocation or suspension of an Investment Adviser Representative's authority to act as an attorney, accountant or federal contractor.

#### Disclosure 1 of 2

<b>Reporting Source:</b>	Regulator
<b>Regulatory Action Initiated By:</b>	NATIONAL ASSOCIATION OF SECURITIES DEALERS, INC.
<b>Sanction(s) Sought:</b>	
<b>Other Sanction(s) Sought:</b>	
<b>Date Initiated:</b>	05/08/2002
<b>Docket/Case Number:</b>	CAF020017
<b>Employing firm when activity occurred which led to the regulatory action:</b>	ADS DISTRIBUTORS, INC. N/K/A ROGAN,, ROSENBERG & ASSOCIATES
<b>Product Type:</b>	No Product
<b>Other Product Type(s):</b>	
<b>Allegations:</b>	NASD RULES 2110, 3010 - WITHOUT ADMITTING OR DENYING THE ALLEGATIONS, THE RESPONDENT CONSENTED TO THE ENTRY OF FINIDINGS THAT HE FAILED TO ESTABLISH AND MAINTAIN A SUPERVISORY SYSTEM REASONABLY DESIGNED TO ACHIEVE COMPLIANCE WITH FEDERAL SECURITIES LAWS, REGULATIONS, NASD RULES TO SUPERVISE AN INDIVIDUAL'S ACTIVITIES ON BEHALF OF THE FIRM AND FAILED TO TAKE STEPS TO INVESTIGATE HIS CONDUCT AND INSURE HIS ACTIONS COMPLIED WITH APPLICABLE SECURITIES LAWS AND NASD RULES.
<b>Current Status:</b>	Final
<b>Resolution:</b>	Acceptance, Waiver & Consent(AWC)
<b>Resolution Date:</b>	05/08/2002
<b>Sanctions Ordered:</b>	Monetary/Fine \$5,000.00



Suspension

**Other Sanctions Ordered:**

**Sanction Details:** FINED \$5,000, JOINTLY AND SEVERALLY, AND SUSPENDED FROM ASSOCIATION IN ANY PRINCIPAL CAPACITY FOR 30 DAYS. SUSPENSION EFFECTIVE JUNE 17, 2002 TO CLOSE OF BUSINESS JULY 16, 2002.

.....

**Reporting Source:** Individual

**Regulatory Action Initiated By:** NASD REGULATION, INC.

**Sanction(s) Sought:** Suspension

**Other Sanction(s) Sought:** FINE

**Date Initiated:** 03/26/2002

**Docket/Case Number:** CAF 020017 1074886

**Employing firm when activity occurred which led to the regulatory action:** ROGAN ROSENBERG & ASSOCIATES

**Product Type:** No Product

**Other Product Type(s):**

**Allegations:** NASD RULES 2110, 3010 ALLEGATIONS WERE THAT ROGAN DID NOT SUPERVISE AN INDIVIDUAL'S ACTIVITIES ON BEHALF OF THE FIRM AND DID NOT TAKE STEPS TO INVESTIGATE ANOTHER INDIVIDUAL'S CONDUCT AND INSURE HIS ACTIONS COMPLIED WITH APPLICABLE SECURITIES LAWS AND NASD RULES.

**Current Status:** Final

**Resolution:** Acceptance, Waiver & Consent(AWC)

**Resolution Date:** 05/08/2002

**Sanctions Ordered:** Monetary/Fine \$5,000.00  
Suspension

**Other Sanctions Ordered:**

**Sanction Details:** FINE PAID ON 5/28/2002. SUSPENSION AS PRINCIPAL FROM 6/17/2002 THROUGH 7/16/2002.

**Broker Statement** A FORMER UNLICENSED AND MINORTY PARTNER PUBLISHED ADVERTISING ABOUT HIS BUSINESS UNDER THE NAME OF MY COMPANY WITHOUT MY KNOWLEDGE AND CONSENT. THIS FORMER PARTNER FURTHER COMMUNICATED DIRECTLY WITH NASD ADVERTISING DEPARTMENT WITHOUT MY KNOWLEDGE AND CONSENT WHICH RESULTED IN NASD DETERMINING THAT I DID NOT PROPERLY SUPERVISE THIS INDIVIDUAL WHO WAS NO LONGER ASSOCIATED WITH MY FIRM IN ANY WAY. IN SETTLING THIS MATTER WITH NASD AND TO AVOID FURTHER REPRISALS FROM NASD, I CONSENTED TO THE ENTRY OF NASD FINDINGS WITHOUT ADMITTING OR DENYING THE ALLEGATIONS.

**Disclosure 2 of 2**

**Reporting Source:** Regulator



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

**Sanction(s) Sought:**

**Other Sanction(s) Sought:**

**Date Initiated:** 09/07/1999

**Docket/Case Number:** C07990057

**Employing firm when activity occurred which led to the regulatory action:** ADS DISTRIBUTORS, INC.

**Product Type:** Other

**Other Product Type(s):**

**Allegations:** RESPONDENT MEMBER, ACTING THROUGH ROGAN: FILED A QUARTERLY FOCUS IIA REPORT SEVENTEEN DAYS LATE IN VIOLATION OF SEC RULE 17A-5 AND NASD RULE 2110.

**Current Status:** Final

**Resolution:** Acceptance, Waiver & Consent(AWC)

**Resolution Date:** 09/07/1999

**Sanctions Ordered:** Monetary/Fine \$1,000.00

**Other Sanctions Ordered:**

**Sanction Details:** \$1,000.00 FINE, J&S

**Regulator Statement** 01-12-00, \$1,000 PAID J&S ON 9/15/99, INVOICE #99-07-750

.....

**Reporting Source:** Individual

**Regulatory Action Initiated By:** NASD REGULATION INC

**Sanction(s) Sought:** Civil and Administrative Penalt(ies) /Fine(s)

**Other Sanction(s) Sought:** NONE

**Date Initiated:** 08/06/1999

**Docket/Case Number:** C07990057

**Employing firm when activity occurred which led to the regulatory action:** ADS DISTRIBUTORS INC

**Product Type:** No Product

**Other Product Type(s):**

**Allegations:** ADS, ACTING THROUGH ROGAN, FILED ITS QUARTERLY FOCUS IIA REPORT FOR THE PERIOD ENDING MARCH 31, 1999, SEVENTEEN (17) DAYS LATE, IN VIOLATION OF NASD CONDUCT RULE 2110 AND SEC RULE 17A-5.

**Current Status:** Final

**Resolution:** Acceptance, Waiver & Consent(AWC)



<b>Resolution Date:</b>	08/26/1999
<b>Sanctions Ordered:</b>	Monetary/Fine \$1,000.00
<b>Other Sanctions Ordered:</b>	NONE
<b>Sanction Details:</b>	\$1000 FINE, JOINT AND SEVERAL, AGAINST ADS AND ROGAN
<b>Broker Statement</b>	ADS AND ROGAN ACCEPTED AND CONSENTED, WITHOUT ADMITTING OR DENYING THE ALLEGED VIOLATIONS, TO THE ENTRY OF THE FINDINGS BY NASD REGULATION INC.



## End of Report

This page is intentionally left blank.