User Guidance

www.adviserinfo.sec.gov

IAPD Report

WILLIAM GEORGE ROLL III

CRD# 1617305

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

WILLIAM GEORGE ROLL III (CRD# 1617305)

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 **09/30/2025**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	NATIONWIDE PLANNING ASSOCIATES INC.	CRD# 31029	12/06/2010
IA	NPA ASSET MANAGEMENT, LLC	CRD# 131534	01/09/2018

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **15** 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	NPA ASSET MANAGEMENT, LLC	131534	PARAMUS, NJ	12/06/2010 - 12/31/2017
IA	AMERICAN PORTFOLIOS ADVISORS, INC	112697	HOLBROOK, NY	03/03/2006 - 12/09/2010
B	AMERICAN PORTFOLIOS FINANCIAL SERVICES, INC.	18487	PARSIPPANY, NJ	04/08/2004 - 12/07/2010

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
Customer Dispute	1

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

Employment 1 of 2

Firm Name: **NATIONWIDE PLANNING ASSOCIATES INC.**

Main Address: 32-16 BROADWAY AVE, 2ND FLOOR
FAIR LAWN, NJ 07410

Firm ID#: 31029

	Regulator	Registration	Status	Date
B	FINRA	General Securities Principal	Approved	12/06/2010
B	FINRA	General Securities Representative	Approved	12/06/2010
B	Alabama	Agent	Approved	09/30/2025
B	Colorado	Agent	Approved	12/06/2010
B	Connecticut	Agent	Approved	12/06/2010
B	Florida	Agent	Approved	12/06/2010
B	Georgia	Agent	Approved	12/06/2010
B	Massachusetts	Agent	Approved	04/25/2022
B	Nevada	Agent	Approved	01/25/2017
B	New Hampshire	Agent	Approved	03/01/2019
B	New Jersey	Agent	Approved	12/06/2010
B	New York	Agent	Approved	12/06/2010
B	North Carolina	Agent	Approved	10/11/2024

Qualifications

	Regulator	Registration	Status	Date
B	Oklahoma	Agent	Approved	11/17/2021
B	Pennsylvania	Agent	Approved	12/06/2010
B	South Carolina	Agent	Approved	09/13/2013
B	Texas	Agent	Approved	10/20/2016

Branch Office Locations

NATIONWIDE PLANNING ASSOCIATES INC.
32-16 Broadway Ave, 2nd Floor
FAIR LAWN, NJ 07410

Employment 2 of 2

Firm Name:	**NPA ASSET MANAGEMENT, LLC**
Main Address:	32-16 BROADWAY 2ND FLOOR FAIR LAWN, NJ 07410
Firm ID#:	131534

	Regulator	Registration	Status	Date
IA	New Jersey	Investment Adviser Representative	Approved	01/09/2018

Branch Office Locations

NPA ASSET MANAGEMENT, LLC
32-16 BROADWAY 2ND FLOOR
FAIR LAWN, NJ 07410

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 1 principal/supervisory exam, 3 general industry/product exams, and 3 state securities law exams.

Principal/Supervisory Exams

	Exam	Category	Date
B	General Securities Principal Examination (S24)	Series 24	02/11/2005

General Industry/Product Exams

	Exam	Category	Date
B	Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
B	General Securities Representative Examination (S7)	Series 7	02/24/2003
B	National Commodity Futures Examination (S3)	Series 3	07/28/1987

State Securities Law Exams

	Exam	Category	Date
IA B	Uniform Combined State Law Examination (S66)	Series 66	03/12/2003
IA	Uniform Investment Adviser Law Examination (S65)	Series 65	10/26/1992
B	Uniform Securities Agent State Law Examination (S63)	Series 63	05/04/1987

PROFESSIONAL DESIGNATIONS

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

No information reported.

Only professional designations listed in Question 8 of the Form U4 will appear in this section if the appropriate box is checked and verified by the issuing organization at the time of the filing. Learn more about eligible designations at IARD and NASAA.

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	12/06/2010 - 12/31/2017	NPA ASSET MANAGEMENT, LLC	CRD# 131534	PARAMUS, NJ
IA	03/03/2006 - 12/09/2010	AMERICAN PORTFOLIOS ADVISORS, INC	CRD# 112697	HOLBROOK, NY
B	04/08/2004 - 12/07/2010	AMERICAN PORTFOLIOS FINANCIAL SERVICES, INC.	CRD# 18487	PARSIPPANY, NJ
IA	03/13/2003 - 11/25/2003	AXA ADVISORS, LLC	CRD# 6627	STAMFORD, CT
B	03/05/2003 - 11/25/2003	AXA ADVISORS, LLC	CRD# 6627	NEW YORK, NY
B	02/24/1994 - 06/09/1994	T.R. WINSTON & COMPANY, INC.	CRD# 10571	
B	07/11/1991 - 02/09/1994	PRUDENTIAL SECURITIES INCORPORATED	CRD# 7471	
B	05/22/1989 - 07/23/1991	SMITH BARNEY, HARRIS UPHAM & CO., INCORPORATED	CRD# 7059	
B	06/23/1987 - 05/22/1989	DREXEL BURNHAM LAMBERT INCORPORATED	CRD# 7323	

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
11/2010 - Present	NATIONWIDE PLANNING ASSOCIATES, INC.	REGISTERED REPRESENTATIVE	Y	FAIR LAWN, NJ, United States
11/2010 - Present	NPA ASSET MANAGEMENT	INVESTMENT ADVISOR REPRESENTATIVE	Y	FAIR LAWN, NJ, United States

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) NON SECURITIES RELATED - 401 K RETIREMENT PARTNERS, LLC. 32-16 BROADWAY, 2ND FLOOR, FAIR LAWN, NJ

Registration & Employment History

OTHER BUSINESS ACTIVITIES

07410. ANALYZING 401K PLANS, HELPING TRUSTEES UNDERSTAND RESPONSABILITIES, FEES ASSOCIATED WITH PLANS AND PROVIDING SOLUTIONS FOR IMPROVMENTS. STARTED 7/1/08, PRESIDENT CO-FOUNDER 0 COMPENSATION 10 HOURS PER MONTH 1 HOUR DURING MARKET HOURS 2)DUALLY REGISTERED WITH NPA ASSET MANAGEMENT (RIA) AND NATIONWIDE PLANNING ASSOCIATES INC. (AFFILIATED B/D), 32-16 BROADWAY, 2ND FLOOR, FAIR LAWN, NJ 07410. INVESTMENT RELATED, START DATE: 11/29/2010 3)INDEPENDENT INSURANCE AGENT THROUGH VARIOUS AGENCIES
4)NON SECURITIES RELATED - SOCCER GOALIE COACH, BREWSTER NY HIGH SCHOOL, 1-3 SESSIONS PER WEEK, COMPENSATION $85 PER SESSION. START DATE: JUNE 8, 2015
5)INVESTMENT RELATED - PRESIDENT OF 401(K) RETIREMENT PARTNERS, LLC, PROVIDING 401K CONSULTING SERVICES TO COMPANIES ASSOCIATED WITH COLEMAN RESEARCH GROUP, 1-2 HOURS PER YEAR, COMPENSATION $290 PER HOUR. START DATE 07/01/2015.

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
Customer Dispute	1

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 1

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	PRUDENTIAL SECURITIES
Allegations:	MR. [CUSTOMER] WAS AN AGRESSIVE TRADER IN THE STOCK MARKET AND HAD BEEN TRADING STOCKS FOR MANY YEARS. HE HAD SEVERAL EQUITY TRADING ACCOUNTS WITH A NUMBER OF BROKERAGE FIRMS; ONE BEING STRATTON OAKMONT, A FIRM RECOGNIZED AS RECOMMENDING PENNY STOCKS - WITH VERY LITTLE FUNDAMENTAL POTENTIAL - TO INVESTORS. (MR. [CUSTOMER]FREQUENTLY COMPLAINED OF LOSING HUNDREDS OF THOUSANDS OF DOLLARS WITH STRATTON OAKMONT.) MR. [CUSTOMER]OPENED AN EQUITY TRADING ACCOUNT WITH PRUDENTIAL SECURITIES IN THE EARLY 1990'S. I SERVED AS HIS REGISTERED REP. HE WAS MIDDLE-AGED, SINGLE, AND HAD NO KIDS. HIS OCCUPATION WAS BUILDING HOUSES ON "SPEC," AND AS A RESULT WAS ACCUSTOMED TO SUBSTANTIAL FINANCIAL RISK. MR. [CUSTOMER]NET WORTH WAS WELL IN EXCESS OF $2 MILLION AND HIS INCOME WAS SEVERAL HUNDRED THOUSAND DOLLARS A YEAR. HIS OBJECTIVE WAS CAPITAL APPRECIATION. THE ACCOUNT I WAS RESPONSIBLE FOR WAS A TRADING ACCOUNT. WE USED A COMBINATION OF TECHNICAL AND FUNDAMENTAL ANALYSIS TO INVEST IN HIGH CAPITAL APPRECIATION POTENTIAL EQUITIES. ONE OF THE EQUITITES WE INVESTED IN WAS BARR LABORATORIES, A

	LISTED COMPANY AND WELL-KNOWN GENERIC DRUG MANUFACTURER, TRADING IN THE $30 DOLLAR RANGE. SHORTLY AFTER BUYING THE STOCK THE FDA ANNOUNCED THAT THEY WERE INVESTIGATING BARR LABS. BASED ON COMMUNICATIONS FROM BARR LABS, AND OTHER PUBLIC INFORMATION, MR. [CUSTOMER]AGREED THAT THE BEST COURSE OF ACTION WAS TO HOLD THE STOCK. BARR LABS' STOCK PROCEEDED TO TRADE DOWN AND MR. [CUSTOMER]PORTFOLIO DEPRECIATED SUBSTANTIALLY SO THAT IT WAS APPROXIMATELY $280,000 BELOW THE LEVEL PRIOR TO THE BARR LABS PURCHASE. MR. [CUSTOMER]TRADED MANY OTHER STOCKS THROUGH ME, SEVERAL OF WHICH WERE UNSOLICITED. IN EARLY 1995, APPROXIMATELY ONE YEAR AFTER I LEFT PRUDENTIAL, I LEARNED THAT MR.[CUSTOMER]WAS SUING ALLEGING CHURNING, SUITABILITY, AND MISREPRESENTATION.
Product Type:	Equity Listed (Common & Preferred Stock)
Other Product Type(s):	EQUITY, OTC; OPTIONS
Alleged Damages:	$280,000.00

Customer Complaint Information

Date Complaint Received:	04/28/1995
Complaint Pending?	No
Status:	Arbitration/Reparation
Status Date:	06/10/1995
Settlement Amount:	
Individual Contribution Amount:	

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.:	NASD CASE #95-01976
Date Notice/Process Served:	04/28/1995
Arbitration Pending?	No
Disposition:	Award to Customer
Disposition Date:	06/24/1996
Monetary Compensation Amount:	$26,400.00
Individual Contribution Amount:	$0.00

End of Report

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