



IAPD Report

JEFFREY RUSSELL ROTMAN

CRD# 2050959

<u>Section Title</u>	<u>Page(s)</u>
Report Summary	1
Qualifications	2 - 3
Registration and Employment History	4 - 5
Disclosure Information	6

i 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

JEFFREY RUSSELL ROTMAN (CRD# 2050959)

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 **12/09/2025**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	MML INVESTORS SERVICES, LLC	CRD# 10409	04/29/2011
IA	MML INVESTORS SERVICES, LLC	CRD# 10409	07/08/2011

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **6** 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	PARK AVENUE SECURITIES LLC	46173	WESTON, FL	04/30/2001 - 03/04/2011
B	PARK AVENUE SECURITIES LLC	46173	WESTON, FL	05/03/1999 - 03/04/2011
B	GUARDIAN INVESTOR SERVICES CORPORATION	6635	NEW YORK, NY	02/20/1998 - 05/03/1999

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

Employment 1 of 1

Firm Name: **MML INVESTORS SERVICES, LLC**
Main Address: 1295 STATE STREET
SPRINGFIELD, MA 01111-0001
Firm ID#: 10409

Regulator	Registration	Status	Date
B FINRA	Invest. Co and Variable Contracts	Approved	04/29/2011
B California	Agent	Approved	04/29/2011
B Florida	Agent	Approved	04/29/2011
IA Florida	Investment Adviser Representative	Approved	07/08/2011
B Maryland	Agent	Approved	04/29/2011
B North Carolina	Agent	Approved	06/21/2019
B Ohio	Agent	Approved	07/26/2022
B Tennessee	Agent	Approved	06/07/2024

Branch Office Locations

MML INVESTORS SERVICES, LLC
621 NW 53RD ST
SUITE 125
BOCA RATON, FL 33487

MML INVESTORS SERVICES, LLC
HIGHLAND BEACH, FL



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, 2 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
------	----------	------

 Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
 Investment Company Products/Variable Contracts Representative Examination (S6)	Series 6	11/05/1990

State Securities Law Exams

Exam	Category	Date
------	----------	------

 Uniform Investment Adviser Law Examination (S65)	Series 65	10/17/2001
 Uniform Securities Agent State Law Examination (S63)	Series 63	08/13/1999

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
IA	04/30/2001 - 03/04/2011	PARK AVENUE SECURITIES LLC	CRD# 46173	WESTON, FL
B	05/03/1999 - 03/04/2011	PARK AVENUE SECURITIES LLC	CRD# 46173	WESTON, FL
B	02/20/1998 - 05/03/1999	GUARDIAN INVESTOR SERVICES CORPORATION	CRD# 6635	NEW YORK, NY
B	10/01/1997 - 06/23/1998	JEFFERSON PILOT SECURITIES CORPORATION	CRD# 3870	FORT WAYNE, IN
B	08/11/1997 - 01/29/1998	PRIME CAPITAL SERVICES, INC.	CRD# 18334	POUGHKEEPSIE, NY
B	02/17/1995 - 10/01/1997	JEFFERSON-PILOT INVESTOR SERVICES, INC.	CRD# 5178	FORT WAYNE, IN
B	11/12/1990 - 09/26/1994	METLIFE SECURITIES INC.	CRD# 14251	SPRINGFIELD, MA
B	11/12/1990 - 09/26/1994	METROPOLITAN LIFE INSURANCE COMPANY	CRD# 4095	NEW YORK, NY

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
03/2011 - Present	MML INVESTORS SERVICES, LLC	REGISTERED REPRESENTATIVE	Y	BOCA RATON, FL, United States
12/2010 - Present	MASSMUTUAL LIFE INSURANCE COMPANY	INSURANCE AGENT	Y	BOCA RATON, FL, 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) NAME: ROTMAN CONSULTING GROUP, INC INV.REL: Y ADDR: 621 NW 53RD ST SUITE 125 BOCA RATON FL 33487 NATURE: OUTSIDE INSURANCE BUSINESS POSITION: SALES/AGENT. START DATE: 2013 NO HRS /MO: 4. HRS/DURING TRADING: 4 DESCRIBE DUTIES: LIFE, FIXED ANNUITIES, DISABILITY, LTC, HEALTH, GROUP HEALTH, & GROUP LIFE.

(2)NAME: ROTMAN CONSULTING GROUP, INC INV REL: Y ADDR: 621 NW 53RD ST SUITE 125 BOCA RATON FL 33487 NATURE: INSURANCE CONSULTING SERVICES ON AN HOURLY RATE BASIS POSITION: CONSULTANT START DATE: 2016 NO HRS/MO: 3 NO/HRS MO DUR TRADING: 3.



Registration & Employment History



OTHER BUSINESS ACTIVITIES

(3)NAME: BEKAH JAYNE, INC. INV REL: N ADDR: RESIDENTIAL ADDRESS NATURE: MUSIC PERFORMANCE POSITION: OFFICER START DATE: 4/5/2023 NO HRS/MO: 5 NO HRS/MO DUR TRADING: 2 DESCRIBE DUTIES: ASSISTING MY DAUGHTER REBEKAH IN HER MUSIC BUSINESS. DUTIES INCLUDE PROCURRING EVENTS, NEGOTIATING AGREEMENTS, AND PAYING EXPENSES.



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	1
Customer Dispute	1

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 1

Reporting Source:	Individual
Regulatory Action Initiated By:	FL INSURANCE COMMISSION
Sanction(s) Sought:	Civil and Administrative Penalty(ies)/Fine(s)
Date Initiated:	03/07/1994
Docket/Case Number:	94-L-282DTG
Employing firm when activity occurred which led to the regulatory action:	METLIFE SECURITIES INC.
Product Type:	Insurance
Allegations:	INSURED ALLEGED I MISREPRESENT A WHOLE LIFE POLICY AS A RETIREMENT PLAN
Current Status:	Final
Resolution:	Stipulation and Consent
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:	11/08/1994
Sanctions Ordered:	Civil and Administrative Penalty(ies)/Fine(s) Other: STIPULATION FOR CONSENT ORDER AND THEN SETTLED. NO



ADMISSION OF GUILT \$1000 FINE. MET AGREED TO PAY FINE BUT I DECIDED TO PAY MYSELF. I WAS INSTRUCTED TO TAKE A COMPLETE TARGET ETHICS COURSE. COMPLETED IN 1995 WITH A SCORE OF 90%. NO OTHER MISREPRESENTATION COMPLAINTS COULD BE BROUGHT AGAINST ME.

Monetary Sanction 1 of 1

Monetary Related Sanction: Civil and Administrative Penalty(ies)/Fine(s)

Total Amount: \$1,000.00

Portion Levied against individual: \$1,000.00

Payment Plan:

Is Payment Plan Current: No

Date Paid by individual: 11/08/1994

Was any portion of penalty waived? No

Amount Waived:

Broker Statement

NOTE: QUESTION 14D (2)(B) WAS ORIGINALLY ANSWERED 'YES' IN ERROR.; A COMPLAINT WAS REPORTED ON BEHALF OF THE INSURED WHICH REPORTED THAT SHE WAS MISLED INTO PURCHASING A WHOLE LIFE POLICY PURPORTED TO BE A "RETIREMENT PROGRAM". THIS PRODUCT WAS SOLD AS INSURANCE TO THE INSURED, THE INSURED TOOK A FULL BLOOD AND URINE EXAM AND THE POLICY WAS REVIEWED ON ITS ANNIVERSARY. THIS COMPLAINT IS WHOLLY WITHOUT ANY MERIT IS NON-SECURITIES RELATED AND DEFAMATORY. THIS COMPLAINT WAS INVESTIGATED BY THE INSURANCE DEPARTMENT AND THE CASE WAS CLOSED STATING NO WRONGDOING. IT WAS THEN RE-OPENED 5 MONTHS LATER WHEN THE METLIFE CLASS ACTION SUIT HAD BEEN STARTED.



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: Firm

Employing firm when activities occurred which led to the complaint: PARK AVENUE SECURITIES LLC

Allegations: CUSTOMER ALLEGES THAT THE PRODUCTS SOLD TO HER BY THE REPRESENTATIVE BEGINNING IN 2007, WHICH INCLUDED FIXED PRODUCTS AND VARIABLE ANNUITIES, WERE UNSUITABLE.

Product Type: Annuity-Fixed
Annuity-Variable

Alleged Damages: \$5,000.00

Alleged Damages Amount Explanation (if amount not exact): PAS MADE A GOOD FAITH ESTIMATE AND DETERMINED THAT DAMAGES WOULD EXCEED \$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: 01/03/2012

Complaint Pending? No

Status: Denied

Status Date: 03/05/2012

Settlement Amount:

Individual Contribution Amount:

Firm Statement COMPLAINT FILED PREVIOUSLY WITH MMLISI WAS DENIED. A COMPLAINT RECEIVED BY PAS WHICH APPEARS TO BE THE SAME EVENT IS CURRENTLY PENDING. COMPLAINT DENIED BY PAS.

.....

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: PARK AVENUE SECURITIES LLC

Allegations: COMPLAINANT ALLEGES THAT THE PRODUCTS SOLD TO HER BY THE REPRESENTATIVE BEGINING IN 2007, WHICH INCLUDED FIXED PRODUCTS AND VARIABLE ANNUITIES, WERE UNSUITABLE.



Product Type: Annuity-Fixed
Annuity-Variable

Alleged Damages: \$0.00

Alleged Damages Amount Explanation (if amount not exact): NO SPECIFIC DAMAGE AMOUNT WAS ALLEGED AND THE FIRM WAS UNABLE TO MAKE A GOOD FAITH DETERMINATION THAT DAMAGES WOULD BE UNDER \$5000.

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: 11/04/2011

Complaint Pending? No

Status: Denied

Status Date: 12/02/2011

Settlement Amount:

Individual Contribution Amount:

Broker Statement INTERNAL CASE #201116067.



End of Report

This page is intentionally left blank.