



IAPD Report

JEFFREY DAVID ROSEN

CRD# 2188720

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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 DAVID ROSEN (CRD# 2188720)

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 **10/20/2025**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	QUASAR DISTRIBUTORS, LLC	CRD# 103848	11/13/2023
IA	BAHL & GAYNOR INC	CRD# 106139	02/28/2024

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **4** 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	ADVISORS ASSET MANAGEMENT, INC.	46727	DUNWOODY, GA	02/25/2016 - 07/06/2023
B	ADVISORS ASSET MANAGEMENT, INC.	46727	MONUMENT, CO	01/30/2015 - 07/06/2023
B	FORETHOUGHT DISTRIBUTORS, LLC	8326	HARTFORD, CT	09/20/2012 - 01/28/2015

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
Termination	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 4 jurisdiction(s) and 1 SRO(s) through his or her employer(s).

Employment 1 of 2

Firm Name: **BAHL & GAYNOR INC**
Main Address: 255 EAST FIFTH STREET
SUITE 2700
CINCINNATI, OH 45202
Firm ID#: 106139

Regulator	Registration	Status	Date	
IA	Alabama	Investment Adviser Representative	Approved	02/28/2024
IA	Florida	Investment Adviser Representative	Approved	03/21/2024
IA	Georgia	Investment Adviser Representative	Approved	03/01/2024
IA	South Carolina	Investment Adviser Representative	Approved	03/12/2024

Branch Office Locations

BAHL & GAYNOR INC
Dunwoody, GA

Employment 2 of 2

Firm Name: **QUASAR DISTRIBUTORS, LLC**
Main Address: 190 MIDDLE STREET
SUITE 301
PORTLAND, ME 04101
Firm ID#: 103848

Regulator	Registration	Status	Date	
B	FINRA	General Securities Representative	Approved	11/13/2023
B	Alabama	Agent	Approved	11/15/2023
B	Florida	Agent	Approved	11/14/2023



Qualifications

Regulator	Registration	Status	Date
B Georgia	Agent	Approved	11/15/2023
B South Carolina	Agent	Approved	11/21/2023

Branch Office Locations

Atlanta, GA



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, 2 general industry/product exams, and 2 state securities law exams.

Principal/Supervisory Exams

Exam	Category	Date
 Investment Company Products/Variable Contracts Principal Examination (S26)	Series 26	04/25/2008

General Industry/Product Exams

Exam	Category	Date
 Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
 General Securities Representative Examination (S7)	Series 7	10/19/2000

State Securities Law Exams

Exam	Category	Date
  Uniform Combined State Law Examination (S66)	Series 66	02/22/2016
 Uniform Securities Agent State Law Examination (S63)	Series 63	11/11/1991

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	02/25/2016 - 07/06/2023	ADVISORS ASSET MANAGEMENT, INC.	CRD# 46727	DUNWOODY, GA
B	01/30/2015 - 07/06/2023	ADVISORS ASSET MANAGEMENT, INC.	CRD# 46727	MONUMENT, CO
B	09/20/2012 - 01/28/2015	FORETHOUGHT DISTRIBUTORS, LLC	CRD# 8326	HARTFORD, CT
B	02/07/2012 - 10/23/2012	INNOVATION PARTNERS LLC	CRD# 146344	NEEDHAM, MA
B	01/21/2010 - 06/03/2010	PACIFIC SELECT DISTRIBUTORS, INC.	CRD# 4452	NEWPORT BEACH, CA
B	09/19/2006 - 06/05/2009	LINCOLN FINANCIAL DISTRIBUTORS, INC.	CRD# 145	DUNWOODY, GA
B	05/07/2002 - 08/02/2006	PLANCO FINANCIAL SERVICES, LLC	CRD# 8326	HARTFORD, CT
B	11/02/2000 - 11/09/2001	PRUDENTIAL INVESTMENT MANAGEMENT SERVICES LLC	CRD# 18353	NEWARK, NJ
B	09/13/1993 - 09/27/1993	CORPORATE SECURITIES GROUP, INC.	CRD# 11025	
B	03/25/1992 - 08/05/1993	FIDELITY BROKERAGE SERVICES, INC.	CRD# 7784	
B	11/07/1991 - 12/03/1991	CADARET, GRANT & CO., INC.	CRD# 10641	

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
11/2023 - Present	Quasar Distributors, LLC	Registered Representative	Y	Atlanta, GA, United States
07/2023 - Present	BG IS, LLC	Institutional Portfolio Consultant	Y	Atlanta, GA, United States
01/2015 - 06/2023	ADVISORS ASSET MANAGEMENT, INC	SENIOR REGIONAL VICE PRESIDENT	Y	MONUMENT, CO, 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) BG IS, LLC; Investment Related; Atlanta, GA; Investments; Institutional portfolio consultant; Represents the firm's investment portfolios to institutions and financial professionals in the Southeast; Start: 7/2/2023; 200 Hours Per Month and 0 during Trading.
- 2) Registered Representative with Quasar Distributors, LLC which is not affiliated with Bahl & Gaynor, Inc., or its affiliates.
- 3) Mittrosen LLC; Investment Related; Dunwoody, GA; Restaurant investment; Partner; investment in a restaurant; 0 hrs/mo.



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
Termination	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 1

Reporting Source:	Regulator
Regulatory Action Initiated By:	FINRA
Sanction(s) Sought:	Other: N/A
Date Initiated:	08/02/2010
Docket/Case Number:	2009021029611
Employing firm when activity occurred which led to the regulatory action:	LINCOLN FINANCIAL DISTRIBUTORS, INC.
Product Type:	No Product
Allegations:	FINRA RULE 2010, NASD RULES 2110, 3010 - CERTAIN STATES BEGAN REQUIRING INDIVIDUALS TO SUCCESSFULLY COMPLETE A LONG-TERM CARE CONTINUING EDUCATION (CE) COURSE BEFORE SELLING LONG-TERM CARE INSURANCE PRODUCTS TO RETAIL CUSTOMERS. ROSEN CREATED AN ANSWER KEY FOR A LONG-TERM CARE EXAM FOR ONE STATE AND INSTRUCTED SOME OF HIS DIRECT REPORTS TO CREATE ANSWER KEYS FOR OTHER STATE EXAMS. ROSEN DISTRIBUTED ANSWER KEYS TO THE EXAMS TO FIRM EMPLOYEES. ROSEN INSTRUCTED HIS DIRECT REPORTS TO OBTAIN FROM AND PROVIDE ANSWER KEYS TO OTHER FIRM EMPLOYEES AND PROVIDE THE ANSWERS TO FINANCIAL ADVISORS AT OTHER FIRMS AND WAS AWARE THAT THEY HAD DONE SO. ROSEN FAILED TO SUPERVISE HIS DIRECT REPORTS IN THAT CERTAIN REGISTERED INDIVIDUALS WHO REPORTED TO HIM CREATED ANSWER KEYS TO LONG-TERM CARE CE EXAMS, OBTAIN FROM AND PROVIDED ANSWER KEYS TO OTHER EMPLOYEES, AND PROVIDED THE ANSWERS TO FINANCIAL ADVISORS AND ROSEN WAS AWARE THAT THEY HAD DONE SO.



Current Status:	Final
Resolution:	Acceptance, Waiver & Consent(AWC)
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:	08/02/2010
Sanctions Ordered:	Civil and Administrative Penalty(ies)/Fine(s) Suspension
If the regulator is the SEC, CFTC, or an SRO, did the action result in a finding of a willful violation or failure to supervise?	No
(1) willfully violated any provision of the Securities Act of 1933, the Securities Exchange Act of 1934, the Investment Advisers Act of 1940, the Investment Company Act of 1940, the Commodity Exchange Act, or any rule or regulation under any of such Acts, or any of the rules of the Municipal Securities Rulemaking Board, or to have been unable to comply with any provision of such Act, rule or regulation?	
(2) willfully aided, abetted, counseled, commanded, induced, or procured the violation by any person of any provision of the Securities Act of 1933, the Securities Exchange Act of 1934, the Investment Advisers Act of 1940, the Investment Company Act of 1940, the Commodity Exchange Act, or any rule or regulation under any of such Acts, or any of the rules of the Municipal Securities Rulemaking Board? or	



(3) failed reasonably to supervise another person subject to your supervision, with a view to preventing the violation by such person of any provision of the Securities Act of 1933, the Securities Exchange Act of 1934, the Investment Advisers Act of 1940, the Investment Company Act of 1940, the Commodity Exchange Act, or any rule or regulation under any such Acts, or any of the rules of the Municipal Securities Rulemaking Board?

Sanction 1 of 2

Sanction Type: Suspension

Capacities Affected: ANY PRINCIPAL AND/OR SUPERVISORY CAPACITY

Duration: SIX MONTHS

Start Date: 08/16/2010

End Date: 02/15/2011

Sanction 2 of 2

Sanction Type: Suspension

Capacities Affected: ANY CAPACITY

Duration: THREE MONTHS

Start Date: 08/16/2010

End Date: 11/15/2010

Monetary Sanction 1 of 1

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

Total Amount: \$10,000.00

Portion Levied against individual: \$10,000.00

Payment Plan:

Is Payment Plan Current:

Date Paid by individual: 01/06/2012

Was any portion of penalty waived? No

Amount Waived:

Regulator Statement WITHOUT ADMITTING OR DENYING THE FINDINGS, ROSEN CONSENTED TO THE DESCRIBED SANCTIONS AND TO THE ENTRY OF FINDINGS; THEREFORE, HE IS FINED \$10,000, SUSPENDED FROM ASSOCIATION WITH ANY FINRA MEMBER IN ANY CAPACITY FOR THREE MONTHS, AND SUSPENDED FROM ASSOCIATION WITH ANY FINRA MEMBER IN ANY



PRINCIPAL AND/OR SUPERVISORY CAPACITY FOR SIX MONTHS. THE SUSPENSIONS SHALL RUN CONCURRENTLY. THE FINE IS DUE AND PAYABLE EITHER IMMEDIATELY UPON REASSOCIATION WITH A MEMBER FIRM FOLLOWING THE THREE-MONTH SUSPENSION OR PRIOR TO ANY REQUEST FOR RELIEF FROM ANY STATUTORY DISQUALIFICATION RESULTING FROM THIS OR ANY OTHER EVENT OR PROCEEDING, WHICHEVER IS EARLIER. THE SUSPENSION IN ANY CAPACITY IS IN EFFECT FROM AUGUST 16, 2010 THROUGH NOVEMBER 15, 2010. THE SUSPENSION IN ANY PRINCIPAL AND/OR SUPERVISORY CAPACITY IS IN EFFECT FROM AUGUST 16, 2010 THROUGH FEBRUARY 15, 2011. FINE PAID IN FULL JANUARY 6, 2012.

Reporting Source:	Individual
Regulatory Action Initiated By:	FINRA
Sanction(s) Sought:	Other: N/A
Date Initiated:	08/02/2010
Docket/Case Number:	2009021029611
Employing firm when activity occurred which led to the regulatory action:	LINCOLN FINANCIAL DISTRIBUTORS, INC.
Product Type:	No Product
Allegations:	ROSEN CREATED AN ANSWER KEY FOR A LONG-TERM CARE EXAM FOR ONE STATE AND INSTRUCTED SOME OF HIS DIRECT REPORTS TO CREATE ANSWER KEYS FOR OTHER STATE EXAMS. ROSEN DISTRIBUTED ANSWER KEYS TO THE EXAMS TO FIRM EMPLOYEES. ROSEN INSTRUCTED HIS DIRECT REPORTS TO OBTAIN FROM AND PROVIDE ANSWER KEYS TO OTHER FIRM EMPLOYEES AND PROVIDE THE ANSWERS TO FINANCIAL ADVISORS AT OTHER FIRMS AND WAS AWARE THAT THEY HAD DONE SO. ROSEN FAILED TO SUPERVISE HIS DIRECT REPORTS IN THAT CERTAIN REGISTERED INDIVIDUALS WHO REPORTED TO HIM CREATED ANSWERES TO LONG-TERM CARE CE EXAMS, OBTAIN FROM AND PROVIDED ANSWER KEYS TO OTHER EMPLOYEES, AND PROVIDED THE ANSWERS TO FINANCIAL ADVISORS AND ROSEN WAS AWARE THAT THEY HAD DONE SO.
Current Status:	Final
Resolution:	Acceptance, Waiver & Consent(AWC)
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:	08/02/2010
Sanctions Ordered:	Suspension
Sanction 1 of 2	
Sanction Type:	Suspension
Capacities Affected:	ANY PRINCIPAL AND/OR SUPERVISORY CAPACITY
Duration:	6 MONTHS



Start Date: 08/16/2010
End Date: 02/15/2011
Sanction 2 of 2
Sanction Type: Suspension
Capacities Affected: ANY CAPACITY
Duration: 3 MONTHS
Start Date: 08/16/2010
End Date: 11/15/2010

Monetary Sanction 1 of 1
Monetary Related Sanction: Civil and Administrative Penalty(ies)/Fine(s)
Total Amount: \$10,000.00
Portion Levied against individual: \$10,000.00

Payment Plan:
Is Payment Plan Current: No
Date Paid by individual: 01/06/2012
Was any portion of penalty waived? No

Amount Waived:
Broker Statement INVESTIGATION EVOLVED AND MATURED INTO REGULATORY ACTION



Termination

This disclosure event involves a situation where the Investment Adviser Representative voluntarily resigned, was discharged or was permitted to resign after allegations were made that accused the Investment Adviser Representative of violating investment-related statutes, regulations, rules or industry standards of conduct; fraud or the wrongful taking of property; or failure to supervise in connection with investment-related statutes, regulations, rules or industry standards of conduct.

Disclosure 1 of 2

Reporting Source: Firm
Firm Name: PACIFIC SELECT DISTRIBUTORS
Termination Type: Voluntary Resignation
Termination Date: 05/24/2010
Allegations: WELLS NOTICE DATED 4/23/10 RECEIVED BY FIRM INDICATING FINRA'S PRELIMINARY DETERMINATION TO TAKE DISCIPLINARY ACTION AGAINST REP FOR CREATING A LTC CE ANSWER KEY AND FAILURE TO SUPERVISE. ROSEN VOLUNTARILY RESIGNED EFFECTIVE 5/24/10.

Product Type: Insurance

Reporting Source: Individual
Firm Name: PACIFIC SELECT
Termination Type: Discharged
Termination Date: 05/24/2010
Allegations: CREATED A TRAINING ANSWER KEY FOR 4 REPORTS (DIRECT REPORTS) FOR AN OPEN BOOK STATE CE MODULE
Product Type: Insurance

Disclosure 2 of 2

Reporting Source: Firm
Firm Name: LINCOLN FINANCIAL DISTRIBUTORS, INC.
Termination Type: Discharged
Termination Date: 06/01/2009
Allegations: FIRM TERMINATED MANAGER AFTER INTERNAL INVESTIGATION AND INTERVIEW WITH MANAGER CONCERNING THE CREATION OF ANSWER KEY FOR STATE REQUIRED LONG TERM CARE ON-LINE EXAM. MANAGER CREATED AND PROVIDED ANSWER KEY TO HIS DIRECT REPORTS AND DID NOT SUPERVISE THEIR ACTIVITIES.
Product Type: Insurance

Reporting Source: Individual
Firm Name: LINCOLN FINANCIAL
Termination Type: Discharged
Termination Date: 06/01/2009
Allegations: CREATED AND PROVIDED STATE CE LTC ANSWER SHEET AND FAILED TO



SUPERVISE AFTER PROVIDING STATE LONG TERM CARE CE ANSWERS.

Product Type: Insurance

Broker Statement
PROVIDED CE ANSWERS FOR TRAINING PURPOSES TO FOUR WHOLESALERS WHO WERE NOT REQUIRED TO TAKE CE.



End of Report

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