



IAPD Report

WILLIAM PATRICK ROSEMOND

CRD# 2460252

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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

WILLIAM PATRICK ROSEMOND (CRD# 2460252)

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	MAXIM GROUP LLC	CRD# 120708	10/23/2002
IA	MAXIM FINANCIAL ADVISORS LLC	CRD# 139366	11/01/2017

QUALIFICATIONS

This representative is currently registered in **2** SRO(s) and **35** 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	INVESTEC ERNST & COMPANY	266	NEW YORK, NY	12/18/2000 - 10/23/2002
B	GKN SECURITIES CORP.	19415	NEW YORK, NY	10/13/1995 - 12/18/2000
B	A. R. BARON & CO., INC.	29285	NEW YORK, NY	06/16/1994 - 11/07/1995

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 **35** jurisdiction(s) and 2 SRO(s) through his or her employer(s).

Employment 1 of 2

Firm Name: **MAXIM GROUP LLC**
Main Address: 300 PARK AVE
16TH FLOOR
NEW YORK, NY 10022
Firm ID#: 120708

	Regulator	Registration	Status	Date
B	FINRA	General Securities Representative	Approved	10/23/2002
B	Nasdaq Stock Market	General Securities Representative	Approved	07/12/2006
B	Arizona	Agent	Approved	02/10/2009
B	California	Agent	Approved	10/23/2002
B	Colorado	Agent	Approved	07/28/2021
B	Connecticut	Agent	Approved	02/23/2005
B	Delaware	Agent	Approved	07/19/2019
B	District of Columbia	Agent	Approved	11/20/2020
B	Florida	Agent	Approved	10/25/2002
B	Georgia	Agent	Approved	01/18/2019
B	Illinois	Agent	Approved	06/05/2018
B	Louisiana	Agent	Approved	12/03/2012
B	Maine	Agent	Approved	07/28/2021



Qualifications

Regulator	Registration	Status	Date
B Maryland	Agent	Approved	03/18/2008
B Massachusetts	Agent	Approved	02/09/2009
B Michigan	Agent	Approved	10/23/2002
B Minnesota	Agent	Approved	11/19/2020
B Missouri	Agent	Approved	01/30/2009
B Montana	Agent	Approved	07/27/2007
B Nebraska	Agent	Approved	07/27/2021
B Nevada	Agent	Approved	08/06/2008
B New Hampshire	Agent	Approved	07/28/2021
B New Jersey	Agent	Approved	10/23/2002
B New York	Agent	Approved	10/23/2002
B North Carolina	Agent	Approved	02/11/2015
B Ohio	Agent	Approved	04/13/2021
B Oregon	Agent	Approved	02/02/2009
B Pennsylvania	Agent	Approved	03/18/2008
B Rhode Island	Agent	Approved	08/02/2021
B South Carolina	Agent	Approved	07/29/2021
B Tennessee	Agent	Approved	10/21/2025
B Texas	Agent	Approved	02/02/2009



Qualifications

Regulator	Registration	Status	Date
B Utah	Agent	Approved	07/28/2021
B Vermont	Agent	Approved	07/27/2021
B Virginia	Agent	Approved	03/18/2008
B Washington	Agent	Approved	03/17/2008
B West Virginia	Agent	Approved	03/04/2024

Branch Office Locations

300 Park Ave
16th Floor
NEW YORK, NY 10022

Employment 2 of 2

Firm Name: **MAXIM FINANCIAL ADVISORS LLC**
 Main Address: 300 PARK AVE
 16TH FL
 NEW YORK, NY 10022
 Firm ID#: 139366

Regulator	Registration	Status	Date
IA New Jersey	Investment Adviser Representative	Approved	11/01/2017
IA New York	Investment Adviser Representative	Approved	08/06/2021

Branch Office Locations

MAXIM FINANCIAL ADVISORS LLC
300 PARK AVE
16TH FL
NEW YORK, NY 10022



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
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No information reported.

General Industry/Product Exams

Exam	Category	Date
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B Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
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B General Securities Representative Examination (S7)	Series 7	03/23/1994
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State Securities Law Exams

Exam	Category	Date
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IA Uniform Investment Adviser Law Examination (S65)	Series 65	07/13/2002
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B Uniform Securities Agent State Law Examination (S63)	Series 63	04/04/1994
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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	12/18/2000 - 10/23/2002	INVESTEC ERNST & COMPANY	CRD# 266	NEW YORK, NY
B	10/13/1995 - 12/18/2000	GKN SECURITIES CORP.	CRD# 19415	NEW YORK, NY
B	06/16/1994 - 11/07/1995	A. R. BARON & CO., INC.	CRD# 29285	NEW YORK, NY
B	03/24/1994 - 06/14/1994	D. H. BLAIR & CO., INC.	CRD# 6833	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
10/2017 - Present	MAXIM FINANCIAL ADVISORS	INVESTMENT ADVISOR REPRESENTATIVE	Y	NEW YORK, NY, United States
10/2002 - Present	MAXIM GROUP LLC	MASS TRANSFER	Y	WOODBURY, NY, 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.

No information reported.



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

Reporting Source:	Regulator
Regulatory Action Initiated By:	ILLINOIS SECURITIES DEPARTMENT
Sanction(s) Sought:	Revocation
Other Sanction(s) Sought:	
Date Initiated:	12/15/1999
Docket/Case Number:	9900213
Employing firm when activity occurred which led to the regulatory action:	GKN SECURITIES CORP.
Product Type:	No Product
Other Product Type(s):	
Allegations:	THE RESPONDENT'S SALESPERSON REGISTRATION IN ILLINOIS IS SUBJECT TO REVOCATION BASED UPON A NATIONAL ASSOCIATION SECURITIES DEALERS, INC., DISTRICT BUSINESS CONDUCT COMMITTEE FOR DISTRICT NO. 10'S DECISION AND ORDER ACCEPTING RESPONDENT'S OFFER OF SETTLEMENT, COMPLAINT NO. C8A970017.
Current Status:	Final
Resolution:	Consent
Resolution Date:	03/06/2000
Sanctions Ordered:	Monetary/Fine \$500.00
Other Sanctions Ordered:	CONSENT TO WITHDRAW HIS SALESPERSON REGISTRATION IN ILLINOIS.



Sanction Details: THE RESPONDENT SHALL CAUSE TO HAVE HIS REGISTRATION AS A SALESPERSON IN ILLINOIS WITHDRAWN WITHIN THREE DAYS FROM ENTRY OF THIS CONSENT ORDER AND HE SHALL NOT RE-APPLY FOR REGISTRATION FOR A PERIOD OF ONE YEAR FROM ENTRY OF THIS CONSENT ORDER. THE RESPONDENT SHALL PAY \$500.00 FOR CERTAIN COST OF INVESTIGATION IN THIS MATTER.

Regulator Statement A NOTICE OF HEARING, ISSUED DECEMBER 15, 1999. THE HEARING WILL BE HELD FEBRUARY 2, 1999.

A CONSENT ORDER OF WITHDRAWAL, ISSUED MARCH 6, 2000.

CONTACT: 9217) 785-4948

Reporting Source: Individual

Regulatory Action Initiated By: STATE OF ILLINOIS

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

Other Sanction(s) Sought:

Date Initiated: 12/15/1999

Docket/Case Number: FILE NO. 9900213

Employing firm when activity occurred which led to the regulatory action: GKN SECURITIES CORP

Product Type: No Product

Other Product Type(s):

Allegations: BASED UPON A PREVIOUS DERIVATIVE CLAIM ARISING FROM AN NASD CONSENT ORDER (NO. C8A970017).

Current Status: Final

Resolution: Consent

Resolution Date: 03/06/2000

Sanctions Ordered: Monetary/Fine \$500.00

Other Sanctions Ordered: CONSENT TO WITHDRAW HIS SALESPERSON REGISTRATION IN ILLINOIS.

Sanction Details: THE RESPONDENT SHALL CAUSE TO HAVE HIS REGISTRATION AS A SALESPERSON IN ILLINOIS WITHDRAWN WITHIN THREE DAYS FROM ENTRY OF THIS CONSENT AND HE SHALL NOT RE-APPLY FOR REGISTRATION FOR A PERIOD OF ONE YEAR FROM ENTRY OF THIS CONSENT ORDER. THE RESPONDENT SHALL PAY \$500.00 FOR CERTAIN COST OF INVESTIGATION IN THIS MATTER.

Broker Statement A NOTICE OF HEARING ISSUED DECEMBER 15, 1999. THE HEARING WILL BE HELD FEBRUARY 2, 1999. A CONSENT ORDER OF WITHDRAWAL, ISSUED MARCH 6, 2000.

Disclosure 2 of 2

Reporting Source: Regulator



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

Sanction(s) Sought: Censure

Other Sanction(s) Sought:

Date Initiated: 03/03/1997

Docket/Case Number: C8A970017

Employing firm when activity occurred which led to the regulatory action:

Product Type: Other

Other Product Type(s):

Allegations: COMPLAINT NO. C8A970017 FILED MARCH 3, 1997 BY DISTRICT NO. 8 AGAINST RESPONDENTS ALLEGING VIOLATIONS OF NASD CONDUCT RULES 2110 AND 3010 IN THAT RESPONDENTS PURCHASED OR CAUSED TO BE PURCHASED SECURITIES FOR THE ACCOUNTS OF PUBLIC CUSTOMERS WITHOUT THE CUSTOMERS' KNOWLEDGE OR CONSENT AND IN THE ABSENCE OF WRITTEN OR ORAL AUTHORIZATION TO EXERCISE DISCRETION IN SAID ACCOUNTS;

Current Status: Final

Resolution: Decision & Order of Offer of Settlement

Resolution Date: 03/04/1999

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

Other Sanctions Ordered:

Sanction Details: ON MARCH 4, 1999, THE DECISION AND ORDER OF ACCEPTANCE OF OFFER OF SETTLEMENT SUBMITTED BY RESPONDENT ROSEMOND WAS ISSUED; THEREFORE, HE IS CENSURED, FINED \$5,000, AND SUSPENDED FROM ASSOCIATION WITH ANY NASD MEMBER IN ANY CAPACITY FOR 10 BUSINESS DAYS.

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Reporting Source: Individual

Regulatory Action Initiated By: DISTRICT BUSINESS CONDUCT COMMITTEE DISTRICT 10 (NASD)

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

Other Sanction(s) Sought:

Date Initiated: 03/03/1997

Docket/Case Number: C8A970017

Employing firm when activity occurred which led to the regulatory action: GKN SECURITIES CORP

Product Type: No Product



Other Product Type(s):

Allegations: CLAIMANTS ALLEGES TAHT I SOLD OR CAUSED TO BE SOLD AND PURCHASE OR CAUSED TO BE PURCHASE SECURITIES WITHOUT THE KNOWLEDGE OR CONSENT OR NT. THE CONDUCT IS ALLEGED TO VIOLATE NASD CONDUCT RULE 2110.

Current Status: Final

Resolution: Decision & Order of Offer of Settlement

Resolution Date: 03/04/1999

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

Other Sanctions Ordered:

Sanction Details: BASED ON THE ACCEPTING OF THE OFFER OF SETTLEMENT, I WILL BE CENSURED, SUSPENDED FROM ASSOCIATION WITH ANY MEMBER OF THE NASD IN ANY CAPACITY FOR A PERIOD OF TEN BUSINESS DAYS AND FINED \$5,000. (APRIL 19, 1999 TO APRIL 30, 1999.

Broker Statement NOT PROVIDED



End of Report

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