User Guidance

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IAPD Report

MICHAEL WAYNE ROLLINS

CRD# 2751924

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

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Report Summary

MICHAEL WAYNE ROLLINS (CRD# 2751924)

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	FIDELITY BROKERAGE SERVICES LLC	CRD# 7784	11/06/1998
IA	STRATEGIC ADVISERS LLC	CRD# 104555	03/31/2025

QUALIFICATIONS

This representative is currently registered in **2** SRO(s) and **52** 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	FIDELITY PERSONAL AND WORKPLACE ADVISORS	288590	ROANOKE, TX	07/13/2018 - 03/31/2025
IA	STRATEGIC ADVISERS LLC	104555	WESTLAKE, TX	03/19/2008 - 07/13/2018
B	FIDELITY INVESTMENTS INSTITUTIONAL SERVICES COMPANY, INC.	17507	SMITHFIELD, RI	06/05/1996 - 10/29/1998

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
Criminal	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 **52** jurisdiction(s) and 2 SRO(s) through his or her employer(s).

Employment 1 of 2

Firm Name: **STRATEGIC ADVISERS LLC**
Main Address: 155 SEAPORT BLVD
BOSTON, MA 02210-2698
Firm ID#: 104555

	Regulator	Registration	Status	Date
IA	Texas	Investment Adviser Representative	Approved	03/31/2025

Branch Office Locations

STRATEGIC ADVISERS LLC
ROANOKE, TX

Employment 2 of 2

Firm Name: **FIDELITY BROKERAGE SERVICES LLC**
Main Address: 900 SALEM STREET
SMITHFIELD, RI 02917
Firm ID#: 7784

	Regulator	Registration	Status	Date
B	FINRA	General Securities Representative	Approved	11/06/1998
B	FINRA	Invest. Co and Variable Contracts	Approved	12/08/1998
B	New York Stock Exchange	General Securities Representative	Approved	02/25/1999
B	Alabama	Agent	Approved	05/26/2022
B	Alaska	Agent	Approved	01/05/2011
B	Arizona	Agent	Approved	02/18/1999
B	Arkansas	Agent	Approved	01/04/2006

Qualifications

	Regulator	Registration	Status	Date
B	California	Agent	Approved	11/06/1998
B	Colorado	Agent	Approved	11/12/1998
B	Connecticut	Agent	Approved	05/26/2022
B	Delaware	Agent	Approved	06/07/2022
B	District of Columbia	Agent	Approved	05/26/2022
B	Florida	Agent	Approved	01/05/2006
B	Georgia	Agent	Approved	05/31/2022
B	Hawaii	Agent	Approved	01/05/2011
B	Idaho	Agent	Approved	01/04/2011
B	Illinois	Agent	Approved	01/03/2006
B	Indiana	Agent	Approved	01/03/2014
B	Iowa	Agent	Approved	11/09/1998
B	Kansas	Agent	Approved	03/16/1999
B	Kentucky	Agent	Approved	05/31/2022
B	Louisiana	Agent	Approved	01/05/2006
B	Maine	Agent	Approved	05/26/2022
B	Maryland	Agent	Approved	05/26/2022
B	Massachusetts	Agent	Approved	05/26/2022

Qualifications

	Regulator	Registration	Status	Date
B	Michigan	Agent	Approved	05/27/2022
B	Minnesota	Agent	Approved	01/06/1999
B	Mississippi	Agent	Approved	01/06/2011
B	Missouri	Agent	Approved	01/04/2006
B	Montana	Agent	Approved	01/04/2011
B	Nebraska	Agent	Approved	11/10/1998
B	Nevada	Agent	Approved	01/14/2011
B	New Hampshire	Agent	Approved	05/31/2022
B	New Jersey	Agent	Approved	05/26/2022
B	New Mexico	Agent	Approved	11/12/1998
B	New York	Agent	Approved	05/26/2022
B	North Carolina	Agent	Approved	05/31/2022
B	North Dakota	Agent	Approved	11/10/1998
B	Ohio	Agent	Approved	05/27/2022
B	Oklahoma	Agent	Approved	11/06/1998
B	Oregon	Agent	Approved	01/03/2011
B	Pennsylvania	Agent	Approved	05/26/2022
B	Puerto Rico	Agent	Approved	06/02/2022
B	Rhode Island	Agent	Approved	06/03/2022

Qualifications

	Regulator	Registration	Status	Date
B	South Carolina	Agent	Approved	05/26/2022
B	South Dakota	Agent	Approved	11/19/1998
B	Tennessee	Agent	Approved	05/26/2022
B	Texas	Agent	Approved	02/16/1999
B	Utah	Agent	Approved	01/10/2011
B	Vermont	Agent	Approved	05/26/2022
B	Virginia	Agent	Approved	05/26/2022
B	Washington	Agent	Approved	01/06/2011
B	West Virginia	Agent	Approved	05/26/2022
B	Wisconsin	Agent	Approved	01/03/2006
B	Wyoming	Agent	Approved	01/05/2011

Branch Office Locations

FIDELITY BROKERAGE SERVICES, LLC
ROANOKE, TX

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, 3 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
B	Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
B	General Securities Representative Examination (S7)	Series 7	07/30/1998
B	Investment Company Products/Variable Contracts Representative Examination (S6)	Series 6	06/04/1996

State Securities Law Exams

	Exam	Category	Date
IA B	Uniform Combined State Law Examination (S66)	Series 66	03/17/2008
B	Uniform Securities Agent State Law Examination (S63)	Series 63	06/24/1996

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	07/13/2018 - 03/31/2025	FIDELITY PERSONAL AND WORKPLACE ADVISORS	CRD# 288590	ROANOKE, TX
IA	03/19/2008 - 07/13/2018	STRATEGIC ADVISERS LLC	CRD# 104555	WESTLAKE, TX
B	06/05/1996 - 10/29/1998	FIDELITY INVESTMENTS INSTITUTIONAL SERVICES COMPANY, INC.	CRD# 17507	SMITHFIELD, RI

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
03/2025 - Present	Fidelity Investments	Mass Transfer	Y	BOSTON, MA, United States
07/2018 - Present	FIDELITY PERSONAL AND WORKPLACE ADVISORS	Mass Transfer	Y	BOSTON, MA, United States
10/1998 - Present	FIDELITY BROKERAGE SERVICES, INC.	NOT PROVIDED	Y	DALLAS, TX, 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	1
Criminal	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:	Regulator
Regulatory Action Initiated By:	TEXAS STATE SECURITIES BOARD
Sanction(s) Sought:	
Other Sanction(s) Sought:	
Date Initiated:	02/16/1999
Docket/Case Number:	99-010, CAF-1339
Employing firm when activity occurred which led to the regulatory action:	
Product Type:	
Other Product Type(s):	
Allegations:	Not Provided
Current Status:	Final
Resolution:	Order
Resolution Date:	02/16/1999
Sanctions Ordered:	Monetary/Fine $250.00
Other Sanctions Ordered:	
Sanction Details:	ADMINISTRATIVE DISCIPLINARY ORDER REPRIMANDING AN AGENT

Regulator Statement	ON FEB 16, 1999, THE TEXAS SECURITIES COMMISSIONER ENTERED A DISCIPLINARY ORDER REPRIMANDING AND FINING MICHAEL WAYNE ROLLINS FOR FAILURE TO DISCLOSE A MISDEMEANOR CHARGE ON HIS FORM U-4 AS REQUIRED BY SECTIONS 14.A(6) AND 14.A(7) OF THE TEXAS SECURITIES ACT. PURSUANT TO SEC. 23-1 OF THE ACT, THE ORDER ASSESSES AN ADMINISTRATIVE FINE IN THE AMOUNT OF $250.00. CONTACT: ENFORCEMENT DIVISION, (512) 305-8392

Reporting Source:	Individual
Regulatory Action Initiated By:	THE STATE OF TEXAS SECURITIES DIVISION
Sanction(s) Sought:	
Other Sanction(s) Sought:	
Date Initiated:	02/16/1999
Docket/Case Number:	99-010, CAF-1339
Employing firm when activity occurred which led to the regulatory action:	
Product Type:	
Other Product Type(s):	
Allegations:	FAILURE TO DISCLOSE A CLASS B MISDEMEANOR THEFT OF PUBLIC PROPERTY FROM 1986 ON MY INITIAL U4. THIS WAS A VIOLATION OF TEXAS STATE STATUTE, THEREFORE, AN ORDER WAS ISSUED AGAINST ME.
Current Status:	Final
Resolution:	Order
Resolution Date:	02/16/1999
Sanctions Ordered:	Monetary/Fine $250.00
Other Sanctions Ordered:	
Sanction Details:	PAID FINE OF $250 TO STATE OF TEXAS AND WAS APPROVED TO CONDUCT SECURITIES IN TEXAS AS OF 2/16/99
Broker Statement	Not Provided

Criminal

This disclosure event involves a criminal charge against the Investment Adviser Representative that has resulted in a dismissal, plea, acquittal or conviction. The criminal matter may relate to any felony or certain misdemeanor offenses (e.g., bribery, perjury, forgery, counterfeiting, extortion, fraud, wrongful taking of property).

Disclosure 1 of 1

Reporting Source:	Individual
Court Details:	CITY OF HURST, TX Not Provided
Charge Date:	07/01/1986
Charge Details:	CLASS B MISDEANOR THEFT
Felony?	
Current Status:	Final
Status Date:	07/09/1986
Disposition Details:	ARRESTED FOR CLASS B MISDEMEANOR (THEFT), DID NOT TO WANT TO GO TO COURT. ANY FINES DID NOT EXCEED $200, NO SUSPENSION
Broker Statement	I HAVE CHECKED WITH CITY OF HURST, TX REGARDING INCIDENT. THEY HAVE NO RECORDS OF OFFENSE, NOR COULD I FIND ANY ORIGINAL CASE/DOCKET NUMBER. ALL RECORDS WERE SUPPOSED TO BE DROPPED

End of Report

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