



IAPD Report

DENNIS DEAN ROCKHOLD

CRD# 2850012

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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

DENNIS DEAN ROCKHOLD (CRD# 2850012)

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 **04/08/2024**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	RAYMOND JAMES FINANCIAL SERVICES, INC.	CRD# 6694	06/29/2004
IA	RAYMOND JAMES FINANCIAL SERVICES ADVISORS, INC	CRD# 149018	01/02/2009

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **13** 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	RAYMOND JAMES FINANCIAL SERVICES	6694	LIMA, OH	07/14/2004 - 01/02/2009
IA	METLIFE SECURITIES INC.	14251	LIMA, OH	05/11/2000 - 04/26/2004
B	METLIFE SECURITIES INC.	14251	SPRINGFIELD, MA	02/08/1997 - 04/26/2004

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

Employment 1 of 2

Firm Name: **RAYMOND JAMES FINANCIAL SERVICES, INC.**
Main Address: 880 CARILLON PARKWAY
ST. PETERSBURG, FL 33716
Firm ID#: 6694

	Regulator	Registration	Status	Date
B	FINRA	General Securities Representative	Approved	06/29/2004
B	FINRA	Invest. Co and Variable Contracts	Approved	06/29/2004
B	California	Agent	Approved	01/05/2015
B	Colorado	Agent	Approved	10/16/2015
B	Florida	Agent	Approved	01/19/2017
B	Illinois	Agent	Approved	01/07/2016
B	Indiana	Agent	Approved	08/15/2007
B	Louisiana	Agent	Approved	06/09/2014
B	Michigan	Agent	Approved	10/04/2010
B	Missouri	Agent	Approved	01/31/2024
B	North Carolina	Agent	Approved	09/07/2023
B	Ohio	Agent	Approved	06/30/2004
B	Oklahoma	Agent	Approved	09/16/2016



Qualifications

Regulator	Registration	Status	Date
B Tennessee	Agent	Approved	01/21/2021
B Wisconsin	Agent	Approved	01/05/2022

Branch Office Locations

RAYMOND JAMES FINANCIAL SERVICES
 410 S. CABLE ROAD
 LIMA, OH 45805

Employment 2 of 2

Firm Name: **RAYMOND JAMES FINANCIAL SERVICES ADVISORS, INC**
 Main Address: 880 CARILLON PARKWAY
 SAINT PETERSBURG, FL 33716
 Firm ID#: 149018

Regulator	Registration	Status	Date
IA Ohio	Investment Adviser Representative	Approved	01/02/2009

Branch Office Locations

RAYMOND JAMES FINANCIAL SERVICES ADVISORS, INC
 410 S. CABLE ROAD
 LIMA, OH 45805



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
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No information reported.

General Industry/Product Exams

Exam	Category	Date
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Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
General Securities Representative Examination (S7)	Series 7	12/18/2000
Investment Company Products/Variable Contracts Representative Examination (S6)	Series 6	02/03/1997

State Securities Law Exams

Exam	Category	Date
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Uniform Investment Adviser Law Examination (S65)	Series 65	08/12/2015
Uniform Securities Agent State Law Examination (S63)	Series 63	08/10/2007

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	07/14/2004 - 01/02/2009	RAYMOND JAMES FINANCIAL SERVICES	CRD# 6694	LIMA, OH
IA	05/11/2000 - 04/26/2004	METLIFE SECURITIES INC.	CRD# 14251	LIMA, OH
B	02/08/1997 - 04/26/2004	METLIFE SECURITIES INC.	CRD# 14251	SPRINGFIELD, MA
B	02/08/1997 - 04/26/2004	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
01/2009 - Present	RAYMOND JAMES FINANCIAL SERVICES ADVISORS, INC	MASS TRANSFER	Y	LIMA, OH, United States
01/2006 - Present	ROCKHOLD WENTLING FINANCIAL ADVISORS	Other	N	LIMA, OH, 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 of Business: Address: 410 S Cable Rd, Lima, OH, 45805-3112, United States Activity Type: Non-variable Insurance Position/Title: Agent Investment Related: Yes Start Date: 02/29/2024 Hours per month devoted to this business: 0-1 Hours per month devoted to this business during trading hours: 0-1 Description of duties: Sales and servicing of fixed life insurance policies and sales of new life policies from Pan American Life Insurance Company
- (2)Name of Business: Individual, group health insurance non variable Address: 410 S Cable Rd, Lima, OH, 45805, United States Activity Type: Non-variable Insurance Position/Title: Agent Investment Related: Yes Start Date: 11/15/2019 Hours per month devoted to this business: 0-1 Hours per month devoted to this business during trading hours: 0-1 Description of duties: Selling and servicing individual and group health insurance policies.
- (3)Name of Business: JED Serenity LLC Address: 4625 Wenatchie Trail, Lima, OH, 45805, United States Activity Type: Rental Real Estate Position/Title: Partner Investment Related: Yes Start Date: 02/25/2021 Hours per month devoted to this business: 0-1 Hours per month devoted to this business during trading hours: 0-1 Description of duties: A real estate rental company where my wife and daughter are the sole partners with me. All in the family.
- (4)Name of Business: NA Address: 410 South Cable Road, Suite C Lima, Ohio 45805, Lima, OH, 45805, United States Activity Type: Non-variable Insurance Position/Title: Agent Investment Related: Yes Start Date: 12/19/2011 Hours per month devoted to this business: 2-10 Hours per month devoted to this business during trading hours: 0-1 Description of duties: Agent duties of Life Insurance Sales
- (5)Name of Business: NA Address: 410 South Cable Road , lima, OH, 45805, United States Activity Type: Non-variable Insurance Position/Title: Agent Investment Related: Yes Start Date: 07/18/2011 Hours per month devoted to this business: 2-10 Hours per



Registration & Employment History



OTHER BUSINESS ACTIVITIES

month devoted to this business during trading hours: 0-1 Description of duties: Life and disability insurance agent
(6)Name of Business: Rockhold Wentling Financial Advisors Address: 410 South Cable Road , Lima, OH, 45805, United States
Activity Type: Support Company - Owner Position/Title: Other Investment Related: No Start Date: 01/02/2006 Hours per month
devoted to this business: 0-1 Hours per month devoted to this business during trading hours: 0-1 Description of duties: Owner of
support company name all as per Raymond James.



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	2

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 2

Reporting Source:	Firm
Employing firm when activities occurred which led to the complaint:	METLIFE SECURITIES
Allegations:	UNSUITABLE SALE OF A VARIABLE ANNUITY AND UNSUITABLE SUB-ACCOUNTS WITHIN THE VARIABLE ANNUITY.
Product Type:	Annuity-Variable
Alleged Damages:	\$135,000.00
Is this an oral complaint?	No
Is this a written complaint?	Yes
Is this an arbitration/CFTC reparation or civil litigation?	Yes
Arbitration/Reparation forum or court name and location:	FINRA
Docket/Case #:	05-04505
Filing date of arbitration/CFTC reparation or civil litigation:	08/31/2005

Customer Complaint Information

Date Complaint Received:	08/31/2005
Complaint Pending?	No



Status: Settled

Status Date: 01/15/2007

Settlement Amount: \$39,000.00

Individual Contribution Amount: \$0.00

Arbitration Information

Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.): FINRA

Docket/Case #: 05-04505

Date Notice/Process Served: 08/31/2005

Arbitration Pending? No

Disposition: Settled

Disposition Date: 01/15/2007

Monetary Compensation Amount: \$39,000.00

Individual Contribution Amount: \$0.00

Reporting Source: Firm

Employing firm when activities occurred which led to the complaint: METLIFE

Allegations: THE CLAIMANTS ALLEGE THAT IN 2000 FORMER METLIFE REPRESENTATIVE ROCKHOLD SOLD THEM VARIABLE ANNUITIES THAT WERE NOT SUITABLE FOR THEM AND THAT THEIR FUNDS WERE INVESTED IN SUBACCOUNTS THAT WERE NOT SUITABLE.

Product Type: Annuity(ies) - Variable

Alleged Damages: \$135,000.00

Customer Complaint Information

Date Complaint Received: 09/07/2005

Complaint Pending? No

Status: Arbitration/Reparation

Status Date: 09/07/2005

Settlement Amount:

Individual Contribution Amount:

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: NASD DISPUTE RESOLUTION ARBITRATION NUMBER 05-04505

Date Notice/Process Served: 08/31/2005



Arbitration Pending? Yes

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: METLIFE

Allegations: THE CLAIMANTS ALLEGE THAT IN 2000 FORMER METLIFE REPRESENTATIVE ROLK HOLD SOLD THEM VARIABLE ANNUITIES THAT WERE NOT SUITABLE FOR THEM AND THAT THEIR FUNDS WERE INVESTED IN SUBACCOUNTS THAT WERE NOT SUITABLE.

Product Type: Annuity-Variable

Alleged Damages: \$135,000.00

Is this an oral complaint? No

Is this a written complaint? Yes

Is this an arbitration/CFTC reparation or civil litigation? Yes

Arbitration/Reparation forum or court name and location: FINRA

Docket/Case #: 05-04505

Filing date of arbitration/CFTC reparation or civil litigation: 08/31/2005

Customer Complaint Information

Date Complaint Received: 08/31/2005

Complaint Pending? No

Status: Settled

Status Date: 01/15/2007

Settlement Amount: \$39,000.00

Individual Contribution Amount: \$0.00

Arbitration Information

Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.): FINRA

Docket/Case #: 05-04505

Date Notice/Process Served: 08/31/2005

Arbitration Pending? No

Disposition: Settled

Disposition Date: 01/15/2007

Monetary Compensation Amount: \$39,000.00



Individual Contribution Amount: \$0.00

Broker Statement FORMER CUSTOMERS OF METLIFE SEEK INDEMINTY FOR INVESTMENT LOSSES INCURRED DURING THE BEAR MARKET OF 2001-2002.

Disclosure 2 of 2

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: METLIFE

Allegations: CLIENTS ALLEGE THEY HAVE SUSTAINED SUBSTANTIAL LOSSES AND FEEL THIS IS THE RESULT OF MR. ROCKHOLD HAVING MISLED THEM AND HAVING FAILED TO PROPERLY FULFILL HIS DUTIES AS A FINANCIAL ADVISOR TO THEM.

Product Type: Mutual Fund(s)

Other Product Type(s): VARIABLE UNIVERSAL LIFE INSURANCE

Alleged Damages: \$13,475.96

Customer Complaint Information

Date Complaint Received: 02/25/2002

Complaint Pending? No

Status: Denied

Status Date: 05/09/2002

Settlement Amount:

Individual Contribution Amount:



End of Report

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