IAPD Report

RICHARD ROBERT ROSE

CRD# 404057

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

User Guidance

www.adviserinfo.sec.gov

Report Summary

RICHARD ROBERT ROSE (CRD# 404057)

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 **08/15/2023**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	LPL FINANCIAL LLC	CRD# 6413	08/15/2023
IA	LPL FINANCIAL LLC	CRD# 6413	08/17/2023

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and 1 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	TRIAD ADVISORS LLC	25803	FINLEYVILLE, PA	08/30/2006 - 08/04/2023
IA	TRIAD ADVISORS, LLC	25803	FINLEYVILLE, PA	08/30/2006 - 08/04/2023
B	TOWER SQUARE SECURITIES, INC.	833	FINLEYVILLE, PA	06/05/2001 - 09/06/2006

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
Criminal	1
Customer Dispute	1
Termination	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 **1** jurisdiction(s) and 1 SRO(s) through his or her employer(s).

Employment 1 of 1

Firm Name: **LPL FINANCIAL LLC**

Main Address: 1055 LPL WAY
FORT MILL, SC 29715

Firm ID#: 6413

	Regulator	Registration	Status	Date
B	FINRA	General Securities Principal	Approved	08/15/2023
B	FINRA	General Securities Representative	Approved	08/15/2023
B	FINRA	Operations Professional	Approved	08/15/2023
B	Pennsylvania	Agent	Approved	08/16/2023
IA	Pennsylvania	Investment Adviser Representative	Approved	08/17/2023

Branch Office Locations

LPL FINANCIAL LLC
6116 BROWNSVILLE RD EXIT
STE 103
FINLEYVILLE, PA 15332

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, 4 general industry/product exams, and 3 state securities law exams.

Principal/Supervisory Exams

	Exam	Category	Date
B	General Securities Principal Examination (S24)	Series 24	05/05/1997

General Industry/Product Exams

	Exam	Category	Date
B	Operations Professional Examination (S99TO)	Series 99TO	01/02/2023
B	General Securities Representative Examination (S7TO)	Series 7TO	01/02/2023
B	Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
B	Registered Representative Examination (S1)	Series 1	08/13/1973

State Securities Law Exams

	Exam	Category	Date
IA	Uniform Investment Adviser Law Examination (S65)	Series 65	11/27/2006
IA B	Uniform Combined State Law Examination (S66)	Series 66	07/16/2001
B	Uniform Securities Agent State Law Examination (S63)	Series 63	11/25/1992

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
B	08/30/2006 - 08/04/2023	TRIAD ADVISORS LLC	CRD# 25803	FINLEYVILLE, PA
IA	08/30/2006 - 08/04/2023	TRIAD ADVISORS, LLC	CRD# 25803	FINLEYVILLE, PA
B	06/05/2001 - 09/06/2006	TOWER SQUARE SECURITIES, INC.	CRD# 833	FINLEYVILLE, PA
IA	06/27/2001 - 03/23/2004	TOWER SQUARE SECURITIES, INC.	CRD# 833	FINLEYVILLE, PA
B	11/22/1974 - 03/17/2000	ADVANTAGE CAPITAL CORPORATION	CRD# 146	ATLANTA, GA
B	08/20/1973 - 11/07/1974	WADDELL & REED, INC.	CRD# 866	

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
08/2023 - Present	LPL Financial	Registered Admin	Y	Finleyville, PA, United States
12/2020 - 07/2023	Triad Advisors	Registered Admin	Y	Norcross, GA, United States
08/2006 - 12/2020	TRIAD ADVISORS, INC.	REGISTERED REP	Y	NORCROSS, GA, 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- 08/2023 / Richard R. Rose / TAX PREP / Investment Related / 10 Hrs mnth / 1 Hr during trading / 2 time spnt prcnt / start date 01/01/1971
2- 08/2023 / ROSE FINANCIAL GROUP / DBA for LPL Business (entity for LPL business) / Investment Related / 160 hrs mnth / 8 hrs during trading / 100 time spnt prcnt
3- 08/2023 / Richard R. Rose / Tax Prep/Accounting/CPA / Investment Related / 10 hrs mnth / 1 hrs during trading / 2 time spnt prcnt / start date 01/01/1971

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
Criminal	1
Customer Dispute	1
Termination	1

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
Organization Name (if charge(s) were brought against an organization over which individual exercised control):	N/A
Court Details:	COMMONWEALTH OF PENNSYLVANIA ALLEGHENY COUNTY, PA STATE COURT DOCKET NUMBER: CR-0000232-99
Charge Date:	09/20/1999
Charge Details:	1. ONE COUNT, 2. FELONY CRIMINAL CONSPIRACY, 3. PLEA OF NOT GUILTY.
Felony?	Yes
Current Status:	Final
Status Date:	10/27/2000
Disposition Details:	A. DISMISSED OCTOBER 27, 2000 BY THE COURT OF COMMON PLEAS OF ALLEGHENY COUNTY, PENNSYLVANIA
Broker Statement	I WAS CHARGED IN SEPTEMBER OF 1999 WITH ONE COUNT OF CRIMINAL CONSPIRACY IN CONNECTION WITH CERTAIN ALLEGED ACTIVITIES OF MY FATHER, ROBERT C. ROSE. A CRIMINAL COMPLAINT WAS FILED BY THE DISTRICT ATTORNEY ERRONEOUSLY ACCUSING ME OF CONSPIRING WITH MY FATHER TO FACILITATE THE THEFT OF FUNDS BELONGING TO CERTAIN OF HIS CLIENTS AND FRIENDS. THE EVIDENCE SHOWED THAT I HAD NO INVOLVEMENT WHATSOEVER WITH MY FATHER IN ANY ALLEGED IMPROPRIETIES. THE CRIMINAL CHARGE AGAINST ME WAS DISMISSED BY THE COURT ON OCTOBER 27, 2000 FOR FOR LACK OF EVIDENCE.

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:	ADVANTAGE CAPITAL CORPORATION
Allegations:	CORRESPONDENCE FROM THE CLIENT'S ATTORNEY INDICATED THAT CUSTOMER PURCHASED OVER $90,000 OF WHAT WAS PURPORTED TO BE TAX-FREE MUNICIPAL BONDS FROM 1988 TO 1999 THROUGH THIRD PARTY, WHO IS RICHARD ROSE'S FATHER. SINCE THE REP'S FATHER IS NOT LICENSED, THE CLIENT ALLEGES THAT IT WAS UNDERSTOOD THAT THE PURCHASES WERE BEING MADE THROUGH RICHARD ROSE. THE MONEY WAS NOT INVESTED THROUGH OUR FIRM AND THE FUNDS HAVE NOT BEEN RECOVERED.
Product Type:	Other
Alleged Damages:	$150,000.00

Customer Complaint Information

Date Complaint Received:	09/29/1999
Complaint Pending?	No
Status:	Settled
Status Date:	05/21/2001
Settlement Amount:	$46,316.66
Individual Contribution Amount:	$0.00

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.:	NASD CASE NO. 00-02817
Date Notice/Process Served:	09/29/1999
Arbitration Pending?	No
Disposition:	Settled
Disposition Date:	05/21/2001
Monetary Compensation Amount:	$46,316.66
Individual Contribution Amount:	$0.00

Reporting Source:	Individual

Employing firm when activities occurred which led to the complaint:	ADVANTAGE CAPITAL CORPORATION
Allegations:	CORRESPONENCE FROM THE CLIENT'S ATTORNEY INDICATED THAT CUSTOMER PURCHASED OVER $90,000 OF WHAT WAS PURPOSED TO BE TAX-FREE MUNICIPAL BONDS FROM 1988 TO 1999 THROUGH THIRD PARTY, WHO IS RICHARD ROSE'S FATHER. SINCE THE REP'S FATHER IS NOT LICENSED, THE CLIENT ALLEGES THAT IT WAS UNDERSTOOD THAT THE PURCHASES WERE BEING MADE THROUGH RICHARD ROSE. THE MONEY WAS NOT INVESTED THROUGH OUR FIRM AND THE FUNDS HAVE NOT BEEN RECOVERED.
Product Type:	Other
Alleged Damages:	$150,000.00

Customer Complaint Information

Date Complaint Received:	09/29/1999
Complaint Pending?	No
Status:	Arbitration/Reparation
Status Date:	05/21/2001
Settlement Amount:	
Individual Contribution Amount:	

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.:	ARBITRATION CLAIM NASD ARBITRATION NO 00-02817
Date Notice/Process Served:	09/29/1999
Arbitration Pending?	No
Disposition:	Settled
Disposition Date:	05/21/2001
Monetary Compensation Amount:	$46,316.66
Individual Contribution Amount:	$0.00
Broker Statement	AN ARBITRATION CLAIM WAS FILED BY [CUSTOMER] IN JULY 2000. THE CLAIM WAS FOR DAMAGES ARISING OUT OF THE VERY SAME ALLEGATIONS WHICH WERE REFERENCED IN DRP 14A1B. THERE WAS NO BASIS FOR THIS ACTION AND WAS SETTLED BY ADVANTAGE CAPITAL CORPORATION DUE TO THE POTENTIAL COST OF LITIGATION WITH NO CONTRIBUTION FROM MYSELF.

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 1

Reporting Source:	Individual
Firm Name:	ADVANTAGE CAPITAL CORPORATION
Termination Type:	Voluntary Resignation
Termination Date:	02/16/2000
Allegations:	AS A RESULT OF A COMPLAINT FILED BY [CUSTOMER], AN NASD CONDUCT RULE 3070 INVESTIGATION WAS CONDUCTED BY THE NASD REGULATION (EXAMINATION NO. E9A990826).
Product Type:	No Product
Other Product Types:	
Broker Statement	ADVANTAGE CAPITAL REQUIRED THAT I ANSWER CERTAIN QUESTIONS WHICH MY ATTORNEY WOULD NOT ALLOW ME TO ANSWER DUE TO THE PENDING CRIMINAL CARGES NOTED ON DRP 23A(1)(B). I VOLUNTARARILY RESIGNED DUE TO THE ADVICE OF MY ATTORNEY, NOT BECAUSE I HAD ENGAGED IN ANY IMPROPER CONDUCT. IN OCTOBER, 2000, NASD REGULATION FOUND THAT NO ACTION WAS WARRANTED REGARDING [CUSTOMER]'S COMPLAINT.

End of Report

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