



IAPD Report

MELVIN ROKEACH

CRD# 4124577

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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

MELVIN ROKEACH (CRD# 4124577)

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 **10/14/2024**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
IA	STRATEGIC WEALTH MANAGEMENT GROUP	CRD# 125882	05/29/2021

QUALIFICATIONS

This representative is currently registered in **0** SRO(s) and **2** 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	MAY CAPITAL GROUP, L.L.C.	37081	NEW YORK, NY	03/14/2008 - 09/24/2018
IA	PARK AVENUE SECURITIES LLC	46173	NEW YORK, NY	01/27/2003 - 02/04/2003
B	PARK AVENUE SECURITIES LLC	46173	NEW YORK, NY	03/06/2000 - 02/04/2003

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	3
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 **2** jurisdiction(s) and **0** SRO(s) through his or her employer(s).

Employment 1 of 1

Firm Name: **STRATEGIC WEALTH MANAGEMENT GROUP**
Main Address: 1776 BROADWAY
SUITE 1900
NEW YORK, NY 10019
Firm ID#: 125882

	Regulator	Registration	Status	Date
	New Jersey	Investment Adviser Representative	Approved	06/08/2021
	New York	Investment Adviser Representative	Approved	05/29/2021

Branch Office Locations

STRATEGIC WEALTH MANAGEMENT GROUP
1776 BROADWAY
SUITE 1900
NEW YORK, NY 10019



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	09/24/2018
 General Securities Representative Examination (S7)	Series 7	09/24/2001
 Investment Company Products/Variable Contracts Representative Examination (S6)	Series 6	03/03/2000

State Securities Law Exams

Exam	Category	Date
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 Uniform Investment Adviser Law Examination (S65)	Series 65	11/19/2001
 Uniform Securities Agent State Law Examination (S63)	Series 63	03/27/2000

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	03/14/2008 - 09/24/2018	MAY CAPITAL GROUP, L.L.C.	CRD# 37081	NEW YORK, NY
IA	01/27/2003 - 02/04/2003	PARK AVENUE SECURITIES LLC	CRD# 46173	NEW YORK, NY
B	03/06/2000 - 02/04/2003	PARK AVENUE SECURITIES LLC	CRD# 46173	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
10/2013 - Present	STRATEGIC WEALTH MANAGEMENT GROUP	PORTFOLIO STRATEGIST	Y	NEW YORK, NY, United States
01/2006 - Present	RAMPART AMERICA	INSURANCE BROKER	N	FORT LEE, NJ, 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.

INSURANCE BROKER (LIFE AND HEALTH, POPERTY & CASUALTY) 10 HOURS PER WEEK. NY, NY. STRATEGIC ADVISORS LLC INDEPENDENT CONTRACTOR FOR REGISTERED INVESTMENT ADVISORY FIRM- ESTIMATED 10 HOURS PER WEEK NY NY



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	3
Criminal	1
Customer Dispute	1
Termination	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 3

Reporting Source:	Regulator
Regulatory Action Initiated By:	NASD
Sanction(s) Sought:	
Date Initiated:	11/24/2003
Docket/Case Number:	C10030106
Employing firm when activity occurred which led to the regulatory action:	PARK AVENUE SECURITIES, LLC
Product Type:	No Product
Allegations:	NASD RULE 2110, IM-1000-1 - RESPONDENT WILLFULLY FAILED TO DISCLOSE MATERIAL FACTS ON HIS FORM U4.
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:	11/24/2003
Sanctions Ordered:	Civil and Administrative Penalty(ies)/Fine(s) Suspension
Regulator Statement	<p>THE SETTLEMENT INCLUDES A FINDING THAT ON OR ABOUT OCTOBER 21, 1999, ROKEACH WILLFULLY FAILED TO DISCLOSE A MATERIAL FACT ON A FORM U4 AND ON OR ABOUT APRIL 24, 2000, HE WILLFULLY MISREPRESENTED A MATERIAL FACT ON A FORM U4 AMENDMENT AND THAT UNDER SECTION 15(B)(4)(A) OF THE SECURITIES EXCHANGE ACT OF 1934 AND ARTICLE III, SECTION 4(F) OF THE NASD BY-LAWS, ROKEACH IS SUBJECT TO A STATUTORY DISQUALIFICATION WITH RESPECT TO ASSOCIATION WITH A MEMBER.</p> <p>WITHOUT ADMITTING OR DENYING THE ALLEGATIONS, ROKEACH CONSENTED TO THE DESCRIBED SANCTIONS AND TO THE ENTRY OF FINDINGS, THEREFORE, HE IS FINED \$7,500 AND SUSPENDED FROM ASSOCIATION WITH ANY NASD MEMBER IN ANY CAPACITY FOR SIX MONTHS. SUSPENSION EFFECTIVE JANUARY 5, 2004 TO JULY 4, 2004. FINES PAID.</p> <p>.....</p>
Reporting Source:	Individual
Regulatory Action Initiated By:	NATIONAL ASSOCIATION OF SECURITIES DEALERS INC.
Sanction(s) Sought:	Suspension
Other Sanction(s) Sought:	\$7,500 FINE
Date Initiated:	09/24/2003
Docket/Case Number:	C1003
Employing firm when activity occurred which led to the regulatory action:	PARK AVENUE SECURITIES LLC
Product Type:	No Product
Other Product Type(s):	
Allegations:	ON OR ABOUT 10/21/99 I FAILED TO DISCLOSE A MATERIAL FACT ON A FORM U-4 AND MISUNDERSTOOD THE QUESTIONS AND ANSWERED INCORRECTLY.
Current Status:	Final
Resolution:	Acceptance, Waiver & Consent(AWC)
Resolution Date:	12/09/2003
Sanctions Ordered:	Monetary/Fine \$7,500.00 Suspension
Other Sanctions Ordered:	
Sanction Details:	A SUSPENSION FROM ASSOCIATING WITH ANY NASD MEMBER FIRM IN ANY CAPACTIY FOR SIX MONTHS BEGINNING JANUARY 5, 2004 AND ENDING JULY 4, 2004 AND A FINE IN THE AMOUNT OF \$7,500. SUBJECT TO A STATUATORY DISQUALIFICATION WITH RESPECT TO ASSOCIATION WITH A MEMBER. I MAY NOT BE ASSOCIATED WITH ANY NASD MEMBER IN ANY CAPACTIY INCLUDING CLERICAL OR MINISTERIAL FUNCTIONS DURING THE PERIOD OF SUSPENSION

**Disclosure 2 of 3**

Reporting Source: Individual

Regulatory Action Initiated By: STATE OF NEW YORK DEPARTMENT OF INSURANCE

Sanction(s) Sought: Other

Other Sanction(s) Sought: STIPULATION IMPOSING A PENALTY OF \$500.00 DATED 7/30/02.

Date Initiated: 06/04/2002

Docket/Case Number: CSB-221426

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

Product Type: Insurance

Other Product Type(s):

Allegations: ANSWERED IN THE NEGATIVE WHEN ASKED WHETHER OTHER THAN TRAFFIC INFRACTIONS I HAD EVER BEEN CONVICTED IN ANY CRIMINAL ACTION WHEN IN FACT I PLED GUILTY OF FILING AN INCORRECT TAX RETURN IN VIOLATION OF TITLE 26 US CODE, SECTION 7206(1) A FELONY ON OR ABOUT NOVEMBER 5, 1987.

Current Status: Final

Resolution: Stipulation and Consent

Resolution Date: 07/30/2002

Sanctions Ordered: Monetary/Fine \$500.00

Other Sanctions Ordered:

Sanction Details: N/A

Disclosure 3 of 3

Reporting Source: Firm

Regulatory Action Initiated By: THE TREASURER OF THE STATE DEPARTMENT OF FLORIDA

Sanction(s) Sought: Other

Other Sanction(s) Sought: PROBATION FOR 1 YEAR AND \$1,500 PENALTY.

Date Initiated: 10/05/2001

Docket/Case Number: 42880-01-AG

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

Product Type: Insurance

Other Product Type(s):

Allegations: ON HIS APPLICATION UNDER OATH FOR AN INSURANCE LICENSE TO THE



STATE OF FLORIDA DEPARTMENT OF INSURANCE ("FL DOI"), MR. ROKEACH FAILED TO DISCLOSE HIS FELONY GUILTY PLEA TO FEDERAL INCOME TAX FRAUD CHARGES AND SUBSEQUENT SENTENCE OF THREE (3) YEARS PROBATION AND \$3000 RESTITUTION PAYMENT. THE FL DOI ALLEGED THAT MR. ROKEACH'S SWORN DENIAL OF ANY PRIOR FELONY CHARGES WAS A VIOLATION OF THE FLORIDA INSURANCE CODE AND RULES OF THE FL DOI.

Current Status: Final

Resolution: Consent

Resolution Date: 02/26/2002

Sanctions Ordered: Monetary/Fine \$1,500.00

Other Sanctions Ordered: 1 YEAR PROBATION

Sanction Details: AN ADMINISTRATIVE PENALTY OF \$1500 AND A 1 YEAR PROBATION WAS ASSESSED SOLELY AGAINST MR. ROKEACH.

Firm Statement MR. ROKEACH CONSENTED TO AN ADMINISTRATIVE ORDER IMPOSING A PENALTY OF \$1,500 AND A 1 YEAR PROBATION.

Reporting Source: Individual

Regulatory Action Initiated By: THE TREASURER OF THE STATE OF FLORIDA DEPARTMENT OF INSURANCE

Sanction(s) Sought: Other

Other Sanction(s) Sought: PROBATION PURSUANT TO SECTION 626.691 FLORIDA STATUTES FOR A PERIOD OF ONE (1) YEAR.

Date Initiated: 12/04/2000

Docket/Case Number: 42880-01-AG

Employing firm when activity occurred which led to the regulatory action: WEALTH ADVISORY GROUP LLC

Product Type: No Product

Other Product Type(s):

Allegations: RESPONDENT MADE A MATERIAL MISSTATEMENT ON HIS AUGUST 7, 2000, APPLICATION FOR LICENSURE BY FAILING TO DIVULGE THAT ON OR ABOUT NOVEMBER 5, 1987, HE PLED GUILTY TO INCOME TAX FRAUD, A FELONY, IN THE UNITED STATES DISTRICT COURT, DISTRICT OF NEW JERSEY.

Current Status: Final

Resolution: Stipulation and Consent

Resolution Date: 02/26/2002

Sanctions Ordered: Monetary/Fine \$1,500.00

Other Sanctions Ordered: PROBATION PURSUANT TO SECTION 626.691 FLORIDA STATUTES FOR A PERIOD OF ONE (1) YEAR.

Sanction Details: RESPONDENT SHALL PAY AN ADMINISTRATIVE PENALTY IN THE AMOUNT OF ONE THOUSAND FIVE HUNDRED DOLLARS (\$1500) AS AUTHORIZED BY 626.681, FLORIDA STATUTES, WITHIN THIRTY (30) DAYS OF THE ENTRY OF



THE CONSENT ORDER. RESPONDENT HAS PAID THE FINE WITHIN THE SPECIFIED TIME AND HIS LICENSE IS CURRENTLY ACTIVE.



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):	NONE
Court Details:	UNITED STATES DISTRICT COURT OF NEW JERSEY 26 U.S.C. 7206(1)CASE NO. 87-00336
Charge Date:	07/01/1987
Charge Details:	A PLEA OF GUILTY TO ONE COUNT OF A TWO COUNT INFORMATION WAS MADE IN JULY 1987 FOR VIOLATION OF TITLE 26 U.S.C. SECTION 7206(1) FOR THE YEAR 1981.
Felony?	Yes
Current Status:	Final
Status Date:	11/05/1987
Disposition Details:	DISPOSITION PLED GUILTY, JULY 22, 1987, 11/5/87 SENTENCE TO 3 YEARS PROBATION, \$3,000.00 FINE PAID, EARLY DISCHARGE FROM PROBATION 11/21/89.
Broker Statement	I RECEIVE ERRONEOUS 1099'S IN 1981 AND 1982, AND PLED QUILTY KNOWING ADDITIONAL INCOME WAS NOT REPORTED. I FILED AN AMENDED TAX RETURNS FOR THOSE YEARS, PAID THE TAXES AND PENALTIES, AND THE MATTER WAS CLOSED. I HAVE NO FURTHER INCIDENTS.



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:	MAY CAPITAL GROUP, L.L.C.
Allegations:	Statement of Claim names May Capital Group, LLC as the Respondent. Melvin Rokeach is identified as the broker/representative of the firm. Claims against the Respondent are misrepresentation, failure to conduct reasonable due diligence, and failure to supervise.
Product Type:	Direct Investment-DPP & LP Interests
Alleged Damages:	\$125,000.00
Is this an oral complaint?	No
Is this a written complaint?	No
Is this an arbitration/CFTC reparation or civil litigation?	Yes
Arbitration/Reparation forum or court name and location:	FINRA Dispute Resolution Services
Docket/Case #:	24-01312
Filing date of arbitration/CFTC reparation or civil litigation:	06/13/2024

Customer Complaint Information

Date Complaint Received:	06/17/2024
Complaint Pending?	No
Status:	Settled
Status Date:	08/13/2024
Settlement Amount:	\$50,000.00
Individual Contribution Amount:	\$50,000.00



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:	PARK AVENUE
Termination Type:	Discharged
Termination Date:	01/30/2003
Allegations:	SENDING CORRESPONDENCE THAT DID NOT GO THROUGH COMPLIANCE
Product Type:	No Product
Other Product Types:	
Broker Statement	UNDER SUPERVISION AND DID NOT FOLLOW PROCEDURES



End of Report

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