



IAPD Report

ALAN ROBERT ROSENBERG

CRD# 4156676

<u>Section Title</u>	<u>Page(s)</u>
Report Summary	1
Qualifications	2 - 4
Registration and Employment History	5
Disclosure Information	6



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

ALAN ROBERT ROSENBERG (CRD# 4156676)

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 **02/17/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	RAYMOND JAMES & ASSOCIATES, INC.	CRD# 705	09/07/2007
IA	RAYMOND JAMES & ASSOCIATES, INC.	CRD# 705	08/17/2021

QUALIFICATIONS

This representative is currently registered in **9** SRO(s) and **18** 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 & ASSOCIATES, INC.	705	ST. PETERSBURG, FL	08/26/2013 - 12/31/2018
IA	MERRILL LYNCH PIERCE FENNER & SMITH INC.	7691	GARDEN CITY, NY	07/18/2006 - 09/13/2007
B	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	7691	GARDEN CITY, NY	03/08/2006 - 09/13/2007

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
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 **18** jurisdiction(s) and 9 SRO(s) through his or her employer(s).

Employment 1 of 1

Firm Name: **RAYMOND JAMES & ASSOCIATES, INC.**

Main Address: 880 CARILLON PARKWAY
ST. PETERSBURG, FL 33716

Firm ID#: 705

	Regulator	Registration	Status	Date
B	FINRA	General Securities Representative	Approved	09/07/2007
B	Investors' Exchange LLC	General Securities Representative	Approved	10/23/2025
B	MEMX LLC	General Securities Representative	Approved	10/23/2025
B	NYSE American LLC	General Securities Representative	Approved	09/07/2007
B	NYSE Arca, Inc.	General Securities Representative	Approved	10/23/2025
B	NYSE Texas, Inc.	General Securities Representative	Approved	10/23/2025
B	Nasdaq PHLX LLC	General Securities Representative	Approved	09/07/2007
B	Nasdaq Stock Market	General Securities Representative	Approved	09/07/2007
B	New York Stock Exchange	General Securities Representative	Approved	09/07/2007
B	Arizona	Agent	Approved	10/07/2025
B	California	Agent	Approved	10/10/2024
B	Connecticut	Agent	Approved	09/07/2007
B	Florida	Agent	Approved	09/07/2007



Qualifications

	Regulator	Registration	Status	Date
B	Georgia	Agent	Approved	02/20/2008
B	Indiana	Agent	Approved	03/03/2011
B	Louisiana	Agent	Approved	06/22/2015
B	Maine	Agent	Approved	09/16/2021
B	Maryland	Agent	Approved	11/27/2007
B	Massachusetts	Agent	Approved	11/19/2007
B	New Jersey	Agent	Approved	10/01/2007
B	New York	Agent	Approved	09/07/2007
IA	New York	Investment Adviser Representative	Approved	08/17/2021
B	North Carolina	Agent	Approved	11/16/2007
B	South Carolina	Agent	Approved	03/06/2008
B	Tennessee	Agent	Approved	10/24/2024
B	Texas	Agent	Approved	01/26/2023
B	Vermont	Agent	Approved	02/17/2026
B	Virginia	Agent	Approved	04/15/2016

Branch Office Locations

RAYMOND JAMES & ASSOCIATES, INC.
1461 FRANKLIN AVENUE; SUITE LLE
GARDEN CITY, NY 11530

RAYMOND JAMES & ASSOCIATES, INC.
ROCKVILLE CENTRE, NY



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 1 state securities law exam.

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 Futures Managed Funds Examination (S31)	Series 31	12/12/2005
B General Securities Representative Examination (S7)	Series 7	05/19/2000

State Securities Law Exams

Exam	Category	Date
IA B Uniform Combined State Law Examination (S66)	Series 66	07/09/2021



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	08/26/2013 - 12/31/2018	RAYMOND JAMES & ASSOCIATES, INC.	CRD# 705	ST. PETERSBURG, FL
IA	07/18/2006 - 09/13/2007	MERRILL LYNCH PIERCE FENNER & SMITH INC.	CRD# 7691	GARDEN CITY, NY
B	03/08/2006 - 09/13/2007	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	CRD# 7691	GARDEN CITY, NY
B	04/29/2005 - 03/08/2006	ADVEST, INC.	CRD# 10	HARTFORD, CT
B	10/20/2004 - 05/03/2005	BANC OF AMERICA INVESTMENT SERVICES, INC.	CRD# 16361	BOSTON, MA
IA	10/20/2004 - 05/03/2005	BANC OF AMERICA INVESTMENT SERVICES, INC.	CRD# 16361	GARDEN CITY, NY
IA	02/27/2003 - 10/20/2004	QUICK & REILLY, INC.	CRD# 11217	GARDEN CITY, NY
B	12/18/2002 - 10/20/2004	QUICK & REILLY, INC.	CRD# 11217	NEW YORK, NY
B	05/17/2001 - 12/19/2002	PRUDENTIAL SECURITIES INCORPORATED	CRD# 7471	NEW YORK, NY
B	05/22/2000 - 05/24/2001	UBS PAINWEBBER INC.	CRD# 8174	WEEHAWKEN, NJ

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
09/2007 - Present	RAYMOND JAMES & ASSOCIATES, INC.	REGISTERED ASSOCIATE	Y	GARDEN CITY, 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	1
Customer Dispute	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 1

Reporting Source:	Individual
Regulatory Action Initiated By:	STATE OF NEW YORK INSURANCE DEPARTMENT
Sanction(s) Sought:	Civil and Administrative Penalt(ies) /Fine(s)
Other Sanction(s) Sought:	
Date Initiated:	01/21/2005
Docket/Case Number:	2004-0293-S
Employing firm when activity occurred which led to the regulatory action:	PRUDENTIAL/PAINE WEBBER
Product Type:	Insurance
Other Product Type(s):	ANNUITIES
Allegations:	ALLEGED REPODENT HAD THE APPLICATS SIGN UNDATED DEFINITION OF REPLACEMENT AND DISCLOSURE STATEMENTS FORMS AND ANNUITY CONTRACT APPLICATIONS PRIOR TO THE COMPLETION OF THE DISCLOSURE STATEMENT FORMS.
Current Status:	Final
Appealed To and Date Appeal Filed:	N/A
Resolution:	Stipulation and Consent
Resolution Date:	03/07/2005



Sanctions Ordered:	Monetary/Fine \$7,158.00
Other Sanctions Ordered:	N/A
Sanction Details:	\$7158.00 AGAINST ME. PAID IN FULL MARCH 7, 2005
Broker Statement	N/A



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:	Individual
Employing firm when activities occurred which led to the complaint:	Raymond James & Associates, Inc.
Allegations:	Client alleges Suitability; Violation of FINRA Rule; Breach of Fiduciary Duty. Date of Activity is: 9/20/07 thru 1/29/16.
Product Type:	Equity Listed (Common & Preferred Stock)
Alleged Damages:	\$150,000.00
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 - New York
Docket/Case #:	16-03465
Filing date of arbitration/CFTC reparation or civil litigation:	11/28/2016

Customer Complaint Information

Date Complaint Received:	12/15/2016
Complaint Pending?	No
Status:	Settled
Status Date:	04/12/2018
Settlement Amount:	\$30,000.00
Individual Contribution Amount:	\$2,811.00

Broker Statement	I was not personally named in this matter, but am referenced therein. I deny any impropriety in the handling of the customer's accounts and state that all transactions were properly authorized and suitable for the customer. Further, the client received a net gain during the relevant investment time period with the Firm. This matter was settled through direct negotiation primarily based on cost of defense. 10/24/2018 - The FA liability portion was based off two combined cases. The total legal amount paid was subtracted from the combined liability to determine remaining balance owed. There is no break down by each case since it is a combined legal matter.
-------------------------	---

**Disclosure 2 of 2**

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	RAYMOND JAMES & ASSOCIATES, INC.
Allegations:	BREACH OF CONTRACT; FRAUD & MISREPRESENTATION; COMMON LAW AND STATUTORY; NEGLIGENCE; BREACH OF FIDUCIARY DUTY & CONSTRUCTIVE TRUST; UNSUITABILITY; AND OVER CONCENTRATION. ACTIVITY DATE IS 5/2008 THRU 6/2009
Product Type:	Equity Listed (Common & Preferred Stock) Mutual Fund
Alleged Damages:	\$194,084.00
Arbitration Information	
Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.):	FINRA - NEW YORK
Docket/Case #:	09-05372
Date Notice/Process Served:	09/23/2009
Arbitration Pending?	No
Disposition:	Settled
Disposition Date:	07/07/2010
Monetary Compensation Amount:	\$80,000.00
Individual Contribution Amount:	\$7,731.16
Broker Statement	CLIENT'S CLAIMS ARE WITHOUT MERIT. CLIENT WAS A MEDIUM RISK INVESTOR AND WAS INVESTED APPROPRIATELY FOR HIS RISK TOLERANCE AND TIME HORIZON. THE CLIENT POSSESSED THE APPROPRIATE NET WORTH FOR THE INVESTMENT STRATEGY EMPLOYED AND WAS NEVER MISLED OR NEGLECTED. SETTLED FOR LEGAL COSTS WITH NO ADMISSION OF WRONGDOING.



End of Report

This page is intentionally left blank.