



IAPD Report

JANICE G AINSWORTH

CRD# 5737205

<u>Section Title</u>	<u>Page(s)</u>
Report Summary	1
Qualifications	2 - 3
Registration and Employment History	4
Disclosure Information	5

i 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

JANICE G AINSWORTH (CRD# 5737205)

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 **09/30/2011**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
	ROCKWORTH INVESTMENT SERVICES LLC	CRD# 154115	09/22/2011

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
	MHP ASSET MANAGEMENT LLC	139995	CONWAY, NH	11/24/2009 - 09/06/2011
	MHP ASSET MANAGEMENT LLC	139995	CONWAY, NH	01/05/2010 - 12/31/2010

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





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: **ROCKWORTH INVESTMENT SERVICES LLC**
Main Address: 115 ODELL HILL ROAD
CENTER CONWAY, NH 03813-4411
Firm ID#: 154115

	Regulator	Registration	Status	Date
	Maine	Investment Adviser Representative	Approved	10/06/2011
	New Hampshire	Investment Adviser Representative	Approved	09/22/2011

Branch Office Locations

ROCKWORTH INVESTMENT SERVICES LLC
115 ODELL HILL ROAD
CENTER CONWAY, NH 03813-4411



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, 0 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
------	----------	------

No information reported.

State Securities Law Exams

Exam	Category	Date
------	----------	------

IA Uniform Investment Adviser Law Examination (S65)	Series 65	04/28/2007
--	-----------	------------

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	11/24/2009 - 09/06/2011	MHP ASSET MANAGEMENT LLC	CRD# 139995	CONWAY, NH
IA	01/05/2010 - 12/31/2010	MHP ASSET MANAGEMENT LLC	CRD# 139995	CONWAY, NH

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
12/2010 - Present	ROCKWORTH INVESTMENT SERVICES LLC	MANAGER	Y	CENTER CONWAY, NH, United States
04/1991 - Present	REMAX PRESIDENTIAL	COMPROLLER	N	CONWAY, NH, 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

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:	NEW HAMPSHIRE
Sanction(s) Sought:	Civil and Administrative Penalty(ies)/Fine(s) Other: CAUTIONED, REQUIRED TO HAVE CONSULTANT DO A COMPLIANCE REVIEW
Date Initiated:	07/20/2011
Docket/Case Number:	I2011000010
URL for Regulatory Action:	
Employing firm when activity occurred which led to the regulatory action:	N/A
Product Type:	No Product
Allegations:	UNLICENSED ACTIVITY. MS. AINSORTH, WHILE IN THE PROCESS OF SEEKING LICENSURE FOR ROCKWORTH INVESTMENT SERVICES, LLC AS AN INVESTMENT ADVISER, CONTACTED POTENTIAL CLIENTS BY EMAIL UNDER THE NAME OF THE FIRM. MS. AINSWORTH HAD SEVERAL CONTACTS WITH POTENTIAL CLIENTS (WHO WERE FORMER CLIENTS OF THE FIRM IN WHICH MS. AINSWORTH HAD BEEN AN INVESTMENT ADVISER REPRESENTATIVE) REGARDING THE STATUS OF THEIR INVESTMENTS. WHILE MS. AINSWORTH DID NOT CHARGE THESE CLIENTS A FEE, THE EXTENSIVE NATURE OF THE CONTACTS LED NEW HAMPSHIRE TO ISSUE A CAUTION AND REQUIRE THE ASSISTANCE OF A COMPLIANCE CONSULTANT IN SETTING UP COMPLIANCE SAFEGUARDS IN THE NEW INVESTMENT ADVISORY FIRM.
Current Status:	Final



Limitation Details:	N/A
Action Appealed To:	
Date Appeal filed:	
Appeal Limitation Details:	N/A
Resolution:	Consent
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:	09/22/2011
Sanctions Ordered:	Civil and Administrative Penalty(ies)/Fine(s) Other: CAUTION, REQUIRED TO HAVE A CONSULTANT DO A COMPLIANCE REVIEW.
Monetary Sanction 1 of 1	
Monetary Related Sanction:	Civil and Administrative Penalty(ies)/Fine(s)
Total Amount:	\$2,000.00
Portion Levied against individual:	\$2,000.00
Payment Plan:	PAID UPON SUBMISSION OF CONSENT ORDER
Is Payment Plan Current:	Yes
Date Paid by individual:	09/13/2011
Was any portion of penalty waived?	No
Amount Waived:	
Regulator Statement	MS. AINSWORTH HAD PREVIOUSLY BEEN LICENSED AS AN INVESTMENT ADVISORY REPRESENTATIVE WITH ANOTHER FIRM. IN DECEMBER 2010, SHE BEGAN THE PROCESS OF APPLYING FOR AN INVESTMENT ADVISER LICENSE UNDER ROCKWORTH INVESTMENT SERVICES, LLC. IN EARLY MARCH 2011, MS. AINSWORTH WAS TERMINATED BY HER FORMER INVESTMENT ADVISER. FOR SEVERAL DAYS AFTER HER TERMINATION, MS. AINSWORTH WAS IN CONTACT WITH FORMER CLIENT TO ADVISE THEM OF HER PLANS FOR A NEW INVESTMENT ADVISER AND ALSO TO PROVIDE ADVICE ON HOW TO HANDLE THEIR ACCOUNTS. MANY OF THESE FORMER CLIENTS WERE DISSATISFIED WITH MS. AINSWORTH'S PREVIOUS EMPLOYER AND HAD TERMINATED THEIR INVESTMENT ADVISORY AGREEMENTS WITH THIS FIRM. SEVERAL EMAILS SENT BY MS. AINSWORTH TO FORMER AND PROSPECTIVE CLIENTS WERE SENT UNDER THE SIGNATURE LINE OF HER NEW, AND AS YET UNLICENSED, FIRM.
.....	
Reporting Source:	Individual
Regulatory Action Initiated By:	NEW HAMPSHIRE
Sanction(s) Sought:	Civil and Administrative Penalty(ies)/Fine(s) Other: CAUTIONED, REQUIRED TO HAVE CONSULTANT DO A COMPLIANCE



	REVIEW
Date Initiated:	09/20/2011
Docket/Case Number:	I2011000010
Employing firm when activity occurred which led to the regulatory action:	N/A
Product Type:	No Product
Allegations:	AINSWORTH WAS CAUTIONED THAT HER CONTACTS WITH POTENTIAL CLIENTS TO ADVISE THEM OF HER PLANS TO ESTABLISH HER OWN INVESTMENT ADVISER AND HER USE OF THE NAME OF THE PROPOSED FIRM AMOUNTED TO HOLDING HERSELF OUT AS AN INVESTMENT ADVISER, EVEN THOUGH SHE DID NOT RECEIVE ANY COMPENSATION FOR SUCH ADVICE, PRIOR TO BEING LICENSED PUT HER IN JEOPARDY OF VIOLATING THE NEW HAMPSHIRE UNIFORM SECURITIES ACT.
Current Status:	Final
Resolution:	Consent
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:	09/22/2011
Sanctions Ordered:	Civil and Administrative Penalty(ies)/Fine(s) Other: CAUTION, REQUIRED TO HAVE A CONSULTANT DO A COMPLIANCE REVIEW.
Monetary Sanction 1 of 1	
Monetary Related Sanction:	Civil and Administrative Penalty(ies)/Fine(s)
Total Amount:	\$2,000.00
Portion Levied against individual:	\$2,000.00
Payment Plan:	PAID UPON SUBMISSION OF CONSENT ORDER
Is Payment Plan Current:	Yes
Date Paid by individual:	09/13/2011
Was any portion of penalty waived?	No
Amount Waived:	
Broker Statement	AINSWORTH FILED AN APPLICATION FOR LICENSURE AS INVESTMENT ADVISER ON DECEMBER 9, 2010. ON MARCH 3, 2011, HER RELATIONSHIP WITH HER PRIOR INVESTMENT ADVISORY FIRM TERMINATED. AINSWORTH ADVISED SOME CLIENTS THAT SHE WAS SEEKING LICENSURE AND THAT SHE COULD NOT PROVIDE INVESTMENT ADVICE UNTIL AND UNLESS SHE WAS LICENSED. AINSWORTH DID NOT RECEIVE ANY COMPENSATION FOR ANY ADVICE OR SERVICES PROVIDED WHILE HER APPLICATION FOR LICENSURE WAS PENDING.



End of Report

This page is intentionally left blank.