

BrokerCheck Report

FREDERICK JOSEPH ROCK

CRD# 2548242

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About BrokerCheck®

BrokerCheck offers information on all current, and many former, registered securities brokers, and all current and former registered securities firms. FINRA strongly encourages investors to use BrokerCheck to check the background of securities brokers and brokerage firms before deciding to conduct, or continue to conduct, business with them.

- **What is included in a BrokerCheck report?**

- BrokerCheck reports for individual brokers include information such as employment history, professional qualifications, disciplinary actions, criminal convictions, civil judgments and arbitration awards. BrokerCheck reports for brokerage firms include information on a firm's profile, history, and operations, as well as many of the same disclosure events mentioned above.

- Please note that the information contained in a BrokerCheck 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 broker or brokerage firm, or concluded through a negotiated settlement with no admission or finding of wrongdoing.

- **Where did this information come from?**

- The information contained in BrokerCheck comes from FINRA's Central Registration Depository, or CRD® and is a combination of:

- o information FINRA and/or the Securities and Exchange Commission (SEC) require brokers and brokerage firms to submit as part of the registration and licensing process, and
- o information that regulators report regarding disciplinary actions or allegations against firms or brokers.

- **How current is this information?**

- Generally, active brokerage firms and brokers are required to update their professional and disciplinary information in CRD within 30 days. Under most circumstances, information reported by brokerage firms, brokers and regulators is available in BrokerCheck the next business day.

- **What if I want to check the background of an investment adviser firm or investment adviser representative?**

- To check the background of an investment adviser firm or representative, you can search for the firm or individual in BrokerCheck. If your search is successful, click on the link provided to view the available licensing and registration information in the SEC's Investment Adviser Public Disclosure (IAPD) website at <https://www.adviserinfo.sec.gov>. In the alternative, you may search the IAPD website directly or contact your state securities regulator at <http://www.finra.org/Investors/ToolsCalculators/BrokerCheck/P455414>.

- **Are there other resources I can use to check the background of investment professionals?**

- FINRA recommends that you learn as much as possible about an investment professional before deciding to work with them. Your state securities regulator can help you research brokers and investment adviser representatives doing business in your state.

Thank you for using FINRA BrokerCheck.



Using this site/information means that you accept the FINRA BrokerCheck Terms and Conditions. A complete list of Terms and Conditions can be found at

brokercheck.finra.org



For additional information about the contents of this report, please refer to the User Guidance or www.finra.org/brokercheck. It provides a glossary of terms and a list of frequently asked questions, as well as additional resources. [For more information about FINRA, visit www.finra.org.](http://www.finra.org)

FREDERICK J. ROCK

CRD# 2548242

This broker is not currently registered.

Report Summary for this Broker

This report summary provides an overview of the broker's professional background and conduct. Additional information can be found in the detailed report.

Broker Qualifications

This broker is not currently registered.

This broker has passed:

- 0 Principal/Supervisory Exams
- 2 General Industry/Product Exams
- 2 State Securities Law Exams

Registration History

This broker was previously registered with the following securities firm(s):

- B PRUCO SECURITIES, LLC.**
CRD# 5685
TAMPA, FL
07/2014 - 08/2019
- B FIFTH THIRD SECURITIES, INC.**
CRD# 628
TAMPA, FL
05/2006 - 11/2013
- B UVEST FINANCIAL SERVICES GROUP, INC.**
CRD# 13787
CHARLOTTE, NC
06/2003 - 05/2006

Disclosure Events

All individuals registered to sell securities or provide investment advice are required to disclose customer complaints and arbitrations, regulatory actions, employment terminations, bankruptcy filings, and criminal or civil judicial proceedings.

Are there events disclosed about this broker? **Yes**

The following types of disclosures have been reported:

Type	Count
Customer Dispute	2
Judgment/Lien	3

Investment Adviser Representative Information

The information below represents the individual's record as a broker. For details on this individual's record as an investment adviser representative, visit the SEC's Investment Adviser Public Disclosure website at

<https://www.adviserinfo.sec.gov>

Broker Qualifications



Registrations

This section provides the self-regulatory organizations (SROs) and U.S. states/territories the broker is currently registered and licensed with, the category of each license, and the date on which it became effective. This section also provides, for every brokerage firm with which the broker is currently employed, the address of each branch where the broker works.

This broker is not currently registered.



Broker Qualifications

Industry Exams this Broker has Passed

This section includes all securities industry exams that the broker has passed. Under limited circumstances, a broker may attain a registration after receiving an exam waiver based on exams the broker has passed and/or qualifying work experience. Any exam waivers that the broker has received are not included below.

This individual has passed 0 principal/supervisory exams, 2 general industry/product exams, and 2 state securities law exams.

Principal/Supervisory Exams

Exam	Category	Date
No information reported.		

General Industry/Product Exams

Exam	Category	Date
B Securities Industry Essentials Examination	SIE	10/01/2018
B General Securities Representative Examination	Series 7	05/11/1995

State Securities Law Exams

Exam	Category	Date
B IA Uniform Combined State Law Examination	Series 66	04/25/2009
B Uniform Securities Agent State Law Examination	Series 63	05/19/1995

Additional information about the above exams or other exams FINRA administers to brokers and other securities professionals can be found at www.finra.org/brokerqualifications/registeredrep/.

Broker Qualifications



Professional Designations

This section details that the representative has reported **0** professional designation(s).

No information reported.



Registration and Employment History

Registration History

The broker previously was registered with the following firms:

Registration Dates	Firm Name	CRD#	Branch Location
B 07/2014 - 08/2019	PRUCO SECURITIES, LLC.	5685	TAMPA, FL
B 05/2006 - 11/2013	FIFTH THIRD SECURITIES, INC.	628	TAMPA, FL
B 06/2003 - 05/2006	UVEST FINANCIAL SERVICES GROUP, INC.	13787	CHARLOTTE, NC
B 03/1996 - 06/2003	MML INVESTORS SERVICES, INC.	10409	SPRINGFIELD, MA
B 02/1996 - 03/1996	G. R. PHELPS & CO., INC.	173	
B 05/1995 - 06/1995	CANTELLA & CO., INC.	13905	MALDEN, MA

Employment History

This section provides up to 10 years of an individual broker's employment history as reported by the individual broker on the most recently filed Form U4.

Please note that the broker is required to provide this information only while registered with FINRA or a national securities exchange and the information is not updated via Form U4 after the broker ceases to be registered. Therefore, an employment end date of "Present" may not reflect the broker's current employment status.

Employment	Employer Name	Position	Investment Related	Employer Location
03/2019 - Present	WHAYS	Busines Development Officer	N	LAKELAND, FL, United States
07/2014 - Present	PRUCO SECURITIES, LLC	REGISTERED REPRESENTATIVE	Y	TAMPA, FL, United States
07/2014 - 04/2019	THE PRUDENTIAL INSURANCE COMPANY OF AMERICA	FINANCIAL PROFESSIONAL	N	TAMPA, FL, United States
01/2014 - 07/2014	FAMILY FIRST LIFE	LIFE INS AGENT	N	PLAINFIELD, CT, United States
10/2013 - 01/2014	NATIONAL AGENTS ALLIANCE	LIFE INSURANCE AGENT	N	BURLINGTON, NC, United States
05/2006 - 10/2013	FIFTH THIRD SECURITIES	REGISTERED REP	Y	TAMPA, FL, United States



Registration and Employment History

Other Business Activities

This section includes information, if any, as provided by the broker regarding other business activities the broker 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.

CLEARPATH ADVOSORY GROUP, LLC

POSITION: Associate Producer NATURE: Finance and Insurance INVESTMENT RELATED: No NUMBER OF HOURS: 4 SECURITIES

TRADING HOURS: 0 START DATE: 04/01/2019

ADDRESS: 447 3rd Avenue N, Suite 201, St Petersburg FL 33701, United States

DESCRIPTION: Marketing

W.H.A.Y.S. WE HONOR & APPRECIATE YOUR SERVICE

POSITION: Business Development Officer NATURE: Non-Profit and Charitable Organization INVESTMENT RELATED: No NUMBER OF

HOURS: 60 SECURITIES TRADING HOURS: 60 START DATE: 04/01/2019

ADDRESS: 100 Kentucky Ave, Suite #240, Lakeland FL 33801, United States

DESCRIPTION: My role as BUSINESS DEVELOPMENT OFFICER will primarily be to build awareness to the community of the FOUNDATIONS's existence and participate in helping raise money through the FOUNDATION's fundraising activities as well as introduce to the public the advertising specialty company: WHAY'S SHIRTS.

MarcDavid Green Solutions, LLC.-Lakeland,FL-Utilities-Private Securities Transaction-start date 5/31/19-0hrs during securities trading

MARCDavid GREEN SOLUTIONS, LLC

POSITION: Passive Preferred Shareholder with NO Voting Rights. NATURE: Utilities INVESTMENT RELATED: No NUMBER OF HOURS: 0

SECURITIES TRADING HOURS: 0 START DATE: 06/11/2019

ADDRESS: 100 S Kentucky Avenue, Lakeland FL 33801, United States

DESCRIPTION: Passive Investor



Disclosure Events

What you should know about reported disclosure events:

1. All individuals registered to sell securities or provide investment advice are required to disclose customer complaints and arbitrations, regulatory actions, employment terminations, bankruptcy filings, and criminal or civil judicial proceedings.
2. **Certain thresholds must be met before an event is reported to CRD, for example:**
 - o A law enforcement agency must file formal charges before a broker is required to disclose a particular criminal event.
 - o A customer dispute must involve allegations that a broker engaged in activity that violates certain rules or conduct governing the industry and that the activity resulted in damages of at least \$5,000.
 - o
3. **Disclosure events in BrokerCheck reports come from different sources:**
 - o As mentioned at the beginning of this report, information contained in BrokerCheck comes from brokers, brokerage 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 BrokerCheck report. The different versions will be separated by a solid line with the reporting source labeled.
 - o
4. **There are different statuses and dispositions for disclosure events:**
 - o A disclosure event may have a status of *pending*, *on appeal*, or *final*.
 - § A "pending" event involves allegations that have not been proven or formally adjudicated.
 - § An event that is "on appeal" involves allegations that have been adjudicated but are currently being appealed.
 - § A "final" event has been concluded and its resolution is not subject to change.
 - o A final 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 involves an agreement by the parties to resolve the matter. Please note that brokers and brokerage firms may choose to settle customer disputes or regulatory matters for business or other reasons.
 - § A "resolved" matter usually involves no payment to the customer and no finding of wrongdoing on the part of the individual broker. Such matters generally involve customer disputes.

For your convenience, below is a matrix of the number and status of disclosure events involving this broker. Further information regarding these events can be found in the subsequent pages of this report. You also may wish to contact the broker to obtain further information regarding these events.

	Pending	Final	On Appeal
Customer Dispute	0	2	N/A
Judgment/Lien	3	N/A	N/A



Disclosure Event Details

When evaluating this information, please keep in mind that a disclosure event may be pending or involve allegations that are contested and have not been resolved or proven. The matter may, in the end, be withdrawn, dismissed, resolved in favor of the broker, or concluded through a negotiated settlement for certain business reasons (e.g., to maintain customer relationships or to limit the litigation costs associated with disputing the allegations) with no admission or finding of wrongdoing.

This report provides the information exactly as it was reported to CRD and therefore some of the specific data fields contained in the report may be blank if the information was not provided to CRD.

Customer Dispute - Settled

This type of disclosure event involves a consumer-initiated, investment-related complaint, arbitration proceeding or civil suit containing allegations of sale practice violations against the broker that resulted in a monetary settlement to the customer.

Disclosure 1 of 1

Reporting Source:	Regulator
Employing firm when activities occurred which led to the complaint:	FIFTH THIRD SECURITIES, INC.
Allegations:	NEGLIGENCE; GROSS NEGLIGENCE; NEGLIGENT-SPECIFIC FINRA/NASD CONDUCT RULES VIOLATIONS; BREACH OF FIDUCIARY DUTY; BREACH OF CONTRACT; AND COMMON LAW FRAUD.
Product Type:	Other: LOAN FUND
Alleged Damages:	\$600,000.00
Arbitration Information	
Arbitration/Reparation Claim filed with and Docket/Case No.:	FINRA - CASE #11-04215
Date Notice/Process Served:	11/08/2011
Arbitration Pending?	No
Disposition:	Settled
Disposition Date:	02/21/2014
Disposition Detail:	ON OR ABOUT FEBRUARY 21, 2014, CLAIMANT NOTIFIED FINRA THAT THE PARTIES REACHED A SETTLEMENT IN THIS MATTER. THEREFORE, THE PANEL MADE NO DETERMINATIONS WITH RESPECT TO ANY REQUESTS CONTAINED IN THE STATEMENT OF CLAIM.



Reporting Source: Firm

Employing firm when activities occurred which led to the complaint: FIFTH THIRD SECURITIES, INC.

Allegations: CUSTOMER AND CUSTOMER'S LEGAL REPRESENTATIVE ALLEGE MISAPPROPRIATION OF FUNDS AND UNAUTHORIZED TRADING OF MUTUAL FUNDS AND AN EXCHANGE TRADED FUND IN SEPTEMBER 2006 AND MUTUAL FUNDS IN MARCH, JULY AND AUGUST 2007.

Product Type: Mutual Fund
Other: EXCHANGE TRADED FUND

Alleged Damages: \$600,000.00

Alleged Damages Amount Explanation (if amount not exact): ORIGINAL AMOUNT OF ALLEGED COMPENSATORY DAMAGES FILED ON U4 WAS \$874,911.00. AMOUNT ABOVE IS SPECIFICALLY STATED IN ARBITRATION PAPERWORK.

Is this an oral complaint? No

Is this a written complaint? Yes

Is this an arbitration/CFTC reparation or civil litigation? No

Customer Complaint Information

Date Complaint Received: 08/13/2008

Complaint Pending? No

Status: Evolved into Arbitration/CFTC reparation (the individual is a named party)

Status Date: 11/24/2008

Settlement Amount: \$0.00

Individual Contribution Amount: \$0.00

Arbitration Information

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

Docket/Case #: [11-04215](#)



Date Notice/Process Served: 11/23/2011
Arbitration Pending? No
Disposition: Settled
Disposition Date: 02/19/2014
Monetary Compensation Amount: \$115,000.00
Individual Contribution Amount: \$0.00

Reporting Source: Broker
Employing firm when activities occurred which led to the complaint: FIFTH THIRD SECURITIES, INC.

Allegations: CUSTOMER AND CUSTOMERS LEGAL REPRESENTATIVE ALLEGES MISAPPROPRIATION OF FUNDS AND UNAUTHORIZED TRADING OF MUTUAL FUNDS AND AN EXCHANGE TRADED FUND IN SEPTEMBER 2006 AND MUTUAL FUNDS IN MARCH, JULY, AND AUGUST 2007.

Product Type: Mutual Fund
 Other: EXCHANGE TRADED FUNDS

Alleged Damages: \$600,000.00

Alleged Damages Amount Explanation (if amount not exact): ORIGINAL AMOUNT OF ALLEGED COMPENSATORY DAMAGES FILED ON U4 WAS \$874,911.00. AMOUNT ABOVE IS SPECIFICALLY STATED IN ARBITRATION PAPERWORK.

Is this an oral complaint? No

Is this a written complaint? Yes

Is this an arbitration/CFTC reparation or civil litigation? No

Customer Complaint Information

Date Complaint Received: 08/13/2008

Complaint Pending? No

Status: Evolved into Arbitration/CFTC reparation (the individual is a named party)

Status Date: 11/24/2008



Settlement Amount: \$0.00

Individual Contribution Amount: \$0.00

Arbitration Information

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

Docket/Case #: [11-04215](#)

Date Notice/Process Served: 11/23/2011

Arbitration Pending? No

Disposition: Settled

Disposition Date: 02/19/2014

Monetary Compensation Amount: \$115,000.00

Individual Contribution Amount: \$0.00



Customer Dispute - Closed-No Action / Withdrawn / Dismissed / Denied

This type of disclosure event involves (1) a consumer-initiated, investment-related arbitration or civil suit containing allegations of sales practice violations against the individual broker that was dismissed, withdrawn, or denied; or (2) a consumer-initiated, investment-related written complaint containing allegations that the broker engaged in sales practice violations resulting in compensatory damages of at least \$5,000, forgery, theft, or misappropriation, or conversion of funds or securities, which was closed without action, withdrawn, or denied.

Disclosure 1 of 1

Reporting Source:	Broker
Employing firm when activities occurred which led to the complaint:	PRUCO SECURITIES, LLC
Allegations:	THE CLIENT ALLEGES THAT THE REPRESENTATIVE DID NOT FULLY DISCLOSE ALL THE FACTS REGARDING THE ANNUITIES AS AN INVESTMENT AND THAT THE ANNUITIES WERE NOT FAIRLY ASSESS THE SUITABILITY OF THEIR SITUATION.
Product Type:	Annuity-Variable
Alleged Damages:	\$23,216.00
Is this an oral complaint?	No
Is this a written complaint?	Yes
Is this an arbitration/CFTC reparation or civil litigation?	No

Customer Complaint Information

Date Complaint Received:	04/22/2016
Complaint Pending?	No
Status:	Closed/No Action
Status Date:	12/27/2016
Settlement Amount:	
Individual Contribution Amount:	



Judgment / Lien

This type of disclosure event involves an unsatisfied and outstanding judgments or liens against the broker.

Disclosure 1 of 3

Reporting Source:	Broker
Judgment/Lien Holder:	IRS
Judgment/Lien Amount:	\$8,917.93
Judgment/Lien Type:	Tax
Date Filed with Court:	12/26/2018
Date Individual Learned:	01/15/2019
Type of Court:	HILLSBOROUGH
Name of Court:	HILLSBOROUGH COUNTY
Location of Court:	TAMPA
Docket/Case #:	2018511845
Judgment/Lien Outstanding?	Yes

Disclosure 2 of 3

Reporting Source:	Broker
Judgment/Lien Holder:	IRS
Judgment/Lien Amount:	\$8,580.00
Judgment/Lien Type:	Tax
Date Filed with Court:	12/06/2018
Date Individual Learned:	01/07/2019
Type of Court:	Federal
Name of Court:	Federal
Location of Court:	Hillsborough, FL
Docket/Case #:	2018490796
Judgment/Lien Outstanding?	Yes

Disclosure 3 of 3



Reporting Source:	Broker
Judgment/Lien Holder:	INTERNAL REVENUE SERVICE
Judgment/Lien Amount:	\$14,188.00
Judgment/Lien Type:	Tax
Date Filed with Court:	10/22/2018
Date Individual Learned:	11/15/2018
Type of Court:	N/A
Name of Court:	N/A
Location of Court:	N/A
Docket/Case #:	2018427913
Judgment/Lien Outstanding?	Yes

End of Report



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