



**ROTH** Capital Partners  
**美国罗仕证券有限公司**

[FINRA Public Disclosure Program](#)

**Important Messages**

**重要信息:**

As a member of the Financial Industry Regulatory Authority (FINRA), Roth Capital Partners, LLC would like to inform you of the availability of an FINRA Investor Brochure that includes information describing the FINRA’s BrokerCheck program. The BrokerCheck program provides certain information about the disciplinary history of FINRA Members and their associated personnel. For more information, you may contact the FINRA Regulation BrokerCheck hotline at 1-800-289-9999 or visit the FINRA Web Site at [www.finra.org](http://www.finra.org).

作为金融行业监管机构(FINRA)的会员，罗仕证券想通知您获取一本FINRA投资者手册，该册包括关于FINRA的经纪人审核程序的信息描述。该经纪人审核程序提供了关于FINRA成员和其相关人员被监管机构惩戒的记录。如需更多的信息,请联系FINRA条例经纪人审核热线：1 - 800 - 289 – 9999或访问FINRA的网站：[www.finra.org](http://www.finra.org)。

We would also like to provide you with the following contact information should you wish to file a complaint with Roth Capital Partners. All complaints should be directed to the Roth Capital Partners Compliance Department at the following address:

如果您有对罗仕证券的投诉，我们也愿意为您提供以下联系信息。所有的投诉都会通过以下地址直接至罗仕证券合规管理部门。

**Roth Capital Partners**

Attn: Compliance Department  
 24 Corporate Plaza  
 Newport Beach, CA 92660

You may also contact the compliance department by calling (949) 720-5700. Please ask the receptionist to direct your call to the compliance officer.

美国罗仕证券有限公司  
 Attn: Compliance Department  
 24 Corporate Plaza  
 Newport Beach, CA 92660

你也可以拨打合规部门电话(949) 720-5700，请前台将您把电话转给合规部门工作人员。

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