

Item 1 Cover Page

Part 2A of Form ADV

Firm Brochure

Rockwell Global Advisors, LLC

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Date: March 5, 2015

This brochure provides information about the qualifications and business practices of Rockwell Global Advisors, LLC. If you have any questions about the contents of this brochure, please contact us at (631) 608-2000. The information in this brochure has not been approved or verified by the United States Securities and Exchange Commission or by any state securities authority.

Additional information about Rockwell Global Advisors, LLC is available on the SEC's website at www.adviserinfo.sec.gov

Please note that registration as an investment advisory firm does not imply a certain level of skill or training.

Item 2 Material Changes

We are requesting registration with the United States Securities and Exchange Commission. This does not change our services nor our fees, but does change the entity that regulates our activities.

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Item 4 Advisory Business

Advisory Business

Rockwell Global Advisors LLC is a registered investment advisory firm offering financial planning, investment management services and referrals to third party managers. We provide our services on a discretionary and non-discretionary basis through the Investment Advisor Representative licensed with our firm.

We have been operating as an advisory firm since 2003.

Our owners are Christopher Ferrara and Bruce Guarino.

Our Investment Advisor Representative tailors advice to your needs based on conversations with you. When opening an account, we will collect information about your net worth, investment objectives, and more. You will be asked to confirm this information. We will use this information to open an account with our affiliate, Rockwell Global Capital, LLC. This information will be used in our discussions when choosing the investments for your account.

Clients may impose restrictions on investing in certain securities or types of securities.

We do not sponsor a wrap fee program or act as the adviser to a wrap fee program.

Financial Planning Services

We offer financial planning and consulting services, including services concerning non-investment related matters. We address estate and retirement planning, taxes, insurance, college planning, long term care issues, and/or investment recommendations.

When we perform financial planning services, we will not verify any information you provide. It is your responsibility to provide us with accurate and up-to date information.

Investment Management Services

Our Investment Advisor Representative tailors advice to your needs based on conversations with you. When opening an account, we will collect information about your net worth, investment objectives, and more. You will be asked to confirm this information. We will use this information to open an account with our affiliate, Rockwell Global Capital, LLC. This information will be used in our discussions when choosing the investments for your account.

Our Investment Management service includes initial allocation of your assets among various debt and equity securities and mutual funds, on a discretionary or non-discretionary basis.

As of December 31, 2014, our discretionary assets under management were \$11,500,000 and our non-discretionary assets under management were \$17,300,000.

Item 5 Fees and Compensation

Fees for Financial Planning

We charge fixed or hourly fees for financial planning. These fees are negotiable, but generally range from \$1,500 to \$5,000 on a fixed fee basis and from \$175 to \$300 on an hourly rate basis, depending on the level and scope of the services required.

Prior to engaging us to provide financial planning services, you will be required to enter into an agreement with us, which sets forth the terms and conditions of the engagement, describes the scope of the services to be provided, and the portion of the fee that is due before we begin the service. In the event you cancel our service within five days of

signing the agreement, we will refund any prepaid fees. After that, you may cancel at any time and receive a refund of any unearned fees.

Fees for Investment Supervisory Services

Advisory accounts serviced by Investment Advisor Representatives are charged at the beginning of each calendar quarter in advance based on the assets as of the close of the business on the last business day of the prior calendar quarter or on the average daily balance of the account for the prior quarter. Fees will be assessed pro rata in the event the portfolio management agreement is executed at any time other than the first day of a calendar quarter.

Our investment management fee will vary, and is negotiated up to 2% annually, depending primarily on the market value of assets under management. Below is our fee schedule:

Account value	Annual Fee
0-1,500,000	up to 2%
1,501,000-2 MM	1.5%
2MM-2.5MM	1%
2.5MM +	.75%

In the event you cancel our service within five days of signing the agreement, we will refund any prepaid fees. After that, you may cancel at any time. Unearned prepaid management fees are refunded pro-rata on terminated accounts.

Potential Conflicts of Interest

Because our Investment Advisor Representatives is also a Registered Representatives of our affiliate, Rockwell Global Capital, LLC, he may have a conflict of interest in that they have a financial incentive to recommend additional products and services to you. Please review Item 10 of this document for more information about this conflict of interest.

Other Information about Advisory Fees

Our advisory fees are negotiable, at our discretion.

In addition to the advisory fee listed above, there may be an annual platform fee per account charged by the custodian. This fee will be billed along with any transaction costs associated with the purchase and sale of securities in the account, and any charges or expenses resulting from maintenance of the account. These fees are subject to change as dictated by the custodian. The custodial fee is \$35 for IRA accounts, and \$0 for other brokerage accounts at RBC Capital Markets. The ticket charges are \$25 for each transaction. For more information, please see section 12, which concerns brokerage.

Mutual funds and exchange traded funds have operating expenses which include a fee paid to an investment manager or management team. Accounts holding mutual funds or exchange traded funds incur such fees, although these fees are internal to the operation of mutual funds and are not separately billed to the client.

Termination

Either of us can terminate our agreement for any reason, by giving written notice to the other party. Notice given by the client is effective upon receipt by the firm.

You have the right to terminate our services within five days of signing the client agreement. If you so, you will receive a refund of all pre-paid fees.

In the event of termination, the regular management fee is refunded pro-rata from the date of termination to the date to which service has been prepaid.

Important Information about Potential Conflicts of Interest

Christopher Ferrara, is also a registered representative of Rockwell Global Capital LLC. Through Rockwell Global Capital LLC, Mr. Ferrara will receive compensation for the sale of securities or other investment products, including asset-based sales charges or service fees from the sale of mutual funds. If you elect to purchase securities through Mr. Ferrara in his role as a registered representative, this will not occur in advisory accounts of Rockwell Global Advisors, Inc. but rather in brokerage accounts held at Rockwell Global Capital LLC.

This presents a conflict of interest as it gives Mr. Ferrara an incentive to recommend investment products based on the compensation received, rather than on your needs. To address this conflict, Mr. Ferrara will only receive compensation for the sale of securities or other investment products when selling securities at Rockwell Global Capital LLC, and not for accounts advised by Rockwell Global Advisors, Inc..

You have the option to purchase investment products that Mr. Ferrara recommends through other brokers or agents not affiliated with Tegesta.

Item 6 Performance-Based Fees and Side-by-Side Management

We do not accept performance-based fees.

Item 7 Types of Clients

We provide investment advice to Individuals, Trusts, Pension and Profit Sharing Plans, trusts and business entities.

Our minimum account size for investment management accounts is \$50,000. The third party managers to which we refer your accounts may have minimum account sizes. These account requirements are described more fully in the third party managers' disclosure documents.

Item 8 Methods of Analysis, Investment Strategies and Risk of Loss

Our Investment Advisor Representatives manage money using a combination of Mutual Funds (active and passively managed), Exchange Traded Funds (ETFs), individual stocks, bonds and other securities. Rockwell Global Advisors LLC uses third-party service providers as a source of information, which includes Web-enabled information, analysis and research services.

Our Investment Advisor Representatives regularly reallocate actively managed portfolios to adapt to changing market environments.

We may use the following methods of security analysis:

- Fundamental - (analysis performed on historical and present data, with the goal of making financial forecasts)
- Technical – (analysis performed on historical and present data, focusing on price and trade volume, to forecast the direction of prices)

We use the following investment strategies when implementing advice:

- Long Term Purchases (securities held at least a year)
- Short Term Purchases (securities sold within a year)
- Trading (securities sold within thirty (30) days)
- Margin
- Options (contract for the purchase or sale of a security at a predetermined price during a specific period of time)

Investing in securities involve risk of loss that you should be prepared to bear. There are no guarantees that the advice we give you will be profitable. You may lose all of your money.

Our investment methodology involves risks. The primary risks you should consider are market risk, company risk and sector risk. These primary risks are described below.

Market risk is the risk that your investments will be worth less than when you originally invested. Markets fluctuate, causing the value of your investments to fluctuate.

Company risk is the risk that a specific company we recommend fails to perform as expected, causing a portion of your investment to be worth less than originally invested or nothing at all.

Another area of risk is the focus of your assets in securities of a particular sector. Sector risk is the possibility that securities within the same group of industries will decline in price due to sector-specific market or economic developments. If you are invested more heavily in a particular sector, the value of your investments may be especially sensitive to factors and economic risks that specifically affect that sector. Certain sectors are subject to greater government regulation and changes in regulatory policies for those sectors may have a material effect on the value of securities issued by companies in those sectors.

Our primary investment strategies- Long Term Purchases, Short Term Purchases, and Trading - are fundamental investment strategies. However, every investment strategy has its own inherent risks and limitations. For example, longer term investment strategies require a longer investment time period to allow for the strategy to potentially develop. Shorter term investment strategies require a shorter investment time period to potentially develop but, as a result of more frequent trading, may incur higher transactional costs when compared to a longer term investment strategy. Trading, an investment strategy that requires the purchase and sale of securities within a thirty (30) day investment time period, involves a very short investment time period but will incur higher transaction costs when compared to a short term investment strategy and substantially higher transaction costs than a longer term investment strategy.

In addition to the fundamental investment strategies discussed above, we may also implement and/or recommend options transactions. Option transactions have a high level of inherent risk.

The use of options transactions as an investment strategy may involve a high level of inherent risk. Option transactions establish a contract between two parties concerning the buying or selling of an asset at a predetermined price during a specific period of time. During the term of the option contract, the buyer of the option gains the right to demand fulfillment by the seller. Fulfillment may take the form of either selling or purchasing a security depending upon the nature of the option contract. Generally, the purchase or the recommendation to purchase an option contract by the Registrant shall be with the intent of producing income

or offsetting/"hedging" a potential market risk in a client's portfolio. **Please Note:** Although the intent of the options-related transactions that may be implemented by the Registrant is to produce income or hedge against principal risk, certain of the options-related strategies (i.e. straddles, short positions, etc), may, in and of themselves, produce principal volatility and/or risk. Thus, a client must be willing to accept these enhanced volatility and principal risks associated with such strategies. In light of these enhanced risks, you may direct us, in writing, not to employ any or all such strategies for your accounts.

Item 9 Disciplinary Information

Bruce Guarino, President of Rockwell Global Advisors, LLC has had certain material events which should be considered when doing business with our firm. In 2010, Mr. Guarino was sanctioned for allegedly failing to supervise purchases in Collateralized Mortgage Obligations by brokers under his supervision. Mr. Guarino paid a civil and administrative penalty of \$5,000, made restitution and was suspended by FINRA as a supervisor for 30 days.

Item 10 Other Financial Industry Activities and Affiliations

We have an affiliate, Rockwell Global Capital, LLC, which is a registered broker/dealer. Our Investment Advisor Representative is also Registered Representatives of Rockwell Global Capital, LLC. As a broker/dealer, Rockwell Global Capital offers equities, options, preferred stocks, corporate bonds, government bonds, municipal bonds, CDs, direct participation programs and open and closed end mutual funds and other investments.

Our Investment Advisor Representative is also a Registered Representative of Rockwell Global Capital, LLC. In this capacity, he may sell securities for sales commissions as a Registered Representative. Some of our advice may involve investments in mutual funds that pay 12b-1 trail fees. The Investment Advisor Representative may receive a portion of these 12b-1 trail fees in their separate capacity as a Registered Representative.

Clients should be aware that the payment and receipt of these commissions and fees could represent an incentive for our representatives to recommend mutual funds or variable annuities that pay 12b-1 trail fees or pay higher 12b-1 trail fees over funds with no 12b-1 fees or lower fees. This creates potential conflicts of interest to recommend investment and insurance products based on compensation rather than client needs.

Our Investment Advisor Representative expects to receive up to 95% of his income from their activities as a Registered Representative.

We address these conflicts by doing the following:

We must disclose any potential or actual conflicts of interest when dealing with clients.

We are subject to the following specific obligations when dealing with clients:

- The duty to have a reasonable, independent basis when providing investment advice;
- The duty to ensure that investment advice is suitable to meeting the client's individual objectives, needs, and circumstances; and,
- A duty to be loyal to clients.

Clients always have the option of purchasing recommended investment and insurance products through other broker-dealers.

We recommend or select other investment advisors for our clients and receive compensation from those advisers. This creates a conflict of interest in that we are paid for referring you to those advisors. We disclose this conflict and the

amount of our payment to you at the time of the referral or selection. You are under no obligation to invest with any of these advisors.

Item 11 Code of Ethics, Participation or Interest in Client Transactions and Personal Trading

Associated persons may buy or sell for their own accounts the same securities recommended to you. The Firm seeks to ensure that our associated persons do not personally benefit from the short-term market effects of their recommendations to you and we monitor their personal trading.

Our associated persons are also Registered Representatives of Rockwell Global Capital, LLC, and may sell you securities in addition to providing you with advice. When they do so, they may earn a commission. This creates a conflict of interest in that they may have an incentive to recommend a product to you for compensation in lieu of providing you with unbiased advice. We monitor our associated persons' activities and hold them to high standards.

Associated persons may also buy or sell a specific security for their own account based on personal investment considerations, which the Advisor does not deem appropriate to buy or sell for clients.

We have adopted a Code of Ethics to instruct our personnel in their ethical obligations and to provide rules for their personal securities transactions. The Firm and our personnel owe a duty of loyalty, fairness and good faith to their clients, and the obligation to adhere not only to the specific provisions of the code but also to the general principles that guide the Code. The Code covers a range of topics including general ethical principles, reporting personal securities trading, exceptions to reporting securities trading, reportable securities, initial public offerings and private placements, reporting ethical violations, distribution of the Code, review and enforcement processes, amendments to Form ADV and supervisory procedures. We will provide a copy of the Code to any client or prospective Client upon request.

We address these conflicts by doing the following:

We must disclose any potential or actual conflicts of interest when dealing with clients.

We are subject to the following specific obligations when dealing with clients:

- The duty to have a reasonable, independent basis when providing investment advice;
- The duty to ensure that investment advice is suitable to meeting the client's individual objectives, needs, and circumstances; and,
- A duty to be loyal to clients.

Item 12 Brokerage Practices

In selecting custodians, we consider the ease of doing business, the costs associated with trading and custodial services.

We generally recommend RBC Capital Markets to clients for brokerage services, through its clearing relationship with our affiliate, Rockwell Global Capital, LLC. We have selected them because of their relationship with us and our affiliates. Rockwell Global Capital, LLC has a duty to review all transactions we perform for clients and our activities as an investment adviser. By recommending RBC Capital Markets as a custodian, we ensure that Rockwell Global Advisors, LLC has access to the information it needs to supervise

our activities. In selecting RBC Capital Markets, we consider the ease of doing business, the costs associated with trading and custodizing the accounts.

We do not receive any soft dollar benefits or research provided by RBC Capital Markets. We do not use client commissions or markups or mark downs to obtain research or other products or services. We do not have an incentive to recommend a broker/dealer based on this research.

We may recommend other brokers and dealers. When using other brokers, we take into account its obligation of best execution and the research services provided by the other brokers to us that may enhance the general portfolio management capabilities, notwithstanding that you may not be the direct or exclusive beneficiary of all such service.

Not all advisers recommend or request a particular broker/dealer. Because we are affiliated with Rockwell Global Capital, this creates a conflict of interest. We address this conflict by regularly reviewing the execution quality you receive with Rockwell Global Capital, and comparing it to other brokers and dealers. We have a duty to provide you with best execution.

Other brokers and investment advisers may be willing to provide brokerage services and investment advisory services to the client that either separately or together could cost you less than the advisory fees and/or brokerage commissions we charge. We do not negotiate the brokerage fees on your behalf for other custodians.

We do not aggregate trades. This means that you may pay higher trading costs, in general, and that you may receive a different price per share than another client who buys or sells the same security.

Item 13 Review of Accounts

Christopher Ferrara, our Managing Member, reviews all accounts quarterly. You should note that it is your responsibility to advise us of any changes in your investment objectives or financial situation. You are encouraged to comprehensively review investment objectives and account performance with us on an annual basis.

You will receive transaction confirmations and regular summary account statements directly from the custodian of your assets. Clients who hire us to manage their accounts or whose accounts are reviewed by a third party money manager may receive additional reports. Any written reports we provide are provided to us by the custodian of your assets.

Item 14 Client Referrals and Other Compensation

We receive compensation for managing your assets or for providing you with financial planning advice. Outside of this compensation, we do not receive any economic benefits for providing investment advice.

We do not pay anyone for client referrals for our accounts.

Item 15 Custody

We do not have custody of your assets, except for our ability to withdraw our advisory fees from your accounts. In order for us to do so, you must give us written authorization.

The broker/dealer where your account is held, typically RBC Capital Markets, will send you statements. You should carefully review those statements.

Item 16 Investment Discretion

We may request that you give us discretionary authority by signing our investment advisory agreement. We will not have discretionary authority unless you give us this authorization by signing our agreement.

This means that our Investment Advisor Representative may buy or sell securities and specify the amount of securities to invest without obtaining your consent. This discretionary authority does not restrict you from establishing special limitations on the types of investments purchased in your account.

Item 17 Voting Client Securities

We do not vote proxies on your behalf. You retain that right unless you make other arrangements with the custodian of your assets. You will receive proxies or other solicitations directly from the custodian of your assets. You may contact us with questions about proxies.

Item 18 Financial Information

We have no financial condition that is reasonably likely to impair our ability to meet contractual commitments to you. We have not been the subject of a bankruptcy proceeding at any time.

Item 19 Requirements for State-Registered Advisers

Education and Business Background

Bruce Guarino

Born: 1960

Educational Background:

1978-1982, St. Johns University, B.A.

Business Background

07/2007 – president – Rockwell Global Advisors, LLC, President/Managing Member

02/2007 – present – Rockwell Global Capital LLC, President

05/2005 – 06/2007 – Advanced Planning Securities Inc., Branch Manager OSJ

12/2003 – 05/2005 – Nations Financial Group, Inc, Branch Manager OSJ

04/2002 – 12/2003 – Archer Alexander Securities Corp., Branch Manager OSJ

10/1999 – 04/2002 – Investec Ernst & Co – National Sales Manager

Christopher Ferrara

Born: 1977

Educational Background:

1995-1999 Fordham University Bronx, NY BS in Finance and marketing

2004-2006 Fordham University NY, NY MBA Finance

Business Background

Rockwell Global Advisors, LLC, Member, 07/07 – Present

Rockwell Global Capital, LLC, Registered Representative, 11/06 – Present

Advanced Planning Securities, Inc., Registered Representative, 05/05 – Present

Nations Financial Group, Inc., Registered Representative, 12/03 – 05/05

Archer Alexander Securities Corporation, Registered Representative 07/02 – 12/03

Merrill Lynch, Pierce, Fenner & Smith Incorporated, Registered Representative, 06/99 – 06-02

Bruce Guarino, President of Rockwell Global Advisors, LLC has had certain material events which should be considered when doing business with our firm. In 2010, Mr. Guarino was sanctioned for allegedly failing to supervise purchases in Collateralized Mortgage Obligations by brokers under his supervision. Mr. Guarino paid a civil and administrative penalty of \$5,000, made restitution and was suspended by FINRA as a supervisor for 30 days.

Mr. Guarino has also been subject to several arbitration claims. Complete information about these claims is available on our Form ADV Part 1, available at: adviserinfo.sec.gov by searching for our Firm by its CRD/IARD number, which is 126601.

Neither we nor of our management persons have any other arrangement or relationship with an issuer of securities.

Brochure Supplement

Part 2B of Form ADV

Brochure Supplement

Christopher Ferrara

125 Baylis Road, Suite 280

Melville, NY 11747

Phone: 631-608-2000

Toll Free: 866-757-9733

Website: www.rockwellglobal.com

Date: September 15, 2011

Item 1 Cover Page

This brochure supplement provides information about Christopher Ferrara that supplements our Disclosure Brochure. Please contact us at 631-608-2000 if you did not receive Rockwell Global Advisors, LLC's brochure or if you have any questions about the contents of this supplement.

Item 2 Educational Background and Business Experience

Christopher Ferrara

Born: 1977

Educational Background:

1995-1999 Fordham University Bronx, NY BS in Finance and marketing

2004-2006 Fordham University NY, NY MBA Finance

Business Background

Rockwell Global Advisors, LLC, Member, 07/07 – Present

Rockwell Global Capital, LLC, Registered Representative, 11/06 – Present

Advanced Planning Securities, Inc., Registered Representative, 05/05 – Present

Nations Financial Group, Inc., Registered Representative, 12/03 – 05/05

Archer Alexander Securities Corporation, Registered Representative 07/02 – 12/03

Merrill Lynch, Pierce, Fenner & Smith Incorporated, Registered Representative, 06/99 – 06-02

Item 3 Disciplinary Information

Mr. Ferrara is not subject to any material legal or disciplinary event.

Item 4 Other Business Activities

In addition to being an Investment Advisory Representative (“Advisory Representative”) of Rockwell Global Advisors, LLC, Mr. Ferrara is a Registered Representative of Rockwell Global Capital, LLC (“Rockwell Global Capital, LLC”). Rockwell Global Capital, LLC is a diversified financial services company registered with the Financial Industry Regulatory Authority (“FINRA”) as a broker-dealer engaged in the offer and sale of securities products. Mr. Ferrara may recommend the purchase of securities offered by Rockwell Global Capital, LLC. If you purchase these products from Mr. Ferrara, he will receive normal commissions and may receive other indirect forms of compensation which may be in addition to customary advisory fees. As such, he may have an incentive to sell you commissionable products in addition to providing you with advisory services when such commissionable products may not be in your best interest.

While his security sales are reviewed for suitability by an appointed supervisor, you should be aware of the incentives Mr. Ferrara has to sell certain securities products and are encouraged to ask me about any conflict presented.

Please be aware that you are under no obligation to purchase products or services recommended by Mr. Ferrara in connection with providing you with any advisory service that he offers.

Item 5 Additional Compensation

As discussed previously, Mr. Ferrara is a Registered Representative of Rockwell Global Capital, LLC. Rockwell Global Capital, LLC offers him educational, training and incentive programs to me upon reaching certain sales production goals.

As outlined above, the benefits that Mr. Ferrara receives may provide him with an incentive to put his interests before your best interests. While my security sales are reviewed for suitability by an appointed supervisor, you should be aware of the incentives I have to sell certain securities and provide certain advisory services and are encouraged to ask me about any conflict presented.

Item 6 Supervision

Mr. Ferrara is the sole advisory representative and President of Rockwell Global Advisors, LLC. He supervises himself. If you have any concerns or questions, please contact him at 631-608-2000.

Mr. Ferrara has an appointed supervisor through Rockwell Global Capital, LLC who generally reviews the advice that he provides to you which includes a review of all my securities transactions. His appointed supervisor as of the date of this writing is Dennis Grubelic, who can be reached at 631 608 2055.

Item 7 Requirements for State-Registered Advisers

Mr. Ferrara has no material events to report.