



## IAPD Report

# HAROLD EDWARD KLEIN

CRD# 1021759

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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

### HAROLD EDWARD KLEIN (CRD# 1021759)

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 **04/15/2025**.

### CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
<b>IA</b>	NEWEDGE ADVISORS	CRD# 171351	05/08/2025

### QUALIFICATIONS

This representative is currently registered in **0** SRO(s) and **1** 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
<b>IA</b>	NEWEDGE ADVISORS	171351	Seal Beach, CA	07/14/2021 - 11/01/2024
<b>B</b>	NEWEDGE SECURITIES LLC	10674	SEAL BEACH, CA	05/12/2021 - 11/01/2024
<b>B</b>	LPL FINANCIAL LLC	6413	SEAL BEACH, CA	11/29/2017 - 05/11/2021

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
Termination	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 **1** jurisdiction(s) and **0** SRO(s) through his or her employer(s).

### Employment 1 of 1

Firm Name: **NEWEDGE ADVISORS**  
Main Address: 858 CAMP STREET  
NEW ORLEANS, LA 70130  
Firm ID#: 171351

Regulator	Registration	Status	Date
<b>IA</b> California	Investment Adviser Representative	Restricted Approval	05/08/2025

### Branch Office Locations

**NEWEDGE ADVISORS**  
12501 Seal Beach Boulevard  
Seal Beach, CA 90740



## 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 1 principal/supervisory exam, 2 general industry/product exams, and 2 state securities law exams.**

#### Principal/Supervisory Exams

	Exam	Category	Date
	General Securities Principal Examination (S24)	Series 24	03/06/1987

#### General Industry/Product Exams

	Exam	Category	Date
	Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
	General Securities Representative Examination (S7)	Series 7	12/19/1981

#### State Securities Law Exams

	Exam	Category	Date
	Uniform Combined State Law Examination (S66)	Series 66	05/03/2006
	Uniform Securities Agent State Law Examination (S63)	Series 63	10/25/1993

### 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	07/14/2021 - 11/01/2024	NEWEDGE ADVISORS	CRD# 171351	Seal Beach, CA
B	05/12/2021 - 11/01/2024	NEWEDGE SECURITIES LLC	CRD# 10674	SEAL BEACH, CA
B	11/29/2017 - 05/11/2021	LPL FINANCIAL LLC	CRD# 6413	SEAL BEACH, CA
IA	11/29/2017 - 05/11/2021	LPL FINANCIAL LLC	CRD# 6413	SEAL BEACH, CA
IA	05/24/2000 - 12/06/2017	NATIONAL PLANNING CORPORATION ("NPC OF AMERICA" IN FL & NY)	CRD# 29604	SEAL BEACH, CA
B	05/01/2000 - 11/29/2017	NATIONAL PLANNING CORPORATION	CRD# 29604	SEAL BEACH, CA
B	12/11/1986 - 05/03/2000	ASSOCIATED SECURITIES CORP.	CRD# 12969	BOSTON, MA
B	04/02/1986 - 12/18/1986	WELLINGTON SECURITIES, INC.	CRD# 16659	
B	03/24/1983 - 03/31/1986	BRETCOURT SECURITIES CORPORATION	CRD# 10604	
B	12/24/1981 - 12/21/1983	WZW FINANCIAL SERVICES, INC.	CRD# 5717	

#### 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
04/2025 - Present	NewEdge Advisors, LLC.	Investment Advisor Representative	Y	New Orleans, LA, United States
05/2021 - Present	MID ATLANTIC CAPITAL CORPORATION	REGISTERED REPRESENTATIVE	Y	PITTSBURGH, PA, United States
07/2021 - 11/2024	NewEdge Advisors LLC	Investment Adviser Representative	Y	New Orleans, LA, United States
11/2017 - 04/2021	LPL FINANCIAL LLC	REGISTERED REPRESENTATIVE	Y	SEAL BEACH, CA, United States
05/2000 - 11/2017	NATIONAL PLANNING CORPORATION	REGISTERED REPRESENTATIVE	Y	SEAL BEACH, CA, United States



## Registration & Employment History

### EMPLOYMENT HISTORY

Employment Dates	Employer Name	Position	Investment Related	Employer Location
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### 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.

1. RENTAL HOUSE~INVESTMENT RELATED~BRIERCREST AVE, LAKEWOOD CA~RENTAL HOUSE~OWNER OF RENTAL HOUSE~JUL 2000~2HRS PER MONTH~0HRS PER MONTH DURING MARKET~OWNER OF A RENTAL HOUSE THAT I MANAGE
2. Mr. Klein conducts advisory services through NewEdge Advisors, LLC, a registered investment advisor, doing business as (DBA) Pacific Pointe Advisors. Mr. Klein is an investment advisor representative and devotes 160 hours per month to this activity during trading hours.



## 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
Termination	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:** Regulator

**Regulatory Action Initiated By:** FINRA

**Sanction(s) Sought:** Other: N/A

**Date Initiated:** 10/15/2024

**Docket/Case Number:** [2021071463401](#)

**Employing firm when activity occurred which led to the regulatory action:** LPL Financial LLC

**Product Type:** Other: Unspecified securities

**Allegations:** Without admitting or denying the findings, Klein consented to the sanctions and to the entry of findings that he caused his member firm to maintain inaccurate books and records by electronically signing the signatures of 58 customers, 46 of whom were seniors, on account documents. The finding stated that the documents signed by Klein, which included account applications, account feature forms, and account transfer forms, were required books and records of the firm. None of the customers complained and the transactions were authorized. In addition, Klein incorrectly attested to the firm on compliance questionnaires that he had not signed or affixed another person's signature on a document.

**Current Status:** Final

**Resolution:** Acceptance, Waiver & Consent(AWC)



**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:**

10/15/2024

**Sanctions Ordered:**

Civil and Administrative Penalty(ies)/Fine(s)  
Suspension

**If the regulator is the SEC, CFTC, or an SRO, did the action result in a finding of a willful violation or failure to supervise?**

No

**(1) willfully violated any provision of the Securities Act of 1933, the Securities Exchange Act of 1934, the Investment Advisers Act of 1940, the Investment Company Act of 1940, the Commodity Exchange Act, or any rule or regulation under any of such Acts, or any of the rules of the Municipal Securities Rulemaking Board, or to have been unable to comply with any provision of such Act, rule or regulation?**

**(2) willfully aided, abetted, counseled, commanded, induced, or procured the violation by any person of any provision of the Securities Act of 1933, the Securities Exchange Act of 1934, the Investment Advisers Act of 1940, the Investment Company Act of 1940, the Commodity Exchange Act, or any rule or regulation under any of such Acts, or any of the rules of the Municipal Securities Rulemaking Board? or**



**(3) failed reasonably to supervise another person subject to your supervision, with a view to preventing the violation by such person of any provision of the Securities Act of 1933, the Securities Exchange Act of 1934, the Investment Advisers Act of 1940, the Investment Company Act of 1940, the Commodity Exchange Act, or any rule or regulation under any such Acts, or any of the rules of the Municipal Securities Rulemaking Board?**

**Sanction 1 of 1**

<b>Sanction Type:</b>	Suspension
<b>Capacities Affected:</b>	All capacities
<b>Duration:</b>	Three months
<b>Start Date:</b>	11/04/2024
<b>End Date:</b>	02/03/2025

**Monetary Sanction 1 of 1**

<b>Monetary Related Sanction:</b>	Civil and Administrative Penalty(ies)/Fine(s)
<b>Total Amount:</b>	\$5,000.00
<b>Portion Levied against individual:</b>	\$5,000.00
<b>Payment Plan:</b>	
<b>Is Payment Plan Current:</b>	
<b>Date Paid by individual:</b>	12/27/2024
<b>Was any portion of penalty waived?</b>	No

**Amount Waived:**

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<b>Reporting Source:</b>	Individual
<b>Regulatory Action Initiated By:</b>	Financial Industry Regulatory Authority
<b>Sanction(s) Sought:</b>	Suspension
<b>Date Initiated:</b>	10/15/2024
<b>Docket/Case Number:</b>	<a href="#">2021071463401</a>
<b>Employing firm when activity occurred which led to the regulatory action:</b>	LPL Financial



<b>Product Type:</b>	No Product
<b>Allegations:</b>	Without admitting or denying the findings, Klein consented to the sanctions and to the entry of findings that he caused his member firm to maintain inaccurate books and records by electronically signing the signatures of 58 customers, 46 of whom were seniors, on account documents. The finding stated that the documents signed by Klein, which included account applications, account feature forms, and account transfer forms, were required books and records of the firm. None of the customers complained and the transactions were authorized. In addition, Klein incorrectly attested to the firm on compliance questionnaires that he had not signed or affixed another person's signature on a document.
<b>Current Status:</b>	Final
<b>Resolution:</b>	Acceptance, Waiver & Consent(AWC)
<b>Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct?</b>	Yes
<b>Resolution Date:</b>	10/15/2024
<b>Sanctions Ordered:</b>	Suspension
<b>Sanction 1 of 1</b>	
<b>Sanction Type:</b>	Suspension
<b>Capacities Affected:</b>	General Securities Representative, General Securities Principal
<b>Duration:</b>	90 days
<b>Start Date:</b>	11/04/2024
<b>End Date:</b>	02/03/2025
<b>Monetary Sanction 1 of 1</b>	
<b>Monetary Related Sanction:</b>	Civil and Administrative Penalty(ies)/Fine(s)
<b>Total Amount:</b>	\$5,000.00
<b>Portion Levied against individual:</b>	\$5,000.00
<b>Payment Plan:</b>	
<b>Is Payment Plan Current:</b>	
<b>Date Paid by individual:</b>	
<b>Was any portion of penalty waived?</b>	No
<b>Amount Waived:</b>	



## Termination

This disclosure event involves a situation where the Investment Adviser Representative voluntarily resigned, was discharged or was permitted to resign after allegations were made that accused the Investment Adviser Representative of violating investment-related statutes, regulations, rules or industry standards of conduct; fraud or the wrongful taking of property; or failure to supervise in connection with investment-related statutes, regulations, rules or industry standards of conduct.

### Disclosure 1 of 2

**Reporting Source:** Firm

**Firm Name:** NewEdge Securities LLC

**Termination Type:** Voluntary Resignation

**Termination Date:** 11/01/2024

**Allegations:** Without admitting or denying the findings, Klein consented to the sanctions and to the entry of findings that he caused his member firm to maintain inaccurate books and records by electronically signing the signatures of 58 customers, 46 of whom were seniors, on account documents. The finding stated that the documents signed by Klein, which included account applications, account feature forms, and account transfer forms, were required books and records of the firm. None of the customers complained and the transactions were authorized. In addition, Klein incorrectly attested to the firm on compliance questionnaires that he had not signed or affixed another person's signature on a document.

**Product Type:** No Product

### Disclosure 2 of 2

**Reporting Source:** Firm

**Firm Name:** LPL Financial LLC

**Termination Type:** Discharged

**Termination Date:** 04/17/2021

**Allegations:** Electronically signed account documents on behalf of customers.

**Product Type:** No Product

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**Reporting Source:** Individual

**Firm Name:** LPL FINANCIAL LLC

**Termination Type:** Discharged

**Termination Date:** 04/17/2021

**Allegations:** Electronically signed account documents on behalf of customers in violation of Firm Document Signature Policy. No customer complaint alleged.

**Product Type:** No Product



## End of Report

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