



## IAPD Report

# BRADLEY ROGER KASTAN

CRD# 1030565

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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

### BRADLEY ROGER KASTAN (CRD# 1030565)

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 **12/24/2025**.

### CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
<b>B</b>	JANNEY MONTGOMERY SCOTT LLC	CRD# 463	08/11/2022
<b>IA</b>	JANNEY MONTGOMERY SCOTT LLC	CRD# 463	08/29/2022

### QUALIFICATIONS

This representative is currently registered in **3** SRO(s) and **13** 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>B</b>	RAYMOND JAMES & ASSOCIATES, INC.	705	BEXLEY, OH	09/06/2013 - 08/22/2022
<b>IA</b>	RAYMOND JAMES & ASSOCIATES, INC.	705	BEXLEY, OH	09/06/2013 - 08/22/2022
<b>IA</b>	J.P. MORGAN SECURITIES LLC	79	COLUMBUS, OH	02/01/2006 - 09/13/2013

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	2
Customer Dispute	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 **13** jurisdiction(s) and 3 SRO(s) through his or her employer(s).

### Employment 1 of 1

Firm Name: **JANNEY MONTGOMERY SCOTT LLC**  
Main Address: 1717 ARCH STREET  
PHILADELPHIA, PA 19103  
Firm ID#: 463

Regulator	Registration	Status	Date
<b>B</b> FINRA	General Securities Representative	Approved	08/11/2022
<b>B</b> Nasdaq Stock Market	General Securities Representative	Approved	08/11/2022
<b>B</b> New York Stock Exchange	General Securities Representative	Approved	08/11/2022
<b>B</b> California	Agent	Approved	08/11/2022
<b>B</b> Colorado	Agent	Approved	08/11/2022
<b>B</b> Florida	Agent	Approved	08/11/2022
<b>B</b> Georgia	Agent	Approved	08/24/2022
<b>B</b> Illinois	Agent	Approved	08/29/2022
<b>B</b> Indiana	Agent	Approved	08/24/2022
<b>B</b> Michigan	Agent	Approved	08/11/2022
<b>B</b> New York	Agent	Approved	08/11/2022
<b>B</b> North Carolina	Agent	Approved	12/11/2024
<b>B</b> Ohio	Agent	Approved	08/11/2022



### Qualifications

Regulator	Registration	Status	Date
<b>IA</b> Ohio	Investment Adviser Representative	Approved	08/29/2022
<b>B</b> Pennsylvania	Agent	Approved	08/19/2022
<b>B</b> Utah	Agent	Approved	08/11/2022
<b>B</b> Wisconsin	Agent	Approved	08/11/2022

### Branch Office Locations

**JANNEY MONTGOMERY SCOTT LLC**  
1070 Yard Street  
Columbus, OH 43212



## 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 Sales Supervisor Examination (Options Module & General Module) (S8)	Series 8	10/25/1985

#### General Industry/Product Exams

Exam	Category	Date
Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
General Securities Representative Examination (S7)	Series 7	11/21/1981

#### State Securities Law Exams

Exam	Category	Date
Uniform Combined State Law Examination (S66)	Series 66	09/30/2005
Uniform Securities Agent State Law Examination (S63)	Series 63	06/29/1981

### 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
B	09/06/2013 - 08/22/2022	RAYMOND JAMES & ASSOCIATES, INC.	CRD# 705	BEXLEY, OH
IA	09/06/2013 - 08/22/2022	RAYMOND JAMES & ASSOCIATES, INC.	CRD# 705	BEXLEY, OH
IA	02/01/2006 - 09/13/2013	J.P. MORGAN SECURITIES LLC	CRD# 79	COLUMBUS, OH
B	01/31/2006 - 09/13/2013	J.P. MORGAN SECURITIES LLC	CRD# 79	COLUMBUS, OH
IA	08/02/2000 - 02/22/2006	UBS FINANCIAL SERVICES INC.	CRD# 8174	COLUMBUS, OH
B	03/26/1991 - 02/22/2006	UBS FINANCIAL SERVICES INC.	CRD# 8174	WEEHAWKEN, NJ
B	03/31/1988 - 03/21/1991	DEAN WITTER REYNOLDS INC.	CRD# 7556	PURCHASE, NY
B	02/15/1988 - 05/21/1988	SHEARSON LEHMAN HUTTON INC.	CRD# 7506	
B	03/12/1985 - 02/15/1988	E. F. HUTTON & COMPANY INC	CRD# 235	
B	11/27/1981 - 03/22/1985	PRESCOTT, BALL & TURBEN, INC.	CRD# 7656	

### 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
08/2022 - Present	Janney Montgomery Scott LLC	Financial Advisor	Y	Columbus (Grandview), OH, United States
04/2014 - 08/2022	RAYMOND JAMES & ASSOCIATES, INC.	REGISTERED ASSOCIATE	Y	BEXLEY, OH, 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.

The Ohio State University, Columbus, OH. Board of Trustees (05/2023) - 9 years term. Not investment related, not compensated, 20 hours/month.



## 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	2
Customer Dispute	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 2

**Reporting Source:** Regulator  
**Regulatory Action Initiated By:** THE OHIO DIVISION OF SECURITIES

**Sanction(s) Sought:**

**Other Sanction(s) Sought:**

**Date Initiated:** 04/12/1993

**Docket/Case Number:** 93-020

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

**Product Type:**

**Other Product Type(s):**

**Allegations:** LACK OF GOOD BUSINESS REPUTE.

**Current Status:** Final

**Resolution:** Order

**Resolution Date:** 04/12/1993

**Sanctions Ordered:** Suspension

**Other Sanctions Ordered:**

**Sanction Details:** ON 4/12/93, THE OHIO DIVISION OF SECURITIES SUSPENDED THE OHIO SALESMAN LICENSE OF BRADLEY R. KASTAN FOR A



PERIOD OF 2 MONTHS FOR LACK OF GOOD BUSINESS REPUTE. THE ORDER FOLLOWS THE NYSE'S 2 MONTH SUSPENSION OF KASTAN. KASTAN WAS NOTIFIED ON 1/8/93 OF THE FINAL DECISION AND BEGAN SERVING HIS SUSPENSION ON 2/11/93. HOWEVER, AN AMENDED U4 WAS NOT SUBMITTED UNTIL 3/22/93. OHIO WAS NOTIFIED DIRECTLY ON 3/8/93 SO THE SUSPENSION BEGAN ON 3/8/93 AND CONCLUDES ON 5/8/93.

**Regulator Statement** Not Provided

**Reporting Source:** Individual  
**Regulatory Action Initiated By:** STATE OF OHIO

**Sanction(s) Sought:**  
**Other Sanction(s) Sought:**

**Date Initiated:** 04/12/1993  
**Docket/Case Number:** 93-020

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

**Product Type:**  
**Other Product Type(s):**

**Allegations:** 'LACK OF BUSINESS REPORT'. SEE NUMBER 9 BELOW.

**Current Status:** Final

**Resolution:** Order

**Resolution Date:** 04/12/1993

**Sanctions Ordered:** Suspension

**Other Sanctions Ordered:**

**Sanction Details:** SUSPENSION FIXED - DURATION 3/8/93 - 5/8/93

**Broker Statement** NO HEARING WAS HELD IN THIS OHIO PROCEEDING. THIS SUMMARY ACTION WAS BASED ON THE STIPULATION OF FACTS AND CONSENT TO PENALTY BY BOTH MR. KASTAN AND THE NYSE BASED UPON A 1986 ALLEGATION RESULTING IN A TWO MONTH SUSPENSION OF HIS OHIO SALESMAN'S LICENSE. THE OHIO SUMMARY INVOLVED NO ALLEGATINS OR CIRCUMSTANCES BEYOND THE NYSE ALLEGATION.

**Disclosure 2 of 2**

**Reporting Source:** Regulator  
**Regulatory Action Initiated By:** NYSE  
**Sanction(s) Sought:**



**Other Sanction(s) Sought:**

**Date Initiated:** 03/12/1993

**Docket/Case Number:** HPD 92-193

**Employing firm when activity occurred which led to the regulatory action:** E.F. HUTTON

**Product Type:**

**Other Product Type(s):**

**Allegations:** VIOLATED RULE 408(A) BY EXERCISING DISCRETION IN CUSTOMER ACCOUNTS WITHOUT WRITTEN AUTHORIZATION;VIOLATED RULE 724(A) BY EXERCISING DISCRETION IN OPTIONS FOR A CUSTOMER WITHOUT WRITTEN AUTHORIZATION SENT WRITTEN COMMUNICATIONS TO A CUSTOMER WITHOUT SUBMITTING THEM FOR REVIEW;SENT WRITTEN COMMUNICATION TO CUSTOMER WHICH HE SHOULD HAVE KNOWN CONTAINED INACCURATE INFORMATION; AND FAILED TO COMPLETE NEW ACCOUNT FORMS COMPLETE AND ACCURATE.

**Current Status:** Final

**Resolution:** Consent

**Resolution Date:** 03/12/1993

**Sanctions Ordered:** Censure  
Suspension

**Other Sanctions Ordered:**

**Sanction Details:** CONSENT TO CENSURE, TWO MONTH SUSPENSION AND SIX MONTH PERIOD OF ENHANCED SUPERVISION. RECEIVED AFFIDAVIT IN REFERENCE TO BRADLEY KASTAN AND HIS BRANCH MANAGER, LAWRENCE MILLER CERTIFYING MR. KASTAN'S COMPLIANCE WITH HEARING PANEL DECISION 91-193. MR. KASTAN HAS INDICATED IN PARAGRAPH 5 OF AFFIDAVIT THAT HE ALONG WITH HIS MEMBER ORGANIZATION HAS COMPLIED WITH PROVISIONS OF PARAGRAPH 18 OF THE DECISION REGARDING ENHANCED SUPERVISION FOR SIX-MONTH PERIOD BEGINNING 4/12/93 AND ENDING 10/12/93.

**Regulator Statement** IN VIEW OF THE ABOVE VIOLATIONS, THE PENALTY CONSENTED TO BY MR. KASTAN OF A CENSURE AND A TWO MONTH SUSPENSION IN ANY CAPACITY FOLLOWED BY SIX MONTHS OF ENHANCED SUPERVISION AS DESCRIBED IN THE HEARING PANEL DECISION LISTED IN PARAGRAPH 18.

**Reporting Source:** Individual

**Regulatory Action Initiated By:** NEW YORK STOCK EXCHANGE

**Sanction(s) Sought:**

**Other Sanction(s) Sought:**

**Date Initiated:** 03/12/1993



**Docket/Case Number:** HPD 92-193

**Employing firm when activity occurred which led to the regulatory action:** E.F. HUTTON

**Product Type:**

**Other Product Type(s):**

**Allegations:** FINANCIAL OPTIONS OTHER- SENT WRITTEN COMMUNICATIONS WITHOUT SUBMITTING FOR REVIEW. SENT WRITTEN COMMUNICATION TO CUSTOMER WHICH SHOULD HAVE KNOWN CONTACTED IN ACCURATE INFORMATION. FAILED TO ENSURE THAT INFO ON NEW ACCOUNTS FORM WAS ACCURATE & COMPLETE.

**Current Status:** Final

**Resolution:** Consent

**Resolution Date:** 03/12/1993

**Sanctions Ordered:** Censure  
Suspension

**Other Sanctions Ordered:**

**Sanction Details:** CONSENT TO CENSURE & SUSPENSION IN THE CAPACITIES FOR A FIXED DURATION OF 60 DAYS 8/12/93 - 5/10/93

**Broker Statement** TO AVOID THE TIME AND COST OF LITIGATING A MATTER WHICH OCCURRED IN 1986. MR. KASTAN AND THE NYSE CONSENTED TO SETTLEMENT INVOLVING A CENSURE AND TWO MONTH SUSPENSION FOLLOWED BY SIX MONTHS OF ENHANCED SUPERVISION.



## Customer Dispute

This section provides information regarding a customer dispute that was reported to the Investment Adviser Registration Depository (IARD) by the Investment Adviser Representative (IAR), an investment adviser and/or securities firm, and/or a securities regulator. The event may include a consumer-initiated, investment-related complaint, arbitration proceeding or civil suit that contains allegations of sales practice violations against the individual.

The customer dispute may be pending or may have resulted in a civil judgment, arbitration award, monetary settlement, closure without action, withdrawal, dismissal, denial, or other outcome.

### Disclosure 1 of 2

**Reporting Source:** Individual

**Employing firm when activities occurred which led to the complaint:** E.F. HUTTON

**Allegations:** UNAUTHORIZED TRANCACTION; OVER CONCENTRATION-EXCESSIVE ACCOUNT LIMIT

**Product Type:**

**Alleged Damages:** \$750,000.00

## Customer Complaint Information

**Date Complaint Received:** 12/15/1985

**Complaint Pending?** No

**Status:** Litigation

**Status Date:**

**Settlement Amount:**

**Individual Contribution Amount:**

## Civil Litigation Information

**Court Details:** COMMON PLEAS; FRANKLIN COUNTY, OH; C 87CV-07-4438

**Date Notice/Process Served:** 12/20/1987

**Litigation Pending?** No

**Disposition:** Settled

**Disposition Date:** 10/29/1997

**Monetary Compensation Amount:** \$150,000.00

**Individual Contribution Amount:** \$50,000.00

**Broker Statement** EF HUTTON: REGISTERED REPRESENTATIVE SETTLED THE CASE \$150,000. RR CONTRUBUTED \$50,000 THE MATTER WAS SETTLED TO AVOID THE EXPENSE AND INCONVENIENCE OF LITIGATION. THE COMPLAINT WAS SETTLED AND THE SUIT DISMISSED BY STIPULATION OF THE PARTIES.

### Disclosure 2 of 2

**Reporting Source:** Firm



**Employing firm when activities occurred which led to the complaint:** SHEARSON, LEHMAN HUTTON INC.

**Allegations:**

**Product Type:**

**Alleged Damages:** \$1,680,000.00

### Customer Complaint Information

**Date Complaint Received:** 04/02/1987

**Complaint Pending?** No

**Status:** Settled

**Status Date:**

**Settlement Amount:** \$660,000.00

**Individual Contribution Amount:** \$260,000.00

**Firm Statement**

CUSTOMER, THE PRINCIPAL OF CUSTOMER ESTABLISHED TWO CUSTOMER ACCOUNTS, AN INDIVIDUAL ACCOUNT AND TWO TRUST ACCOUNTS IN THE HUTTON COLUMBUS, OHIO BRANCH OFFICE IN EARLY 1985. KASTAN SERVICED THE ACCOUNTS. THE ALLEGATIONS RAISED BY [CUSTOMER] INCLUDE KASTAN'S USE OF DISCRETION, CHURNING, LACK OF SUITABILITY AND NEGLIGENCE WITH REGARD TO THE PURCHASE OF A SECURITY NAMED AUDIO VIDEO AFFILIATES. CUSTOMER MADE A DEMAND FOR \$1,650,000.00 AND CUSTOMER (AN ASSOCIATE OF CUSTOMER) ALLEGED SIMILAR COMPLAINTS AGAINST KASTAN AND HUTTON RELATING TO AN APPROXIMATE \$30,000.00 LOSS IN AVA. BOTH COMPLAINTS WERE SETTLED FOR A TOTAL OF \$660,000; \$611,530.00 PAYABLE TO CUSTOMER AND \$48,470.00 TO CUSTOMER. KASTAN'S CONTRIBUTION IS \$240,906.00 TO THE CUSTOMER PARTIES AND \$19,094.00 TO CUSTOMER. LITIGATION COMPLAINTS WERE NOT FILED IN EITHER MATTER.

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**Reporting Source:** Individual

**Employing firm when activities occurred which led to the complaint:** SHEARSON, LEHMAN HUTTON INC.

**Allegations:** ACCOUNT RELATED NEGLIGENCE; CHURNING, OHTER - DISCRETION UNSUITABILITY

**Product Type:**

**Alleged Damages:** \$1,680,000.00

### Customer Complaint Information

**Date Complaint Received:** 04/02/1987

**Complaint Pending?** No

**Status:** Settled

**Status Date:**

**Settlement Amount:** \$660,000.00



**Individual Contribution Amount:** \$260,000.00

**Broker Statement** AWARD, CUSTOMER - \$611,530, CUSTOMER - \$48,470, RR CONTRIBUTION \$240,906 CUSTOMER; \$19,094- CUSTOMER. BOTH COMPLAINTS WERE SETTLED. SETTLEMENT AMOUNTS ABOVE REGISTERED REPRESENTATIVE CONTRIBUTION WERE PAID BY SHEARSON LEHMAN HUTTON. NO LITIGATION WAS COMMENCED.



## End of Report

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