



## IAPD Report

# GLEN STEVEN DAVIS

CRD# 1070334

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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

### GLEN STEVEN DAVIS (CRD# 1070334)

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 **09/15/2025**.

### CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
<b>B</b>	AEGIS CAPITAL CORP.	CRD# 15007	07/02/2015
<b>IA</b>	AEGIS CAPITAL CORP.	CRD# 15007	07/02/2015

### QUALIFICATIONS

This representative is currently registered in **3** SRO(s) and **8** 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>	JHS CAPITAL ADVISORS, LLC	112097	PORTLAND, OR	03/16/2015 - 07/07/2015
<b>B</b>	JHS CAPITAL ADVISORS, LLC	112097	PORTLAND, OR	04/02/2012 - 07/07/2015
<b>B</b>	PAULSON INVESTMENT COMPANY, INC.	5670	PORTLAND, OR	10/20/1982 - 04/11/2012

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



## 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 **8** jurisdiction(s) and 3 SRO(s) through his or her employer(s).

### Employment 1 of 1

Firm Name: **AEGIS CAPITAL CORP.**  
Main Address: 1345 AVENUE OF THE AMERICAS  
27TH FLOOR  
NEW YORK, NY 10105  
Firm ID#: 15007

	Regulator	Registration	Status	Date
<b>B</b>	FINRA	General Securities Principal	Approved	07/02/2015
<b>B</b>	FINRA	General Securities Representative	Approved	07/02/2015
<b>B</b>	FINRA	Municipal Fund	Approved	07/02/2015
<b>B</b>	NYSE Arca, Inc.	General Securities Principal	Approved	07/02/2015
<b>B</b>	NYSE Arca, Inc.	General Securities Representative	Approved	07/02/2015
<b>B</b>	Nasdaq Stock Market	General Securities Principal	Approved	07/02/2015
<b>B</b>	Nasdaq Stock Market	General Securities Representative	Approved	07/02/2015
<b>B</b>	California	Agent	Approved	07/02/2015
<b>B</b>	Colorado	Agent	Approved	07/02/2015
<b>IA</b>	Colorado	Investment Adviser Representative	Approved	02/28/2022
<b>B</b>	Florida	Agent	Approved	07/02/2015
<b>B</b>	Maine	Agent	Approved	10/26/2023
<b>B</b>	New Hampshire	Agent	Approved	09/16/2025



### Qualifications

Regulator	Registration	Status	Date
<b>B</b> New York	Agent	Approved	07/02/2015
<b>IA</b> Oregon	Investment Adviser Representative	Approved	07/02/2015
<b>B</b> Oregon	Agent	Approved	07/06/2015
<b>B</b> Washington	Agent	Approved	07/15/2015

### Branch Office Locations

**AEGIS CAPITAL CORP.**  
1000 SW BROADWAY  
SUITE 1220  
PORTLAND, OR 97205





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




#### Principal/Supervisory Exams

	Exam	Category	Date
	Municipal Fund Securities Principal Examination (S51)	Series 51	05/02/2003
	General Securities Principal Examination (S24)	Series 24	02/14/1994

#### General Industry/Product Exams

	Exam	Category	Date
	Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
	General Securities Representative Examination (S7)	Series 7	10/16/1982

#### State Securities Law Exams

	Exam	Category	Date
	 Uniform Combined State Law Examination (S66)	Series 66	03/12/2015
	Uniform Securities Agent State Law Examination (S63)	Series 63	12/26/1984

### 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	03/16/2015 - 07/07/2015	JHS CAPITAL ADVISORS, LLC	CRD# 112097	PORTLAND, OR
B	04/02/2012 - 07/07/2015	JHS CAPITAL ADVISORS, LLC	CRD# 112097	PORTLAND, OR
B	10/20/1982 - 04/11/2012	PAULSON INVESTMENT COMPANY, INC.	CRD# 5670	PORTLAND, OR

### 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
07/2015 - Present	AEGIS CAPITAL CORP	REGISTERED REPRESENTATIVE	Y	PORTLAND, OR, 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.

- 1) VILLA ST. CLAIR INC., HOLLADAY PARTNERS INC., COMMODORES PARTNERS LLC. REAL ESTATE INVESTMENT HOLDINGS. THERE IS NO BUSINESS ADDRESS OTHER THAN THE INDIVIDUAL PROPERTY ADDRESS ASSOCIATED WITH THE ABOVE OWNERSHIP ENTITY. NATURE OF OTHER BUSINESS IS REAL ESTATE. TITLE, PRESIDENT VILLA ST. CLAIR INC., PARTNER HOLLADAY PARTNERS INC., MEMBER COMMODORE PARTNERS LLC. ONGOING RELATIONSHIP. LESS THAN 5 HOURS PER MONTH DEVOTED TO OUTSIDE BUSINESS. DUTIES RELATING TO OUTSIDE BUSINESS INCLUDE REVIEW OPERATIONS OF REAL ESTATE HOLDINGS.
- 2) BROADWAY GROUP LLC; MANAGING MEMBER; BUSINESS ESTABLISHED FOR 1099 OFFICE EXPENSES; START DATE: 7/2015; 0-1 HOUR PER MONTH DEVOTED TO BUSINESS DURING SECURITIES TRADING HOURS.
- 3) GLOBAL EQUITY PARTNERS LLC; SOLE MEMBER; BUSINESS ESTABLISHED FOR 1099 BUSINESS EXPENSES; START DATE: 7/2015; 0-1 HOUR PER MONTH DEVOTED TO BUSINESS DURING SECURITIES TRADING HOURS.
- 4) NORTHWEST HISTORIC PROPERTIES LLC., PRIVATE REAL ESTATE HOLDING COMPANY, MEMBER NON-INVESTMENT RELATED; START DATE: 1/31/2015; APPROXIMATELY 1 HOUR PER MONTH DEVOTED TO BUSINESS.



## 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

### 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

<b>Reporting Source:</b>	Regulator
<b>Regulatory Action Initiated By:</b>	NASD
<b>Sanction(s) Sought:</b>	
<b>Date Initiated:</b>	07/11/2006
<b>Docket/Case Number:</b>	<a href="#">EAF0400370004</a>
<b>Employing firm when activity occurred which led to the regulatory action:</b>	PAULSON INVESTMENT COMPANY, INC.
<b>Product Type:</b>	Mutual Fund
<b>Allegations:</b>	NASD RULES 2110 AND 3010 - RESPONDENT APPROVED NEW BROKER CODES FOR THREE BROKERS WHEN IN FACT HE KNEW THAT THE BROKERS WERE ENGAGING IN EXTENSIVE MARKET-TIMING ACTIVITY. RESPONDENT KNEW THAT THE CLIENTS AND THE BROKERS HAD REQUESTED NEW BROKER CODES FOR AN IMPROPER PURPOSE. UNDER THE CIRCUMSTANCES, IT WAS FORESEEABLE THAT THE BROKERS WOULD MISUSE THE NEW BROKER CODES AS THEY DID. THE BROKERS USED THESE BROKER CODES TO MAKE 48 MUTUAL FUND TRADES FOR THEIR MARKET-TIMING CLIENTS AND EARNED THOSE CLIENTS \$64,000 IN PROFITS. NEVERTHELESS, RESPONDENT DID NOT MONITOR THE BROKERS' ACTIVITY TO ENSURE THAT THE BROKERS DID NOT USE THE NEW BROKER CODES FOR AN IMPROPER PURPOSE, AFTER HE APPROVED THE CREATION OF NEW BROKER CODES.
<b>Current Status:</b>	Final
<b>Resolution:</b>	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:** 07/11/2006

**Sanctions Ordered:** Civil and Administrative Penalty(ies)/Fine(s)  
Suspension

**Regulator Statement** WITHOUT ADMITTING OR DENYING THE FINDINGS, RESPONDENT CONSENTED TO THE DESCRIBED SANCTIONS AND TO THE ENTRY OF FINDINGS; THEREFORE HE IS FINED \$25,000 AND SUSPENDED FROM ASSOCIATION WITH ANY NASD MEMBER IN ANY SUPERVISORY OR PRINCIPAL CAPACITY FOR 23 BUSINESS DAYS. THE SUSPENSION IN ANY PRINCIPAL OR SUPERVISORY CAPACITY WILL BE IN EFFECT FROM AUGUST 7, 2006, THROUGH SEPTEMBER 7, 2006. FINES PAID.

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**Reporting Source:** Individual

**Regulatory Action Initiated By:** NASD

**Sanction(s) Sought:** Other

**Other Sanction(s) Sought:** \$25,000 FINE AND A 23 BUSINESS DAY SUSPENSION FROM ACTING IN A SUPERVISORY OR PRINCIPAL CAPACITY ONLY.

**Date Initiated:** 04/12/2005

**Docket/Case Number:** [EAF0400370004](#)

**Employing firm when activity occurred which led to the regulatory action:** PAULSON INVESTMENT COMPANY, INC.

**Product Type:** Mutual Fund(s)

**Other Product Type(s):**

**Allegations:** FAILURE TO SUPERVISE

**Current Status:** Final

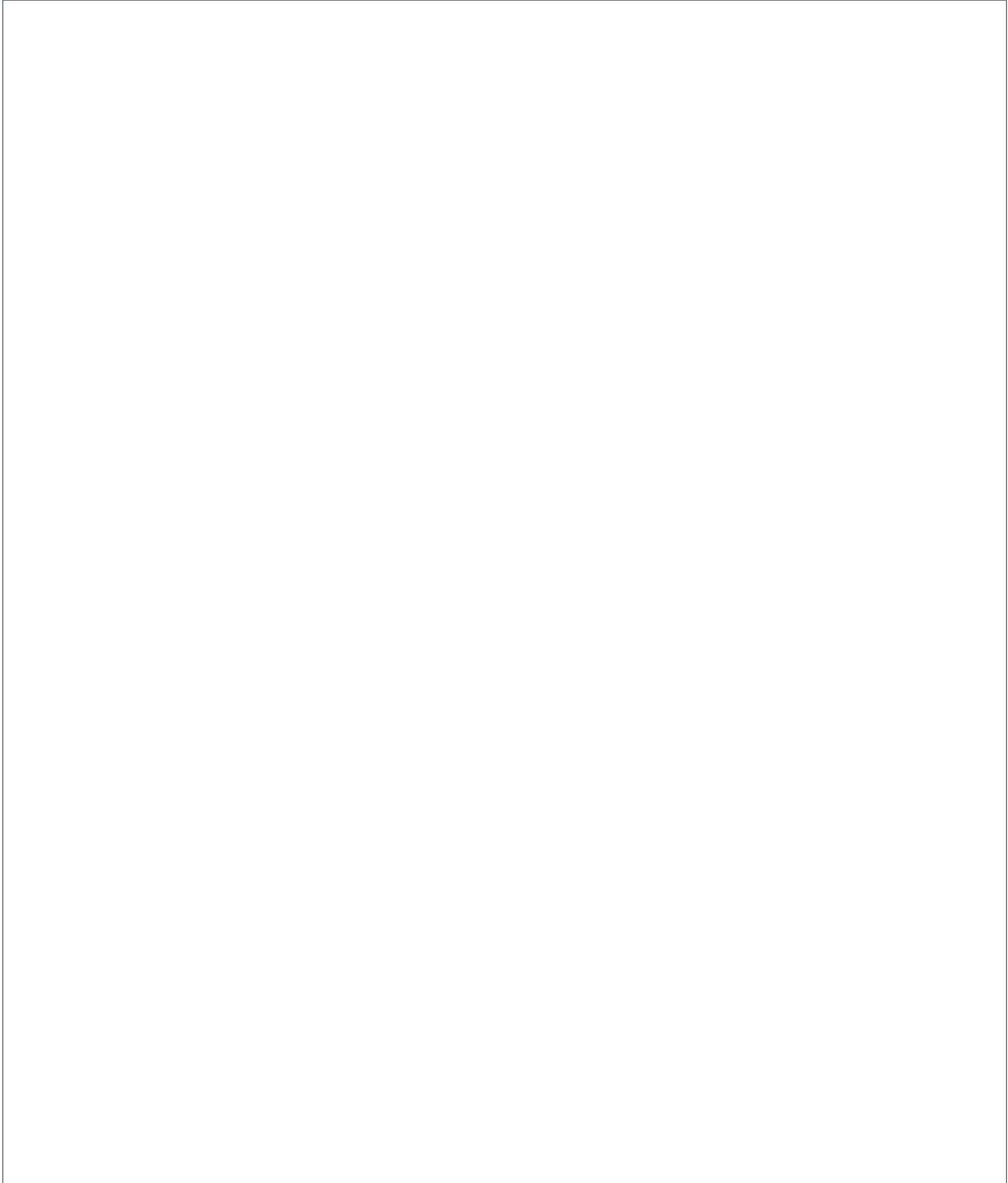
**Resolution:** Acceptance, Waiver & Consent(AWC)

**Resolution Date:** 07/11/2006

**Sanctions Ordered:** Monetary/Fine \$25,000.00  
Suspension

**Other Sanctions Ordered:**

**Sanction Details:** ON JULY 11, 2003, THE NASD ACCEPTED A LETTER OF ACCEPTANCE, WAIVER AND CONSENT IN WHICH MR. DAVIS CONSENTED, WITHOUT ADMITTING OR DENYING THE FINDINGS, TO THE ENTRY OF FINDINGS OF VIOLATIONS OF NASD RULES 2110 AND 3110 FOR FAILING TO SUPERVISE THREE REGISTERED REPRESENTATIVES WHO ENGAGED IN ILLICIT MARKET TIMING TRADES OVER A PERIOD OF APPROXIMATELY FIVE WEEKS. HE ALSO CONSENTED TO THE IMPOSITION OF SANCTIONS CONSISTING OF A \$25,000 FINE AND A 23 BUSINESS DAY SUSPENSION FROM ACTING IN A SUPERVISORY OR PRINCIPAL CAPACITY ONLY.





## End of Report

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