User Guidance

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IAPD Report

ALAN CHARLES GOTTLOB

CRD# 1343003

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

ALAN CHARLES GOTTLOB (CRD# 1343003)

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 **02/26/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
IA	PINE VALLEY PRIVATE WEALTH	CRD# 289533	10/18/2017
IA	ETHOS FINANCIAL GROUP, LLC	CRD# 321748	08/02/2024

QUALIFICATIONS

This representative is currently registered in **0** SRO(s) and **3** 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	TFS SECURITIES, INC.	20626	VOORHEES, NJ	07/26/2013 - 09/19/2017
IA	TFS ADVISORY SERVICES	20626	VOORHEES, NJ	07/16/2013 - 09/19/2017
IA	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	7691	BALA CYNWYD, PA	08/09/2011 - 07/05/2013

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
Customer Dispute	1
Termination	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 **3** jurisdiction(s) and **0** SRO(s) through his or her employer(s).

Employment 1 of 2

Firm Name: **ETHOS FINANCIAL GROUP, LLC**
Main Address: 2200 RENAISSANCE BLVD
SUITE 340
KING OF PRUSSIA, PA 19406
Firm ID#: 321748

	Regulator	Registration	Status	Date
IA	Pennsylvania	Investment Adviser Representative	Approved	08/02/2024

Branch Office Locations

ETHOS FINANCIAL GROUP, LLC
2200 RENAISSANCE BLVD
SUITE 340
KING OF PRUSSIA, PA 19406

Employment 2 of 2

Firm Name: **PINE VALLEY PRIVATE WEALTH**
Main Address: 10 EAST STOW ROAD, SUITE 200
MARLTON, NJ 08053
Firm ID#: 289533

	Regulator	Registration	Status	Date
IA	New Jersey	Investment Adviser Representative	Approved	10/18/2017
IA	Texas	Investment Adviser Representative	Approved	09/09/2021

Branch Office Locations

PINE VALLEY PRIVATE WEALTH
10 EAST STOW ROAD, SUITE 200
MARLTON, NJ 08053

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

Principal/Supervisory Exams

Exam	Category	Date
No information reported.		

General Industry/Product Exams

	Exam	Category	Date
B	Securities Industry Essentials Examination (SIE)	SIE	09/19/2017
B	General Securities Representative Examination (S7)	Series 7	02/16/1985

State Securities Law Exams

	Exam	Category	Date
IA	Uniform Investment Adviser Law Examination (S65)	Series 65	05/14/1999
B	Uniform Securities Agent State Law Examination (S63)	Series 63	05/20/1985

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	07/26/2013 - 09/19/2017	TFS SECURITIES, INC.	CRD# 20626	VOORHEES, NJ
IA	07/16/2013 - 09/19/2017	TFS ADVISORY SERVICES	CRD# 20626	VOORHEES, NJ
IA	08/09/2011 - 07/05/2013	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	CRD# 7691	BALA CYNWYD, PA
B	06/28/2011 - 07/05/2013	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	CRD# 7691	BALA CYNWYD, PA
IA	04/02/2003 - 08/17/2011	SHINGLE OAK ADVISORS, LLC	CRD# 120591	VOORHEES, NJ
IA	06/16/2011 - 08/05/2011	COMPREHENSIVE PROGRAMS, INC.	CRD# 44575	VOORHEES, NJ
B	04/18/2011 - 08/05/2011	CPI CAPITAL	CRD# 44575	VOORHEES, NJ
B	12/02/2008 - 04/17/2009	SLOAN SECURITIES CORP.	CRD# 17930	ENGLEWOOD CLIFFS, N
B	08/10/2005 - 02/27/2007	SLOAN SECURITIES CORP.	CRD# 17930	ENGLEWOOD CLIFFS, N
IA	05/28/2003 - 12/01/2003	PRIVATE CONSULTING GROUP, INC.	CRD# 45053	CHERRY HILL, NJ
B	12/19/2001 - 12/01/2003	PRIVATE CONSULTING GROUP, INC.	CRD# 45053	PORTLAND, OR
IA	10/21/2002 - 12/31/2002	PCG INVESTMENT SERVICES, LLC	CRD# 120591	CHERRY HILL, NJ
B	06/06/2000 - 12/31/2001	NFP SECURITIES, INC.	CRD# 42046	AUSTIN, TX
B	09/14/1998 - 06/06/2000	THE ADVISORS GROUP, INC.	CRD# 14035	BETHESDA, MD
B	05/11/1998 - 09/27/1998	AMERICAN GENERAL SECURITIES INCORPORATED	CRD# 13626	PHOENIX, AZ

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	08/08/1996 - 11/25/1997	MESIROW FINANCIAL, INC.	CRD# 2764	CHICAGO, IL
B	08/23/1994 - 09/03/1996	MAFG RIA SERVICES, INC.	CRD# 35690	MT. LAUREL, NJ
B	09/01/1992 - 08/23/1994	FFP SECURITIES, INC.	CRD# 16337	CHESTERFIELD, MO
B	02/21/1985 - 08/19/1992	CAPITAL ANALYSTS, INCORPORATED	CRD# 5478	CINCINNATI, OH

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
08/2024 - Present	ETHOS FINANCIAL GROUP, LLC	SR. FINANCIAL ADVISOR	Y	KING OF PRUSSIA, PA, United States
04/2001 - Present	SHINGLE OAK ADVISORS, LLC	Managing Member	Y	VOORHEES, NJ, United States
07/2013 - 09/2017	TFS SECURITIES, INC.	REGISTERED REP.	Y	LINCROFT, NJ, 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.

SHINGLE OAK ADVISORS, LLC; INVESTMENT-RELATED; NJ; REGISTERED INVESTMENT ADVISOR; START DATE: 8/2001; APPROXIMATELY 100 HRS/MO DURING TRADING HOURS.

WEST BAY HOLDINGS LTD; NOT INVESTMENT-RELATED; BOARD MEMBER; START DATE: 8/2025; APPROXIMATELY 10 HRS/MO OUTSIDE TRADING HOURS; PROVIDE STRATEGIC, CAPITAL & SOLVENCY & TREATY OVERSIGHT, ACTUARIAL GOVERNANCE AND SIT ON THE COMPENSATION & NOMINATION COMMITTEE.

A2C1 CAPITAL LLC, INVESTMENT RELATED, NJ/CAY, MEMBER/GENERAL PARTNER, START DATE 2/16/2026, APPROX 5 HOURS PER MONTH IN TRADING HOURS, GENERAL BUSINESS OPERATIONS, OVERSIGHT AND GOVERNANCE

Mr. Gottlob is a licensed insurance agent with various insurance companies, and in such capacity, may recommend, on a fully disclosed commission basis, the purchase of insurance products. The insurance activity is conducted at the same office location, 10 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
Customer Dispute	1
Termination	1

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 1

Reporting Source:	Firm
Employing firm when activities occurred which led to the complaint:	PRIVATE CONSULTING GROUP, INC.
Allegations:	01/2004 TO 07/2006. A PLAINTIFF IN A CIVIL ACTION SEEKS DAMAGES AND DECLARATORY RELIEF RELATED TO RESALE OF A GENERAL ACCOUNT LIFE INSURANCE POLICY PREVIOUSLY OWNED BY AN IRREVOCABLE TRUST. THE COMPLAINT CLAIMS COMMON LAW FRAUD, BREACH OF FIDUCIARY DUTY, BREACH OF ORAL CONTRACT, AND UNJUST ENRICHMENT. COMPLAINT ALLEGES THAT DEFENDANTS, DAVID S. FORMAN, ALAN GOTTLOB, THEIR RELATED COMPANY VORHEES INS. CO, INC., AND PRIVATE CONSULTING GROUP, INC. CONSPIRED TO UNJUSTLY OBTAIN THE TRUST'S POLICY, SELL THE POLICY TO A LIFETIME SETTLEMENT COMPANY AND RETAIN THE PROCEEDS. DEFENDANTS DENY ALLEGATIONS.
Product Type:	Insurance
Alleged Damages:	$900,000.00

Customer Complaint Information

Date Complaint Received:	11/09/2006
Complaint Pending?	No
Status:	Settled
Status Date:	07/18/2008
Settlement Amount:	$506,000.00

Individual Contribution Amount: $0.00

Civil Litigation Information

Disposition:

Disposition Date: 07/18/2008

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: SHINGLE OAK ADVISORS, LLC

Allegations: PLAINTIFF'S ALLEGE COMMON LAW FRAUD, BREACH OF FIDUCIARY DUTY, BREACH OF ORAL CONTRACT AND UNJUST ENRICHMENT.

Product Type: Insurance

Alleged Damages: $0.00

Alleged Damages Amount Explanation (if amount not exact): DETERMINED TO BE MORE THAN $5,000.00

Customer Complaint Information

Date Complaint Received: 11/02/2006

Complaint Pending? No

Status: Settled

Status Date: 07/18/2008

Settlement Amount: $506,000.00

Individual Contribution Amount: $0.00

Civil Litigation Information

Type of Court: Federal Court

Name of Court: US DISTRICT COURT NORTHERN DISTRICT OF ILLINOIS EASTERN DIVISION

Location of Court: CHICAGO, ILLINOIS

Docket/Case #: 06C5974

Date Notice/Process Served: 11/09/2006

Litigation Pending? No

Disposition: Settled

Disposition Date: 07/18/2008

Monetary Compensation Amount: $506,000.00

Individual Contribution Amount: $0.00

Broker Statement The statements contained in the disclosed lawsuit made by my former brokerage firm are incorrect. At no time did I individually contribute or may any payments in settlement of this matter. All settlement payments were made by a company owned by my former partner. In addition, I did not admit any wrongdoing in connection with the settlement of this matter. I continue to pursue all available legal and equitable remedies to correct this misrepresentation

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 1

Reporting Source:	Firm
Firm Name:	SLOAN SECURITIES CORPORATION
Termination Type:	Discharged
Termination Date:	04/17/2009
Allegations:	THE REPRESENTATIVE FAILED TO PROVIDE ACCURATE AND TIMELY INFORMATION REGARDING AN OUTSIDE BUSINESS ACTIVITY.
Product Type:	No Product
Other Product Types:	

Reporting Source:	Individual
Firm Name:	SLOAN SECURITIES CORPORATION
Termination Type:	Discharged
Termination Date:	04/17/2009
Allegations:	THE REPRESENTATIVE FAILED TO PROVIDE ACCURATE AND TIMELY INFORMATION REGARDING AN OUTSIDE BUSINESS ACTIVITY
Product Type:	No Product
Broker Statement	INFORMATION REQUESTED BY SLOAN SECURITIES CORP WAS PROVIDED, BUT WAS DELAYED BECAUSE OF REGISTERED REPRESENTATIVE'S VACATION. IT WAS RECEIVED BY SLOAN TWO DAYS LATE.

End of Report

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