IAPD Report

Glenn Albert Hamler

CRD# 1516090

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

[User Guidance](#)

[www.adviserinfo.sec.gov](#)

Report Summary

Glenn Albert Hamler (CRD# 1516090)

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 **05/13/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	JANNEY MONTGOMERY SCOTT LLC	CRD# 463	03/30/2022
IA	JANNEY MONTGOMERY SCOTT LLC	CRD# 463	03/30/2022

QUALIFICATIONS

This representative is currently registered in **3** SRO(s) and **39** 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	UBS FINANCIAL SERVICES INC.	8174	SARASOTA, FL	09/30/2010 - 04/08/2022
IA	UBS FINANCIAL SERVICES INC.	8174	SARASOTA, FL	09/30/2010 - 04/08/2022
B	STIFEL, NICOLAUS & COMPANY, INCORPORATED	793	NEW LONDON, CT	11/25/2005 - 10/01/2010

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
Customer Dispute	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 **39** 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	FINRA	General Securities Principal	Approved	03/30/2022
B	FINRA	General Securities Representative	Approved	03/30/2022
B	FINRA	Investment Co./Variable Contracts Prin	Approved	03/30/2022
B	Nasdaq Stock Market	General Securities Principal	Approved	03/30/2022
B	Nasdaq Stock Market	General Securities Representative	Approved	03/30/2022
B	New York Stock Exchange	General Securities Principal	Approved	03/30/2022
B	New York Stock Exchange	General Securities Representative	Approved	03/30/2022
B	Alabama	Agent	Approved	05/08/2026
B	Arizona	Agent	Approved	03/30/2022
B	California	Agent	Approved	03/30/2022
B	Colorado	Agent	Approved	05/11/2026
B	Connecticut	Agent	Approved	03/30/2022
IA	Connecticut	Investment Adviser Representative	Approved	03/30/2022

Qualifications

	Regulator	Registration	Status	Date
B	Delaware	Agent	Approved	05/08/2026
B	District of Columbia	Agent	Approved	05/11/2026
B	Florida	Agent	Approved	03/31/2022
IA	Florida	Investment Adviser Representative	Approved	03/31/2022
B	Georgia	Agent	Approved	06/25/2025
B	Illinois	Agent	Approved	05/13/2026
B	Indiana	Agent	Approved	05/13/2026
B	Kansas	Agent	Approved	05/08/2026
B	Kentucky	Agent	Approved	03/02/2026
B	Louisiana	Agent	Approved	05/08/2026
B	Maine	Agent	Approved	03/02/2026
B	Maryland	Agent	Approved	03/05/2026
B	Massachusetts	Agent	Approved	03/31/2022
B	Michigan	Agent	Approved	05/12/2026
B	Minnesota	Agent	Approved	05/11/2026
B	Missouri	Agent	Approved	05/11/2026
B	Nevada	Agent	Approved	11/20/2023
B	New Hampshire	Agent	Approved	03/30/2022
B	New Jersey	Agent	Approved	03/02/2026

Qualifications

	Regulator	Registration	Status	Date
B	New Mexico	Agent	Approved	05/11/2026
B	New York	Agent	Approved	03/11/2026
B	North Carolina	Agent	Approved	03/03/2026
B	Ohio	Agent	Approved	03/02/2026
B	Oregon	Agent	Approved	03/31/2022
B	Pennsylvania	Agent	Approved	04/12/2022
B	Rhode Island	Agent	Approved	03/30/2022
B	South Carolina	Agent	Approved	04/20/2022
B	South Dakota	Agent	Approved	03/30/2022
B	Tennessee	Agent	Approved	03/02/2026
B	Texas	Agent	Approved	03/30/2022
IA	Texas	Investment Adviser Representative	Restricted Approval	06/27/2022
B	Utah	Agent	Approved	05/12/2026
B	Vermont	Agent	Approved	03/02/2026
B	Virginia	Agent	Approved	03/30/2022
B	Washington	Agent	Approved	02/03/2026
B	Wisconsin	Agent	Approved	05/08/2026

Branch Office Locations

JANNEY MONTGOMERY SCOTT LLC

Qualifications

60 Willow Street
Suite 101
Mystic, CT 06355

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
B	Investment Company Products/Variable Contracts Principal Examination (S26)	Series 26	01/02/2023
B	General Securities Principal Examination (S24)	Series 24	04/06/1992

General Industry/Product Exams

	Exam	Category	Date
B	Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
B	General Securities Representative Examination (S7)	Series 7	09/19/1987

State Securities Law Exams

	Exam	Category	Date
IA	Uniform Investment Adviser Law Examination (S65)	Series 65	08/11/1999
B	Uniform Securities Agent State Law Examination (S63)	Series 63	10/31/1990

PROFESSIONAL DESIGNATIONS

This section details that the representative has reported **0** professional designation(s).

No information reported.

Only professional designations listed in Question 8 of the Form U4 will appear in this section if the appropriate box is checked and verified by the issuing organization at the time of the filing. Learn more about eligible designations at IARD and NASAA.

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	09/30/2010 - 04/08/2022	UBS FINANCIAL SERVICES INC.	CRD# 8174	SARASOTA, FL
IA	09/30/2010 - 04/08/2022	UBS FINANCIAL SERVICES INC.	CRD# 8174	SARASOTA, FL
B	11/25/2005 - 10/01/2010	STIFEL, NICOLAUS & COMPANY, INCORPORATED	CRD# 793	NEW LONDON, CT
IA	11/25/2005 - 10/01/2010	STIFEL, NICOLAUS & COMPANY, INCORPORATED	CRD# 793	NEW LONDON, CT
IA	11/05/1999 - 12/19/2005	ADVEST, INC.	CRD# 10	NEW LONDON, CT
B	07/16/1992 - 12/19/2005	ADVEST, INC.	CRD# 10	HARTFORD, CT
B	04/30/1991 - 07/21/1992	BANCA IMI SECURITIES CORP.	CRD# 19418	NEW YORK, NY
B	12/19/1989 - 04/30/1991	MABON, NUGENT & CO.	CRD# 2617	
B	12/20/1988 - 10/03/1989	ISFA CORPORATION	CRD# 12984	APPLETON, WI
B	09/24/1987 - 12/15/1988	AMERICAN EXPRESS FINANCIAL ADVISORS INC.	CRD# 6363	

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
03/2022 - Present	Janney Montgomery Scott LLC	Financial Advisor	Y	Mystic, CT, United States
09/2010 - 03/2022	UBS FINANCIAL SERVICES INC	FINANCIAL ADVISOR	Y	NEW LONDON, CT, 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.

Bacon and Hinley Home, New London, CT. President (12/2025) - Senior Living Facility - oversee committees and operation of facility. Not compensated, not investment related, 2 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	1
Customer Dispute	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

Reporting Source:	Regulator
Regulatory Action Initiated By:	NEW YORK STOCK EXCHANGE DIVISON OF ENFORCEMENT
Sanction(s) Sought:	
Other Sanction(s) Sought:	
Date Initiated:	02/14/2005
Docket/Case Number:	HPD#: 05-043
Employing firm when activity occurred which led to the regulatory action:	
Product Type:	Other
Other Product Type(s):	
Allegations:	**2/14/05**STIPULATION EXECUTED WITHOUT ADMITTING OR DENYING GUILT, GLENN ALBERT HAMLER (HAMLER) CONSENTS TO: A. A FINDING BY THE HEARING PANEL THAT HE:1. VIOLATED EXCHANGE RULE 408(A) IN THAT HE ACCEPTED ORDERS FOR AN ACCOUNT OF A CUSTOMER OF HIS MEMBER ORGANIZATION EMPLOYER FROM A PERSON OTHER THAN THE CUSTOMER WITHOUT FIRST OBTAINING THE WRITTEN AUTHORIZATION OF THE CUSTOMER. 2. ENGAGED IN CONDUCT INCONSISTENT WITH JUST AND EQUITABLE PRINCIPLES OF TRADE IN THAT HE: A) FACILITATED THE ISSUANCE OF CHECKS AGAINST THE ACCOUNT OF A CUSTOMER OF HIS MEMBER ORGANIZATION EMPLOYER UPON THE REQUEST OF A PERSON OTHER THAN THE CUSTOMER; AND,B) FAILED TO FOLLOW A CUSTOMER'S

	INSTRUCTIONS.B.THE IMPOSITION BY THE EXCHANGE OF THE PENALTY OF A:1. CENSURE, AND 2. A ONE MONTH SUSPENSION FROM MEMBERSHIP, ALLIED MEMBERSHIP, APPROVED PERSON STATUS, AND FROM EMPLOYMENT OR ASSOCIATION IN ANY CAPACITY WITH ANY MEMBER OR MEMBER ORGANIZATION.
Current Status:	Final
Resolution:	Decision
Resolution Date:	05/27/2005
Sanctions Ordered:	Censure Suspension
Other Sanctions Ordered:	
Sanction Details:	**4/18/05**DECISION 05-43 ISSUED BY NYSE HEARING PANEL DECISION:VIOLATED EXCHANGE RULE 408(A) BY ACCEPTING ORDERS FOR AN ACCOUNT OF A CUSTOMER OF HIS MEMBER FIRM EMPLOYER FROM A PERSON OTHER THAN THE CUSTOMER WITHOUT FIRST OBTAINING WRITTEN AUTHORIZATION OF THE CUSTOMER; FACILITATED THE ISSUANCE OF CHECKS AGAINST THE ACCOUNT OF A CUSTOMER OF HIS MEMBER FIRM EMPLOYER UPON THE REQUEST OF A PERSON OTHER THAN THE CUSTOMER; FAILED TO FOLLOW A CUSTOMER'S INSTRUCTIONS -- CONSENT TO CENSURE AND ONE MONTH SUSPENSION.
Regulator Statement	**5/27/05**THE DECISION IS NOW FINAL AND THE SUSPENSION IS EFFECTIVE AS OF THE CLOSE OF BUSINESS ON JUNE 10, 2005. CONTACT:MICHELE VAN TASSEL 212-656-5340

Reporting Source:	Individual
Regulatory Action Initiated By:	NYSE
Sanction(s) Sought:	Suspension
Other Sanction(s) Sought:	CENSURE
Date Initiated:	02/14/2005
Docket/Case Number:	HPD# 05-043
Employing firm when activity occurred which led to the regulatory action:	ADVEST, INC.
Product Type:	Other
Other Product Type(s):	
Allegations:	ALLEGED VIOLATION OF EXCHANGE RULE 408(A)
Current Status:	Final
Resolution:	Acceptance, Waiver & Consent(AWC)
Resolution Date:	05/18/2005
Sanctions Ordered:	Censure Suspension
Other Sanctions Ordered:	
Sanction Details:	1 MONTH SUSPENSION FROM ALL ACTIVITIES STARTING THE END OF

BUSINESS 6/10/2005. RETURNING TO WORK 7/11/2005. (30 DAYS)

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:	Individual
Employing firm when activities occurred which led to the complaint:	ADVEST, INC.
Allegations:	FA TOOK INSTRUCTIONS FROM [THIRD PARTY]TO LIQUIDATE SEVERAL POSITIONS AND ISSUE A CHECK FOR THE PROCEEDS IN THE NAME OF THE ACCOUNT. {THIRD PARTY] VISITED THE BRANCH AND PICKED UP 2 CHECKS TOTALING 34114.84. CHECKS WERE LATER CASHED BEARING THE SIGNATURE OF [CUSTOMER] AND [THIRD PARTY]. [CUSTOMER] CLAIMS NO KNOWLEDGE OF THESE TRANSACTIONS.
Product Type:	Other
Other Product Type(s):	LIQUIDATION OF CUSTODIAL ACCOUNT
Alleged Damages:	$34,114.84

Customer Complaint Information

Date Complaint Received:	04/21/2003
Complaint Pending?	No
Status:	Settled
Status Date:	04/21/2003
Settlement Amount:	$34,114.84
Individual Contribution Amount:	$0.00
Broker Statement	LIQUIDATIONS WERE REVERSED ON 4-21-2003 AND ACCOUNT RETURNED TO WHERE IT WAS PRIOR TO DISBURSAL OF FUNDS. ADVEST WILL BE INITIATING PROCEEDINGS AGAINST THE HUSBAND TO GET THE FUNDS BACK.

End of Report

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