



## IAPD Report

# CHARLES THEODORE BLACK JR

CRD# 1660989

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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

### CHARLES THEODORE BLACK JR (CRD# 1660989)

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 **01/03/2019**.

### CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
<b>IA</b>	ROYAL PALM INVESTMENT ADVISORS, INC	CRD# 142335	07/09/2010

### QUALIFICATIONS

This representative is currently registered in **0** SRO(s) and **7** 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>	ALLEN DOUGLAS SECURITIES, INC.	42410	WINTER PARK, FL	07/24/2003 - 06/21/2004
<b>B</b>	WALL STREET FINANCIAL GROUP, INC.	35830	VICTOR, NY	04/17/1997 - 09/04/2001
<b>B</b>	SECURITIES SERVICE NETWORK, INC.	13318	KNOXVILLE, TN	08/24/1994 - 06/20/1995

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

#### Employment 1 of 2

Firm Name: **ROYAL PALM INVESTMENT ADVISORS, INC**  
Main Address: 740 FLORIDA CENTRAL PARKWAY  
SUITE 2012  
LONGWOOD, FL 32750  
Firm ID#: 142335

	Regulator	Registration	Status	Date
IA	Arizona	Investment Adviser Representative	Approved	06/18/2019
IA	California	Investment Adviser Representative	Approved	03/07/2011
IA	Florida	Investment Adviser Representative	Approved	07/09/2010
IA	Illinois	Investment Adviser Representative	Approved	03/04/2011
IA	North Carolina	Investment Adviser Representative	Approved	03/07/2011
IA	Ohio	Investment Adviser Representative	Approved	03/14/2011
IA	Texas	Investment Adviser Representative	Restricted Approval	03/08/2011

#### Branch Office Locations

**ROYAL PALM INVESTMENT ADVISORS, INC**  
740 FLORIDA CENTRAL PARKWAY  
SUITE 2012  
LONGWOOD, FL 32750

#### Employment 2 of 2

Firm Name: **LONGVIEW, INC.**  
Main Address: 740 FLORIDA CENTRAL PARKWAY, SUITE 2000  
LONGWOOD, FL 32750  
Firm ID#: 142050



## Qualifications

Regulator	Registration	Status	Date
<b>IA</b> Florida	Investment Adviser Representative	Approved	08/18/1995

### Branch Office Locations

This individual does not have any registered Branch Office where the individual is located.




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



#### Principal/Supervisory Exams

Exam	Category	Date
 General Securities Principal Examination (S24)	Series 24	02/09/1995

#### General Industry/Product Exams

Exam	Category	Date
 General Securities Representative Examination (S7)	Series 7	05/16/1987

#### State Securities Law Exams

Exam	Category	Date
 Uniform Investment Adviser Law Examination (S65)	Series 65	01/16/1992
 Uniform Securities Agent State Law Examination (S63)	Series 63	09/23/1988

### PROFESSIONAL DESIGNATIONS

This section details that the representative has reported 1 professional designation(s).

#### Certified Financial Planner

This representative holds or did hold 1 professional designation(s) that may have been used to qualify as an Investment Advisor representative. Please check with the appropriate designation authority for verification that the designation is still in effect. The contact information for these professional designation authorities can be found on the website for the North American Securities Administrators Association at <http://www.nasaa.org>



## 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	07/24/2003 - 06/21/2004	ALLEN DOUGLAS SECURITIES, INC.	CRD# 42410	WINTER PARK, FL
B	04/17/1997 - 09/04/2001	WALL STREET FINANCIAL GROUP, INC.	CRD# 35830	VICTOR, NY
B	08/24/1994 - 06/20/1995	SECURITIES SERVICE NETWORK, INC.	CRD# 13318	KNOXVILLE, TN
B	12/19/1988 - 08/02/1994	DELTA FIRST FINANCIAL, INC.	CRD# 16776	ALTAMONTE SPRINGS,
B	05/21/1987 - 01/11/1989	THOMAS JAMES ASSOCIATES, INC.	CRD# 15609	
B	05/21/1987 - 06/02/1987	BLINDER, ROBINSON & CO.,INC.	CRD# 5096	

### 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
06/2010 - Present	ROYAL PALM INVESTMENT ADVISORS, INC	INVESTMENT ADVISER REPRESENTATIVE	Y	LONGWOOD, FL, United States
09/1995 - Present	LONGVIEW, INC.	PRESIDENT	Y	LONGWOOD, FL, 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.

LONGVIEW, INC.- RIA BUSINESS  
740 FLORIDA CENTRAL PARKWAY  
SUITE 2000

LONGWOOD, FL 32750

THE BUSINESS IS A REGISTERED INVESTMENT ADVISOR, LICENSED BY THE STATE OF FLORIDA  
BUSINESS PROVIDES FINANCIAL MANAGEMENT SERVICES



## 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>	FLORIDA DIVISION OF SECURITIES AND INVESTOR PROTECT*See FAQ #1*
<b>Sanction(s) Sought:</b>	
<b>Other Sanction(s) Sought:</b>	
<b>Date Initiated:</b>	03/29/1990
<b>Docket/Case Number:</b>	1223-S-2/90
<b>Employing firm when activity occurred which led to the regulatory action:</b>	THOMAS JAMES ASSOCIATES, INC.
<b>Product Type:</b>	
<b>Other Product Type(s):</b>	
<b>Allegations:</b>	Not Provided
<b>Current Status:</b>	Final
<b>Resolution:</b>	Stipulation and Consent
<b>Resolution Date:</b>	04/11/1991
<b>Sanctions Ordered:</b>	
<b>Other Sanctions Ordered:</b>	
<b>Sanction Details:</b>	ON APRIL 11, 1991, FLORIDA ENTERED INTO A STIPULATION AND CONSENT/FINAL ORDER WITH RESPONDNET BLACK. RESPONDENT AGREES RESTRICTIONS ON HIS REGISTRATION UNTIL SIX MONTHS FROM THE DATE OF EXECUTION OF THE FINAL ORDER.



RESPONDENT AGREES TO REIMBURSE THE DEPARTMENT \$432 FOR EXPENSES INCURRED IN THIS MATTER. ANY FUTURE REGISTRATION WILL BE SUBJECT TO RESTRICTIONS OUTLINED IN A REGISTRATION AGREEMENT.

**Regulator Statement** Not Provided

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**Reporting Source:** Individual

**Regulatory Action Initiated By:** STATE OF FLORIDA DEPARTMENT OF BANKING AND FINACE

**Sanction(s) Sought:** Civil and Administrative Penalt(ies) /Fine(s)

**Other Sanction(s) Sought:**

**Date Initiated:** 03/29/1990

**Docket/Case Number:** 1223-S-2/90

**Employing firm when activity occurred which led to the regulatory action:** THOMAS JAMES ASSOCIATES, INC.

**Product Type:** Equity Listed (Common & Preferred Stock)

**Other Product Type(s):**

**Allegations:** ON MARCH 29, 1990 THE COMPTROLLER OF THE STATE OF FLORIDA GAVE NOTICE OF THE ABOVE REFERENCED ACTION. SAID ACTION CONCERNS THE MONTHS OF JUNE AND JULY, 1988 WHEN I WAS EMPLOYED BY THOMAS JAMES ASSOCIATES, INC. AS A REGISTERED REPRESENTATIVE. THE COMPLAINT ALLEGED THAT I SOLD SECURITIES PRIOR TO THE EFFECTIVE DATE OF THE OFFERING.

**Current Status:** Final

**Resolution:** Stipulation and Consent

**Resolution Date:** 04/11/1991

**Sanctions Ordered:**

**Other Sanctions Ordered:**

**Sanction Details:** I ENTERED INTO A STIPULATION AND CONSENT AGREEMENT WITH THE STATE OF FLORIDA ON 4/2/91 WHEREBY I AGREED TO PAY AN ADMINISTRATIVE FINE IN THE AMOUNT OF \$432.00 AND TO BE SUBJECT TO CERTAIN RESTRICTIONS UPON MY REGISTRATION UNTIL 10/2/91. THE RESTRICTIONS REQUIRE THAT I RECEIVE STRICT SUPERVISION; NOT EXERCISE DISCRETIONARY AUTHORITY IN ANY CUSTOMER ACCOUNT. NOT ACT IN ANY SUPERVISORY CAPACITY IN THE SECURITIES INDUSTRY; NOT OFFER AND SELL DISIGNATED SECURITIES FROM OR INTO THE STATE OF FLORIDA; IMMEDIATELY REPORT ANY COMPLAINT OR ACITON FILED AGAINST ME; AND COMPLY WITH ALL STATE AND FEDERAL SECURITIES LAW AND FIRM SUPERVISORY PROCEDURES.

**Broker Statement** AS A REGISTERED REPRESENTATIVE OF THOMAS JAMES ASSOCIATES, INC. I WAS INSTRUCTED BY MY BRANCH MANAGER TO OFFER FOR SALE TO THE PUBLIC THE SECURITIES IN QUESTION. AT THE TIME, I WAS NOT AWARE THAT I WAS MAKING OFFERS PRIOR TO THE EFFECTIVE DATE OF THE OFFERING. THE OFFERING DID BECOME EFFECTIVE TWO DAYS LATER.



## End of Report

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