IAPD Report

HEMANT PAL SINGH

CRD# 1823977

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

HEMANT PAL SINGH (CRD# 1823977)

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 **01/02/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
IA	A.G.P / ALLIANCE GLOBAL PARTNERS	CRD# 8361	11/30/2023
B	A.G.P. / ALLIANCE GLOBAL PARTNERS	CRD# 8361	11/30/2023

QUALIFICATIONS

This representative is currently registered in **2** SRO(s) and **9** 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	AEGIS CAPITAL CORP.	15007	Rochelle Park, NJ	01/24/2017 - 12/22/2023
IA	AEGIS CAPITAL CORP.	15007	Rochelle Park, NJ	01/24/2017 - 12/22/2023
IA	NATIONAL ASSET MANAGEMENT, INC.	115927	PARAMUS, NJ	07/03/2012 - 02/17/2017

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	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 **9** jurisdiction(s) and 2 SRO(s) through his or her employer(s).

Employment 1 of 1

Firm Name: **A.G.P / ALLIANCE GLOBAL PARTNERS**

Main Address: 88 POST ROAD WEST
2ND FLOOR
WESTPORT, CT 06880

Firm ID#: 8361

	Regulator	Registration	Status	Date
B	FINRA	General Securities Representative	Approved	11/30/2023
B	FINRA	General Securities Sales Supervisor	Approved	11/30/2023
B	Nasdaq Stock Market	General Securities Representative	Approved	11/30/2023
B	Nasdaq Stock Market	General Securities Sales Supervisor	Approved	11/30/2023
B	California	Agent	Approved	11/30/2023
IA	California	Investment Adviser Representative	Approved	12/01/2023
IA	Connecticut	Investment Adviser Representative	Approved	01/02/2026
B	Connecticut	Agent	Approved	01/06/2026
B	Florida	Agent	Approved	11/30/2023
IA	Florida	Investment Adviser Representative	Approved	12/04/2023
B	Missouri	Agent	Approved	11/30/2023
IA	Missouri	Investment Adviser Representative	Approved	11/30/2023
B	New Jersey	Agent	Approved	11/30/2023

Qualifications

	Regulator	Registration	Status	Date
IA	New Jersey	Investment Adviser Representative	Approved	12/01/2023
B	New York	Agent	Approved	11/30/2023
IA	New York	Investment Adviser Representative	Approved	12/03/2023
B	Rhode Island	Agent	Approved	05/01/2024
B	Virginia	Agent	Approved	11/30/2023
IA	Virginia	Investment Adviser Representative	Approved	11/30/2023
B	Wyoming	Agent	Approved	11/30/2023

Branch Office Locations

A.G.P / ALLIANCE GLOBAL PARTNERS
365 W Passaic Street
Ste #275
Rochelle Park, NJ 07662

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

Principal/Supervisory Exams

	Exam	Category	Date
B	General Securities Sales Supervisor - Options Module Examination (S9)	Series 9	01/02/2023
B	General Securities Sales Supervisor - General Module Examination (S10)	Series 10	01/02/2023
B	General Securities Sales Supervisor Examination (Options Module & General Module) (S8)	Series 8	01/29/1996

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	06/18/1988

State Securities Law Exams

	Exam	Category	Date
IA B	Uniform Combined State Law Examination (S66)	Series 66	06/18/2012
B	Uniform Securities Agent State Law Examination (S63)	Series 63	08/05/1988

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	01/24/2017 - 12/22/2023	AEGIS CAPITAL CORP.	CRD# 15007	Rochelle Park, NJ
IA	01/24/2017 - 12/22/2023	AEGIS CAPITAL CORP.	CRD# 15007	Rochelle Park, NJ
IA	07/03/2012 - 02/17/2017	NATIONAL ASSET MANAGEMENT, INC.	CRD# 115927	PARAMUS, NJ
B	04/12/2012 - 02/17/2017	NATIONAL SECURITIES CORPORATION	CRD# 7569	PARAMUS, NJ
B	10/03/2008 - 04/12/2012	LINCOLN FINANCIAL SECURITIES CORPORATION	CRD# 3870	NEW YORK, NY
B	12/18/2006 - 10/14/2008	FINANCIAL NETWORK INVESTMENT CORPORATION	CRD# 13572	NEW YORK, NY
B	06/01/2005 - 12/19/2006	GUNNALLEN FINANCIAL, INC	CRD# 17609	NEW YORK, NY
B	01/04/1999 - 06/02/2005	RAYMOND JAMES FINANCIAL SERVICES, INC.	CRD# 6694	ST. PETERSBURG, FL
B	07/31/1995 - 01/04/1999	ROBERT THOMAS SECURITIES, INC	CRD# 10147	ST. PETERSBURG, FL
B	03/22/1993 - 08/04/1995	LADENBURG, THALMANN & CO., INC.	CRD# 505	NEW YORK, NY
B	12/06/1989 - 03/19/1993	GRUNTAL & CO. INCORPORATED	CRD# 372	NEW YORK, NY
B	06/21/1988 - 12/20/1989	SHEARSON LEHMAN HUTTON INC.	CRD# 7506	NEW YORK, NY

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
11/2023 - Present	Alliance Global Partners	Registered Representative	Y	Rochelle Park, NJ, United States
01/2017 - 11/2023	AEGIS CAPITAL CORP	REGISTERED REPRESENTATIVE	Y	PARAMUS, NJ, United States

Registration & Employment History

EMPLOYMENT HISTORY

Employment Dates	Employer Name	Position	Investment Related	Employer Location
06/2012 - 01/2017	NATIONAL ASSET MANAGEMENT, INC	INVESTMENT ADVISER REPRESENTATIVE	Y	PARAMUS, NJ, United States
04/2012 - 01/2017	NATIONAL SECURITIES CORP	REGISTERED REPRESENTATIVE	Y	PARAMUS, 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.

1) SECURITIES AND ADVISORY BUSINESS CONDUCTED UNDER DBA OF KS CAPITAL MANAGMENT, INC.
2) ACC CORP. 1305 WALT WHITMAN RD. SUITE 120 MELVILLE, NY 11747; INVESTMENT RELATED; INSURANCE GENERAI AGENCY, PRODUCER/AGENT; START DATE: 07/24/2020; 5-10 HOURS PER MONTH DEVOTED TO BUSINESS; 5-10 HOURS DURING SECURITIES TRADING HOURS.
3) KS INSURANCE SERVICES, 365 W PASSAIC ST., SUITE 275 ROCHELLE PARK, NJ 07662; INVESTMENT RELATED; INSURANCE GENERAL AGENCY; OWNER, PRODUCER; START DATE 07/02/2021; 2 HOURS PER MONTH DEVOTED TO BUSINESS; 0 HOURS DURING SECURITIES TRADING HOURS.

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	2

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:	Firm
Employing firm when activities occurred which led to the complaint:	LINCOLN FINANCIAL SECURITIES CORPORATION, FINANCIAL NETWORK INVESTMENT CORPORATION
Allegations:	CLIENT ALLEGES THAT BEGINNING IN MARCH 2008 THROUGH APRIL 2010 THE REPRESENTATIVE RECOMMENDED UNSUITABLE INVESTMENTS AND MISREPRESENTED OR OMITTED MATERIAL FACTS REGARDING RISKS OF SUCH INVESTMENTS.
Product Type:	Equity Listed (Common & Preferred Stock) Other: EXCHANGE TRADED FUND
Alleged Damages:	$0.00
Alleged Damages Amount Explanation (if amount not exact):	DAMAGES ARE BELIEVED TO BE GREATER THAN $5,000.
Is this an oral complaint?	No
Is this a written complaint?	Yes
Is this an arbitration/CFTC reparation or civil litigation?	No

Customer Complaint Information

Date Complaint Received:	09/22/2011
Complaint Pending?	No
Status:	Evolved into Arbitration/CFTC reparation (the individual is a named party)

Status Date:	02/18/2012
Settlement Amount:	
Individual Contribution Amount:	

Arbitration Information

Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.):	FINRA DISPUTE RESOLUTION
Docket/Case #:	ARBITRATION NUMBER 12-00220
Date Notice/Process Served:	02/18/2012
Arbitration Pending?	No
Disposition:	Settled
Disposition Date:	06/04/2012
Monetary Compensation Amount:	$3,000.00
Individual Contribution Amount:	$0.00

Reporting Source:	Firm
Employing firm when activities occurred which led to the complaint:	LINCOLN FINANCIAL SECURITIES CORPORATION, FINANCIAL NETWORK INVESTMENT CORPORATION
Allegations:	CLIENT ALLEGES THAT BEGINNING IN MARCH 2008 THROUGH APRIL 2010 THE REPRESENTATIVE RECOMMENDED UNSUITABLE INVESTMENTS AND MISREPRESENTED OR OMITTED MATERIAL FACTS REGARDING RISKS OF SUCH INVESTMENTS.
Product Type:	Equity Listed (Common & Preferred Stock) Other: EXCHANGE TRADED FUND
Alleged Damages:	$0.00
Alleged Damages Amount Explanation (if amount not exact):	DAMAGES ARE BELIEVED TO BE GREATER THAN $5000.
Is this an oral complaint?	No
Is this a written complaint?	Yes
Is this an arbitration/CFTC reparation or civil litigation?	No

Customer Complaint Information

Date Complaint Received:	09/22/2011
Complaint Pending?	No
Status:	Evolved into Arbitration/CFTC reparation (the individual is a named party)
Status Date:	02/18/2012
Settlement Amount:	

Individual Contribution Amount:	

Arbitration Information

Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.):	FINRA
Docket/Case #:	12/00220
Date Notice/Process Served:	02/18/2012
Arbitration Pending?	No
Disposition:	Settled
Disposition Date:	06/04/2012
Monetary Compensation Amount:	$3,000.00
Individual Contribution Amount:	$0.00

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	LINCOLN FINANCIAL SECURITIES CORPORATION, FINANCIAL NETWORK INVESTMENT CORPORATION
Allegations:	CLIENT ALLEGES THAT BEGINNING IN MARCH 2008 THROUGH APRIL 2010 THE REPRESENTATIVE RECOMMENDED UNSUITABLE INVESTMENTS AND MISREPRESENTED OR OMITTED MATERIAL FACTS REGARDING RISKS OF SUCH INVESTMENTS.
Product Type:	Equity Listed (Common & Preferred Stock) Other: EXCHANGE TRADED FUND
Alleged Damages:	$0.00
Alleged Damages Amount Explanation (if amount not exact):	DAMAGES ARE BELIEVED TO BE GREATER THAN $5000.
Is this an oral complaint?	No
Is this a written complaint?	Yes
Is this an arbitration/CFTC reparation or civil litigation?	No

Customer Complaint Information

Date Complaint Received:	09/22/2011
Complaint Pending?	No
Status:	Evolved into Arbitration/CFTC reparation (the individual is a named party)
Status Date:	02/18/2012
Settlement Amount:	
Individual Contribution Amount:	

Arbitration Information

Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.):	FINRA
Docket/Case #:	12-00220
Date Notice/Process Served:	02/18/2012
Arbitration Pending?	No
Disposition:	Settled
Disposition Date:	06/04/2012
Monetary Compensation Amount:	$3,000.00
Individual Contribution Amount:	$0.00
Broker Statement	THE FIRM'S INVESTIGATION FOUND NO EVIDENCE TO SUPPORT THE CLIENT'S ALLEGATIONS AND CONFIRMED THE CLIENT RECEIVED THE APPROPRIATE INFORMATION TO MAKE AN INFORMED DECISION.

Disclosure 2 of 2

Reporting Source:	Firm
Employing firm when activities occurred which led to the complaint:	RAYMOND JAMES FINANCIAL SERVICES, INC
Allegations:	BREACH OF FIDUCIARY DUTY, VIOLATING INDUSTRY STANDARDS, VIOLATING EQUITABLE PRINCIPLES
Product Type:	No Product
Alleged Damages:	$500,000.00

Customer Complaint Information

Date Complaint Received:	01/25/2007
Complaint Pending?	No
Status:	Arbitration/Reparation
Status Date:	01/25/2007
Settlement Amount:	
Individual Contribution Amount:	

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.:	NASD ARBITRATION NUMBER 06-05386
Date Notice/Process Served:	01/25/2007
Arbitration Pending?	No
Disposition:	Settled
Disposition Date:	01/03/2008
Monetary Compensation Amount:	$165,000.00

Amount:

Individual Contribution Amount: $165,000.00

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: RAYMOND JAMES FINANCIAL

Allegations: CLIENT ALLEGED BREACH OF FIDUCIARY DUTY, VIOLATING INDUSTRY STANDARDS, VIOLATING EQUITABLE PRINCIPLES. THE ALLEGATIONS ARE MADE BY A NON-CLIENT AS QUINN IS THE BENEFICARY OF A TRUST THAT WAS THE CLIENT.

Product Type: Equity - OTC

Alleged Damages: $500,000.00

Customer Complaint Information

Date Complaint Received: 02/08/2007

Complaint Pending? No

Status: Arbitration/Reparation

Status Date: 02/08/2007

Settlement Amount: $0.00

Individual Contribution Amount: $0.00

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: NASD ARBITRATION # 06-05386

Date Notice/Process Served: 02/08/2007

Arbitration Pending? No

Disposition: Settled

Disposition Date: 01/23/2008

Monetary Compensation Amount: $165,000.00

Individual Contribution Amount: $0.00

Civil Litigation Information

Court Details: SUPERIOR COURT OF THE STATE OF CALIFORNIA, SAN DIEGO COUNTY; CASE# GIC 862477

Date Notice/Process Served: 09/18/2006

Litigation Pending? No

Disposition: Other

Disposition Date: 12/01/2006

Monetary Compensation Amount: $0.00

Individual Contribution Amount:	$0.00
Broker Statement	THE BENEFICIARY OF A TRUST, WHICH HELD AN ACCOUNT AT RJF, FILED SUIT AGAINST THE TRUSTEE FOR HIS ALLEGED BREACH OF FIDUCIARY DUTY. MR. SINGH WAS NAMED AS RESPONDENT WITHOUT SPECIFIC ALLEGATION OR WRONGDOING, BY VIRTUE OF HIS POSITION AS FEE-BASED MANAGER, WHERE HIS FEE WAS WAIVED, ONLY RJF CHARGED THEIRS.

End of Report

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