



IAPD Report

EDWARD PATRICK FLYNN SR

CRD# 1914535

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When communicating online or investing with any professional, make sure you know who you're dealing with. [Imposters](#) might link to sites like BrokerCheck from [phishing](#) or similar scam websites, or through [social media](#), trying to steal your personal information or your money.

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

EDWARD PATRICK FLYNN SR (CRD# 1914535)

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 **11/02/2022**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	TRIDENT PARTNERS LTD.	CRD# 41258	05/17/2000
IA	TRIDENT ADVISORS LLC	CRD# 145231	03/19/2009

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **44** 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
IA	TRIDENT ADVISORS LLC	145231	WOODBURY, NY	02/08/2008 - 12/31/2012
B	FIRST MONTAUK SECURITIES CORP.	13755	RED BANK, NJ	02/04/1998 - 05/23/2000
B	COMPREHENSIVE CAPITAL CORP.	6215	GREAT NECK, NY	12/23/1996 - 02/15/1998

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 **44** jurisdiction(s) and 1 SRO(s) through his or her employer(s).

Employment 1 of 2

Firm Name: **TRIDENT PARTNERS LTD.**
Main Address: 181 CROSSWAYS PARK DRIVE
WOODBURY, NY 11797
Firm ID#: 41258

	Regulator	Registration	Status	Date
B	FINRA	General Securities Principal	Approved	05/17/2000
B	FINRA	General Securities Representative	Approved	05/17/2000
B	FINRA	Investment Banking Representative	Approved	11/10/2009
B	FINRA	Operations Professional	Approved	12/09/2011
B	FINRA	Investment Banking Principal	Approved	10/01/2018
B	Alabama	Agent	Approved	01/11/2002
B	Arizona	Agent	Approved	06/27/2001
B	Arkansas	Agent	Approved	09/08/2009
B	California	Agent	Approved	05/17/2000
B	Colorado	Agent	Approved	12/10/2002
B	Connecticut	Agent	Approved	12/08/2006
B	Delaware	Agent	Approved	09/04/2009
B	District of Columbia	Agent	Approved	10/22/2008



Qualifications

	Regulator	Registration	Status	Date
B	Florida	Agent	Approved	05/08/2002
B	Georgia	Agent	Approved	06/06/2001
B	Hawaii	Agent	Approved	02/23/2022
B	Illinois	Agent	Approved	06/16/2000
B	Iowa	Agent	Approved	03/21/2005
B	Kansas	Agent	Approved	01/11/2002
B	Kentucky	Agent	Approved	09/08/2008
B	Louisiana	Agent	Approved	12/06/2002
B	Maine	Agent	Approved	11/29/2007
B	Maryland	Agent	Approved	05/17/2000
B	Massachusetts	Agent	Approved	01/17/2002
B	Michigan	Agent	Approved	07/03/2002
B	Minnesota	Agent	Approved	12/10/2002
B	Mississippi	Agent	Approved	05/17/2000
B	Missouri	Agent	Approved	11/18/2003
B	Montana	Agent	Approved	09/30/2009
B	Nebraska	Agent	Approved	09/16/2014
B	Nevada	Agent	Approved	12/05/2007
B	New Hampshire	Agent	Approved	02/20/2008



Qualifications

Regulator	Registration	Status	Date
B New Jersey	Agent	Approved	03/15/2005
B New Mexico	Agent	Approved	12/10/2002
B New York	Agent	Approved	05/17/2000
B North Carolina	Agent	Approved	06/30/2006
B Ohio	Agent	Approved	03/04/2002
B Oregon	Agent	Approved	03/05/2008
B Pennsylvania	Agent	Approved	03/30/2005
B Rhode Island	Agent	Approved	08/19/2009
B South Carolina	Agent	Approved	01/16/2002
B South Dakota	Agent	Approved	01/07/2009
B Tennessee	Agent	Approved	08/26/2008
B Texas	Agent	Approved	03/04/2002
B Utah	Agent	Approved	09/01/2009
B Vermont	Agent	Approved	01/30/2009
B Virginia	Agent	Approved	05/17/2000
B Washington	Agent	Approved	11/04/2003
B Wisconsin	Agent	Approved	05/06/2002

Branch Office Locations

TRIDENT PARTNERS LTD.



Qualifications

4851 Tamiami Trail N
suite 200
Naples, FL 34103

TRIDENT PARTNERS LTD.
999 Vanderbilt Beach Road
Suite 203
Naples, FL 34108

Employment 2 of 2

Firm Name: **TRIDENT ADVISORS LLC**
Main Address: 181 CROSSWAYS PARK DRIVE
WOODBURY, NY 11797
Firm ID#: 145231

Regulator	Registration	Status	Date
IA California	Investment Adviser Representative	Approved	01/14/2013
IA Connecticut	Investment Adviser Representative	Approved	01/14/2013
IA Florida	Investment Adviser Representative	Approved	03/19/2009
IA New Jersey	Investment Adviser Representative	Approved	01/15/2013

Branch Office Locations

TRIDENT ADVISORS LLC
181 CROSSWAYS PARK DRIVE
WOODBURY, NY 11797



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, 4 general industry/product exams, and 2 state securities law exams.

Principal/Supervisory Exams

	Exam	Category	Date
	General Securities Principal Examination (S24)	Series 24	09/05/1996

General Industry/Product Exams

	Exam	Category	Date
	Operations Professional Examination (S99TO)	Series 99TO	01/02/2023
	Investment Banking Registered Representative Examination (S79TO)	Series 79TO	01/02/2023
	Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
	General Securities Representative Examination (S7)	Series 7	04/15/1989

State Securities Law Exams

	Exam	Category	Date
	Uniform Investment Adviser Law Examination (S65)	Series 65	10/30/2007
	Uniform Securities Agent State Law Examination (S63)	Series 63	05/05/1989

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	02/08/2008 - 12/31/2012	TRIDENT ADVISORS LLC	CRD# 145231	WOODBURY, NY
B	02/04/1998 - 05/23/2000	FIRST MONTAUK SECURITIES CORP.	CRD# 13755	RED BANK, NJ
B	12/23/1996 - 02/15/1998	COMPREHENSIVE CAPITAL CORP.	CRD# 6215	GREAT NECK, NY
B	02/08/1996 - 01/01/1997	R.T.G. RICHARDS AND COMPANY, INC.	CRD# 30991	GARDEN CITY, NY
B	02/06/1995 - 02/12/1996	GRUNTAL & CO. INCORPORATED	CRD# 372	NEW YORK, NY
B	11/11/1993 - 02/16/1995	OPPENHEIMER & CO., INC.	CRD# 630	NEW YORK, NY
B	06/11/1991 - 11/30/1993	PRUDENTIAL SECURITIES INCORPORATED	CRD# 7471	NEW YORK, NY
B	08/02/1990 - 07/01/1991	LEHMAN BROTHERS INC.	CRD# 7506	NEW YORK, NY
B	06/20/1989 - 05/17/1990	PAINWEBBER INCORPORATED	CRD# 8174	WEEHAWKEN, NJ
B	01/09/1989 - 06/27/1989	BEAR, STEARNS & CO. INC.	CRD# 79	

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
05/2000 - Present	TRIDENT PARTNERS LTD.	MANAGING DIRECTOR	Y	JERICHO, NY, 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.

PRESIDENT AND TREASURER OF MEKA ASSOCIATES LLC A REALESTATE HOLDING CORP. PRESIDENT OF TRIDENT ADVISORS LLC.



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:	Individual
Employing firm when activities occurred which led to the complaint:	TRIDENT PARTNERS LTD.
Allegations:	unsuitable investments
Product Type:	Equity Listed (Common & Preferred Stock)
Alleged Damages:	\$40,489.00
Is this an oral complaint?	
Is this a written complaint?	
Is this an arbitration/CFTC reparation or civil litigation?	Yes
Arbitration/Reparation forum or court name and location:	FINRA
Docket/Case #:	17*02710
Filing date of arbitration/CFTC reparation or civil litigation:	10/10/2017

Customer Complaint Information

Date Complaint Received:	10/10/2017
Complaint Pending?	No
Status:	Settled



Status Date: 04/04/2019

Settlement Amount: \$16,000.00

Individual Contribution Amount: \$0.00

Arbitration Information

Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.): FINRA

Docket/Case #: 17-02710

Date Notice/Process Served: 10/10/2017

Arbitration Pending? No

Disposition: Dismissed

Disposition Date: 02/16/2018

Disclosure 2 of 2

Reporting Source: Firm

Employing firm when activities occurred which led to the complaint:

Allegations: MR. [CUSTOMER]AND MS. [OTHER CUSTOMER NAME]BROUGHT A STATEMENT OF CLAIM ALLEGING THAT MR. FLYNN MADE CERTAIN UNSUITABLE STOCK RECOMMENDATIONS TO THEM, INCLUDING RECOMMENDATIONS TO PURCHASE INDIA FUND, LONE STAR CASINO, AND CONSORCIO C GROUP DINA. IN ADDITION, THE CLAIMANTS ALLEGE THAT MR. FLYNN ENGAGED IN EXCESSIVE TRADING IN THE ACCOUNT. DAMAGES ARE ALLEGED TO \$393,679 FOR MR. [CUSTOMER]AND \$37,625 FOR [OTHER CUSTOMER NAME].

Product Type:

Alleged Damages: \$431,304.00

Customer Complaint Information

Date Complaint Received:

Complaint Pending? No

Status: Arbitration/Reparation

Status Date: 09/29/1998

Settlement Amount:

Individual Contribution Amount:

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: NYSE; 1997-006382

Date Notice/Process Served: 03/21/1997



Arbitration Pending? No
Disposition: Settled
Disposition Date: 09/29/1998
Monetary Compensation Amount: \$225,000.00
Individual Contribution Amount: \$25,000.00
Firm Statement THE [CUSTOMER] ARBITRATION WAS SETTLED FOR A TOTAL SETTLEMENT OF \$225,000 OF WHICH MR. FLYNN CONTRIBUTED \$25,000.
NOT PROVIDED

Reporting Source: Individual
Employing firm when activities occurred which led to the complaint:
Allegations: UNSUITABLE SECURITIES RECOMMENDATION, CHURNING, OVERCONCENTRATION OF MONIES IN SPECULATIVE SECURITIES, ALLEDGED DAMAGES OF APROXIMATELY \$1,000.000.
Product Type:
Alleged Damages: \$431,304.00

Customer Complaint Information

Date Complaint Received:
Complaint Pending? No
Status: Arbitration/Reparation
Status Date: 09/29/1998
Settlement Amount:
Individual Contribution Amount:

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: NYSE; 1997-006382
Date Notice/Process Served: 03/21/1997
Arbitration Pending? No
Disposition: Settled
Disposition Date: 09/29/1998
Monetary Compensation Amount: \$225,000.00
Individual Contribution Amount: \$25,000.00
Broker Statement THE ARBITRATION WAS DISMISSED AND ALL MATTERS AT ISSUE WERE SETTLED. EDWARD P. FLYNN SR. WAS RELEASED AND FULLY DISCHARGED OF ANY AND ALL CLAIMS, SUITS OR CAUSES OF ACTION ARISING FROM THIS ARBITRATION SETTLEMENT AMOUNT PAID BY



EDWARD
P. FLYNN SR. WAS \$25,000. THE TOTAL SUM PAID WAS \$\$220,000.
NOT PROVIDED



End of Report

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