IAPD Report

MITCHELL OWEN GOLDBERG

CRD# 2052772

Section Title	Page(s)

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

MITCHELL OWEN GOLDBERG (CRD# 2052772)

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 **01/26/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	LPL FINANCIAL LLC	CRD# 6413	07/10/2025
IA	LPL FINANCIAL LLC	CRD# 6413	07/10/2025

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **12** 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	NEXT FINANCIAL GROUP, INC.	46214	MELVILLE, NY	06/07/2013 - 07/10/2025
B	NEXT FINANCIAL GROUP, INC.	46214	MELVILLE, NY	12/05/2005 - 07/10/2025
IA	FAHNESTOCK ASSET MANAGEMENT	249	HAUPPAUGE, NY	02/20/2004 - 12/07/2005

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

Employment 1 of 1

Firm Name: **LPL FINANCIAL LLC**

Main Address: 1055 LPL WAY
FORT MILL, SC 29715

Firm ID#: 6413

	Regulator	Registration	Status	Date
B	FINRA	General Securities Representative	Approved	07/10/2025
B	FINRA	General Securities Sales Supervisor	Approved	07/10/2025
B	California	Agent	Approved	07/10/2025
B	Connecticut	Agent	Approved	07/10/2025
B	Florida	Agent	Approved	07/11/2025
IA	Florida	Investment Adviser Representative	Approved	07/11/2025
B	Georgia	Agent	Approved	07/31/2025
B	Illinois	Agent	Approved	07/10/2025
IA	Louisiana	Investment Adviser Representative	Approved	07/10/2025
B	Maine	Agent	Approved	01/27/2026
B	Maryland	Agent	Approved	07/10/2025
B	New Jersey	Agent	Approved	07/10/2025
B	New York	Agent	Approved	07/10/2025

Qualifications

	Regulator	Registration	Status	Date
IA	New York	Investment Adviser Representative	Approved	07/10/2025
B	Pennsylvania	Agent	Approved	07/10/2025
IA	Pennsylvania	Investment Adviser Representative	Approved	07/10/2025
B	Virginia	Agent	Approved	07/10/2025

Branch Office Locations

LPL FINANCIAL LLC
425 BROADHOLLOW RD STE 422
MELVILLE, NY 11747

LPL FINANCIAL LLC
425 BROADHOLLOW RD STE 422
MELVILLE, NY 11747

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	General Securities Sales Supervisor - General Module Examination (S10)	Series 10	06/06/2012
B	General Securities Sales Supervisor - Options Module Examination (S9)	Series 9	06/06/2012

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	04/21/1990

State Securities Law Exams

	Exam	Category	Date
IA	Uniform Investment Adviser Law Examination (S65)	Series 65	08/27/2013
B	Uniform Securities Agent State Law Examination (S63)	Series 63	05/01/1990

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
IA	06/07/2013 - 07/10/2025	NEXT FINANCIAL GROUP, INC.	CRD# 46214	MELVILLE, NY
B	12/05/2005 - 07/10/2025	NEXT FINANCIAL GROUP, INC.	CRD# 46214	MELVILLE, NY
IA	02/20/2004 - 12/07/2005	FAHNESTOCK ASSET MANAGEMENT	CRD# 249	HAUPPAUGE, NY
B	01/02/2002 - 12/07/2005	OPPENHEIMER & CO. INC.	CRD# 249	NEW YORK, NY
B	07/27/2000 - 01/02/2002	JOSEPHTHAL & CO., INC.	CRD# 3227	NEW YORK, NY
B	01/16/1998 - 07/28/2000	GRUNTAL & CO., L.L.C.	CRD# 372	NEW YORK, NY
B	06/14/1997 - 01/23/1998	HAMPSHIRE SECURITIES CORPORATION	CRD# 19725	NEW YORK, NY
B	04/25/1996 - 06/25/1997	WHALE SECURITIES CO., L.P.	CRD# 13516	NEW YORK, NY
B	08/05/1993 - 04/18/1996	GRUNTAL & CO. INCORPORATED	CRD# 372	NEW YORK, NY
B	08/10/1992 - 07/19/1993	BISHOP, ROSEN & CO., INC.	CRD# 1248	NEW YORK, NY
B	07/18/1991 - 08/13/1992	INVESTORS ASSOCIATES, INC.	CRD# 958	HACKENSACK, NJ
B	04/24/1990 - 07/29/1991	STRATTON OAKMONT INC.	CRD# 18692	LAKE SUCCESS, 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
07/2025 - Present	LPL FINANCIAL LLC	Registered Representative	Y	MELVILLE, NY, United States
12/2005 - 07/2025	NEXT FINANCIAL GROUP	REGISTERED REP	Y	MELVILLE, NY, United States

Registration & Employment History

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- 07/2025 - ClientFirst Wealth Management - DBA for LPL Business (entity for LPL business) - Investment Related - At Reported Business Location(s) - Start Date 01/01/2017 - 0 hours per month/ during trading

2- 07/2025 - Long Island Elite - Non-profit volunteer (not on board) - Membership committee co-chair - Not investment Related - Huntington, NY - Start Date 04/25/2025 - 4 hours per month/ 2 hours during trading

3- 07/2025 - Long Island Elite Networking Group - Non-Profit Board Member - Not investment Related - Huntington, NY - Start Date 04/25/2025 - 4 hours per month/ 2 hours during trading

4- 07/2025 - ACLD- Non-profit volunteer (not on board) - Enviable Life Ball event committee - honoree this year - Not investment Related - Bethpage, NY - Start Date 05/15/2025 - 6 hours per month/ 2 hours during trading

5- 07/2025 - ACLD- Non-profit volunteer (not on board) - Investment Committee member - Not investment Related - Bethpage, NY - Start Date 09/01/2023 - 2 hours per month/ 0 hours during trading

6- 07/2025 - ACLD- Non-Profit Board Member - Board member - Foundation Board - Not investment Related - Bethpage, NY - Start Date 07/01/2023 - 4 hours per month/ 0 hours during trading

7- 07/2025 - Sierra Ridge Wealth Management - DBA for LPL Business (entity for LPL business) - Investment Related - At Reported Business Location(s) - Start Date 11/11/2022 - 140 hours per month/ 120 hours during trading

8- 07/2025 - Sierra Ridge Advisory Group - DBA for LPL Business (entity for LPL business) - Investment Related - At Reported Business Location(s) - Start Date 11/11/2022 - 120 hours per month/ 120 hours during trading

9- 07/2025 - FPA chapter of Long Island - Non-Profit Board Member - Not Investment Related - Hauppauge, NY - Start Date 07/14/2020 - 2 hours per month/ 1 hour during trading

10- 07/2025 - ClientFirst Strategy, Inc. - DBA for LPL Business (entity for LPL business) - Investment Related - At Reported Business Location(s) - Start Date 12/05/2005 - 140 hours per month/ 130 hours during trading

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:	INVESTORS ASSOCIATES, INC.
Allegations:	[CUSTOMER] CLAIMS LOSS OF 132,333.75 IN UNITED FASHIONS & IS SUING ALLEDGING VIOLATIONS OF FED LAW SECTION 10(B) OF EXCHANGE ACT, 15 U.S.C. SECTION 78 (J), RULE 10B-5; 15 U.S.C. SECTION 771; 18 USE SECTION 1962 A,B & C, COMMON LAW FRAUD; TEXAS STATE LAW BREACH OF CONTRACT FIDUCIARY DUTY; NEGLIGENCE & CONSPIRACY
Product Type:	
Alleged Damages:	$132,333.75

Customer Complaint Information

Date Complaint Received:	
Complaint Pending?	No
Status:	Litigation
Status Date:	
Settlement Amount:	
Individual Contribution Amount:	

Civil Litigation Information

Court Details:	US DIST; TX; 3:93 CV20

Date Notice/Process Served:	03/18/1993
Litigation Pending?	No
Disposition:	Settled
Disposition Date:	03/23/1995
Monetary Compensation Amount:	$69,500.00
Individual Contribution Amount:	$12,000.00
Firm Statement	Not Provided Not Provided

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	INVESTORS ASSOCIATES, INC.
Allegations:	ALLEGED VIOLATION OF SECTION 10(B) OF THE EXCHANGE ACT, 15 U.S.C. SECTION 78 (J); RULE 10(B-5) 15 U.S.C. SECTION 771; 18 U.S.C SECTION 1962 (A), (B) AND (C) COMMON LAW FRAUD; TEXAS STATE LAW; BREACH OF FIDUCIARY DUTY, BREACH OF CONTRACT; NEGLIGENCE; AND CONSPIRACY. ALLEGED COMPENSATORY DAMAGES OF $133,333.75 SECTION 771; 18 U.S.C SECTION 1962 (A), (B) AND (C) COMMON LAW FRAUD; TEXAS STATE LAW; BREACH OF FIDUCIARY DUTY, BREACH OF CONTRACT; NEGLIGENCE; AND CONSPIRACY. ALLEGED COMPENSATORY DAMAGES OF $132,333,75.
Product Type:	Equity - OTC
Alleged Damages:	$132,333.75

Customer Complaint Information

Date Complaint Received:	08/10/1992
Complaint Pending?	No
Status:	Litigation
Status Date:	08/10/1992
Settlement Amount:	
Individual Contribution Amount:	

Civil Litigation Information

Court Details:	US DIST; TX; 3:93 CV20
Date Notice/Process Served:	03/18/1993
Litigation Pending?	No
Disposition:	Settled
Disposition Date:	03/23/1995
Monetary Compensation Amount:	$69,500.00

Individual Contribution Amount:	$12,000.00
Broker Statement	AN "AGREED JUDGEMENT" WAS REACHED BY BOTH PARTIES AND MATTER WAS SETTLED FOR TOTAL SUM OF $69,500.00 TO BE PAID TO THE PLAINTIFF. REPRESENTATIVE WILL CONTRIBUTE $12,000.00, WITH THE REMAINDER TO BE PAID BY INVESTORS ASSOCIATES, INC. THERE WAS NO FINDING OF ANY WRONGDOING ON THE PART OF REPRESENTATIVE. REPRESENTATIVE AGREED TO SETTLE THIS MATTER THROUGH COSTLY AND TIME CONSUMING LITIGATION.

Disclosure 2 of 2

Reporting Source:	Firm
Employing firm when activities occurred which led to the complaint:	
Allegations:	CUSTOMER ALLEGED VIOLATION OF SECURITIES TRADING & SELLING PRACTICES
Product Type:	
Alleged Damages:	$20,000.00

Customer Complaint Information

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

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.:	National Association of Securities Dealers, Inc.; 91-CJ6J9
Date Notice/Process Served:	10/22/1991
Arbitration Pending?	No
Disposition:	Settled
Disposition Date:	05/26/1992
Monetary Compensation Amount:	$14,000.00
Individual Contribution Amount:	$4,000.00
Firm Statement	RESPONDENT STRATTON PAID $10,000 TO CLAIMANT & GOLDBERG PAID $4,000 TOTAL SETTLEMENT OF $14,000. Not Provided

Reporting Source:	Individual

Employing firm when activities occurred which led to the complaint:	STRATTON OAKMONT INC
Allegations:	LACK OF SUITABILITY OF SECURITIES MISREPRESENTATION, FAILURE TO ACCEPT ORDERS.
Product Type:	Equity - OTC
Alleged Damages:	$20,000.00

Customer Complaint Information

Date Complaint Received:	10/22/1991
Complaint Pending?	No
Status:	Arbitration/Reparation
Status Date:	10/22/1991
Settlement Amount:	
Individual Contribution Amount:	

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.:	NATIONAL ASSOCIATION OF SECURITIES DEALERS, INC.; 91-CJ6J9
Date Notice/Process Served:	10/22/1991
Arbitration Pending?	No
Disposition:	Settled
Disposition Date:	05/26/1992
Monetary Compensation Amount:	$14,000.00
Individual Contribution Amount:	$4,000.00
Broker Statement	$4,000 PAID BY GOLDBERG, $10,000 PAID BY STRATTON, OAKMONT. NOT PROVIDED

End of Report

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