User Guidance

www.adviserinfo.sec.gov

IAPD Report

MATT WARD

CRD# 2075525

Section Title	Page(s)

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

MATT WARD (CRD# 2075525)

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 **06/26/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	A.G.P. / ALLIANCE GLOBAL PARTNERS	CRD# 8361	04/04/2012
IA	A.G.P / ALLIANCE GLOBAL PARTNERS	CRD# 8361	04/05/2012

QUALIFICATIONS

This representative is currently registered in **2** SRO(s) and **49** 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	NATIONAL SECURITIES CORPORATION	7569	SANTA MONICA, CA	07/07/1997 - 04/05/2012
B	MAXWELL CAPITAL, INC.	40146	SEATTLE, WA	10/02/1996 - 07/01/1997
B	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	7691	NEW YORK, NY	07/07/1995 - 09/24/1996

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	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 **49** 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	04/04/2012
B	Nasdaq Stock Market	General Securities Representative	Approved	02/15/2013
B	Alabama	Agent	Approved	04/04/2012
B	Alaska	Agent	Approved	04/12/2012
B	Arizona	Agent	Approved	04/04/2012
B	Arkansas	Agent	Approved	04/11/2012
B	California	Agent	Approved	04/05/2012
IA	California	Investment Adviser Representative	Approved	04/05/2012
B	Colorado	Agent	Approved	04/04/2012
B	Connecticut	Agent	Approved	04/04/2012
B	Delaware	Agent	Approved	04/04/2012
B	District of Columbia	Agent	Approved	04/04/2012
B	Florida	Agent	Approved	04/05/2012

Qualifications

	Regulator	Registration	Status	Date
B	Georgia	Agent	Approved	04/11/2012
B	Hawaii	Agent	Approved	04/11/2012
B	Idaho	Agent	Approved	04/11/2012
B	Illinois	Agent	Approved	04/04/2012
B	Indiana	Agent	Approved	04/11/2012
B	Iowa	Agent	Approved	04/09/2012
B	Kansas	Agent	Approved	04/11/2012
B	Kentucky	Agent	Approved	04/04/2012
B	Louisiana	Agent	Approved	04/04/2012
B	Maine	Agent	Approved	04/12/2012
B	Maryland	Agent	Approved	03/29/2024
B	Massachusetts	Agent	Approved	04/12/2012
B	Michigan	Agent	Approved	04/11/2012
B	Minnesota	Agent	Approved	04/04/2012
B	Mississippi	Agent	Approved	04/04/2012
B	Montana	Agent	Approved	04/05/2012
B	Nebraska	Agent	Approved	04/23/2012
B	Nevada	Agent	Approved	04/04/2012
B	New Hampshire	Agent	Approved	04/11/2012

Qualifications

	Regulator	Registration	Status	Date
B	New Jersey	Agent	Approved	04/04/2012
B	New Mexico	Agent	Approved	04/11/2012
B	New York	Agent	Approved	04/04/2012
B	North Carolina	Agent	Approved	04/04/2012
B	North Dakota	Agent	Approved	04/11/2012
B	Ohio	Agent	Approved	04/04/2012
B	Oklahoma	Agent	Approved	04/17/2012
B	Oregon	Agent	Approved	04/04/2012
B	Pennsylvania	Agent	Approved	04/04/2012
B	Rhode Island	Agent	Approved	04/11/2012
B	South Carolina	Agent	Approved	04/05/2012
B	South Dakota	Agent	Approved	06/05/2012
B	Texas	Agent	Approved	04/04/2012
IA	Texas	Investment Adviser Representative	Restricted Approval	04/09/2012
B	Utah	Agent	Approved	04/04/2012
B	Vermont	Agent	Approved	04/13/2012
B	Virginia	Agent	Approved	04/04/2012
B	Washington	Agent	Approved	04/05/2012

Qualifications

	Regulator	Registration	Status	Date
B	West Virginia	Agent	Approved	04/11/2012
B	Wisconsin	Agent	Approved	04/04/2012
B	Wyoming	Agent	Approved	04/16/2012

Branch Office Locations

A.G.P / ALLIANCE GLOBAL PARTNERS
1334 THIRD STREET
PROMENADE 301
SANTA MONICA, CA 90401

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

Principal/Supervisory Exams

	Exam	Category	Date
B	General Securities Principal Examination (S24)	Series 24	11/01/1996

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	10/15/1990

State Securities Law Exams

	Exam	Category	Date
B	Uniform Securities Agent State Law Examination (S63)	Series 63	10/29/1990

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	07/07/1997 - 04/05/2012	NATIONAL SECURITIES CORPORATION	CRD# 7569	SANTA MONICA, CA
B	10/02/1996 - 07/01/1997	MAXWELL CAPITAL, INC.	CRD# 40146	SEATTLE, WA
B	07/07/1995 - 09/24/1996	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	CRD# 7691	NEW YORK, NY
B	12/20/1993 - 07/07/1995	SUTRO & CO. INCORPORATED	CRD# 801	SAN FRANCISCO, CA
B	07/31/1993 - 12/22/1993	SMITH BARNEY SHEARSON INC.	CRD# 7059	NEW YORK, NY
B	10/16/1990 - 07/31/1993	LEHMAN BROTHERS 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
04/2012 - Present	EURO PACIFIC CAPITAL, INC.	REGISTERED REPRESENTATIVE	Y	LOS ANGELES, CA, 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.

No information reported.

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	2

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:	FINRA
Sanction(s) Sought:	Other: N/A
Date Initiated:	02/07/2024
Docket/Case Number:	2023080530501
Employing firm when activity occurred which led to the regulatory action:	Alliance Global Partners
Product Type:	Other: Unspecified securities
Allegations:	Without admitting or denying the findings, Ward consented to the sanctions and to the entry of findings that he exercised discretion in customer accounts without prior written authorization to do so from any of the customers and without his member firm having accepted any of the accounts as discretionary. The findings stated that Ward effected trades in the customer accounts without first speaking to the customers prior to execution on the date of the transactions. Ward's customers knew that he was exercising discretion in their accounts.
Current Status:	Final
Resolution:	Acceptance, Waiver & Consent(AWC)

Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct?	No
Resolution Date:	02/07/2024
Sanctions Ordered:	Civil and Administrative Penalty(ies)/Fine(s) Suspension
If the regulator is the SEC, CFTC, or an SRO, did the action result in a finding of a willful violation or failure to supervise?	No
(1) willfully violated any provision of the Securities Act of 1933, the Securities Exchange Act of 1934, the Investment Advisers Act of 1940, the Investment Company Act of 1940, the Commodity Exchange Act, or any rule or regulation under any of such Acts, or any of the rules of the Municipal Securities Rulemaking Board, or to have been unable to comply with any provision of such Act, rule or regulation?	
(2) willfully aided, abetted, counseled, commanded, induced, or procured the violation by any person of any provision of the Securities Act of 1933, the Securities Exchange Act of 1934, the Investment Advisers Act of 1940, the Investment Company Act of 1940, the Commodity Exchange Act, or any rule or regulation under any of such Acts, or any of the rules of the Municipal Securities Rulemaking Board? or	

(3) failed reasonably to supervise another person subject to your supervision, with a view to preventing the violation by such person of any provision of the Securities Act of 1933, the Securities Exchange Act of 1934, the Investment Advisers Act of 1940, the Investment Company Act of 1940, the Commodity Exchange Act, or any rule or regulation under any such Acts, or any of the rules of the Municipal Securities Rulemaking Board?

Sanction 1 of 1

Sanction Type:	Suspension
Capacities Affected:	All capacities
Duration:	15 business days
Start Date:	03/04/2024
End Date:	03/22/2024

Monetary Sanction 1 of 1

Monetary Related Sanction:	Civil and Administrative Penalty(ies)/Fine(s)
Total Amount:	$5,000.00
Portion Levied against individual:	$5,000.00
Payment Plan:	
Is Payment Plan Current:	
Date Paid by individual:	03/10/2024
Was any portion of penalty waived?	No
Amount Waived:	

Reporting Source:	Individual
Regulatory Action Initiated By:	FINRA
Sanction(s) Sought:	Civil and Administrative Penalty(ies)/Fine(s) Suspension
Date Initiated:	02/07/2024
Docket/Case Number:	2023080530501

Employing firm when activity occurred which led to the regulatory action:	Alliance Global Partners
Product Type:	Other: Unspecified Securities
Allegations:	Without admitting or denying the findings, Ward consented to the sanctions and to the entry of findings that he exercised discretion in customer accounts without prior written authorization to do so from any of the customers and without his member firm having accepted any of the accounts as discretionary. The findings stated that Ward effected trades in the customer accounts without first speaking to the customers prior to execution on the date of the transactions. Ward's customers knew that he was exercising discretion in their accounts.
Current Status:	Final
Resolution:	Acceptance, Waiver & Consent(AWC)
Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct?	No
Resolution Date:	02/07/2024
Sanctions Ordered:	Civil and Administrative Penalty(ies)/Fine(s) Suspension
Sanction 1 of 1	
Sanction Type:	Suspension
Capacities Affected:	All Capacities
Duration:	15 Business Days
Start Date:	03/04/2024
End Date:	03/22/2024
Monetary Sanction 1 of 1	
Monetary Related Sanction:	Civil and Administrative Penalty(ies)/Fine(s)
Total Amount:	$5,000.00
Portion Levied against individual:	$5,000.00
Payment Plan:	
Is Payment Plan Current:	
Date Paid by individual:	
Was any portion of penalty waived?	No
Amount Waived:	

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:	A.G.P. / ALLIANCE GLOBAL PARTNERS
Allegations:	Breach of fiduciary duty
Product Type:	Equity-OTC
Alleged Damages:	$499,999.00
Is this an oral complaint?	No
Is this a written complaint?	No
Is this an arbitration/CFTC reparation or civil litigation?	Yes
Arbitration/Reparation forum or court name and location:	FINRA Dispute Resolution
Docket/Case #:	26-01112
Filing date of arbitration/CFTC reparation or civil litigation:	05/15/2026

Customer Complaint Information

Date Complaint Received:	05/22/2026
Complaint Pending?	Yes
Status:	
Status Date:	06/18/2026
Settlement Amount:	
Individual Contribution Amount:	

Disclosure 2 of 2

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	Euro Pacific Capital, Inc.
Allegations:	Customer alleges unsuitable trading, unauthorized trading and churning, which allegedly occurred between January 2010 and June 2014.
Product Type:	Equity-OTC Equity Listed (Common & Preferred Stock)

Alleged Damages:	$89,774.50

Arbitration Information

Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.):	FINRA
Docket/Case #:	16-01513
Date Notice/Process Served:	06/09/2016
Arbitration Pending?	No
Disposition:	Settled
Disposition Date:	11/08/2018
Monetary Compensation Amount:	$25,000.00
Individual Contribution Amount:	$0.00
Broker Statement	Mr. Ward contends that the allegations are entirely false. Mr. Ward, who was broker from 4/2012 to 4/2016, maintains that all trades were suitable and conformed to customer's stated investment objectives and risk tolerance, and that there were no sales practice violations. Customer was a sophisticated CPA and former investment banking executive, who consented to and assumed the fully-disclosed risks associated with foreign investments. A vast majority of the time from account opening, customer directed the buys in her portfolio based on her extensive knowledge of finance and the markets, and was very active in making the decisions relating to her accounts. Much of the alleged losses were generated from non-solicited requests to sell, against the advice and recommendations of broker and the Firm, and militated by currency rate changes. In vigorously defending against this frivolous claim, Mr. Ward may be seeking all appropriate relief, including pursuing expungement, as well as counter-claims.

End of Report

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