



IAPD Report

GLENN DOUGLAS GLAZER

CRD# 2183122

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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

GLENN DOUGLAS GLAZER (CRD# 2183122)

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 **11/13/2025**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	AEGIS CAPITAL CORP.	CRD# 15007	05/02/2014
IA	AEGIS CAPITAL CORP.	CRD# 15007	07/28/2014

QUALIFICATIONS

This representative is currently registered in **3** SRO(s) and **36** 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	OPPENHEIMER & CO. INC.	249	NEW YORK, NY	08/28/2008 - 05/19/2014
B	OPPENHEIMER & CO. INC.	249	NEW YORK, NY	08/19/2008 - 05/19/2014
IA	LADENBURG THALMANN ASSET MANAGEMENT INC	108604	NEW YORK, NY	03/05/2007 - 08/20/2008

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	3



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 **36** jurisdiction(s) and 3 SRO(s) through his or her employer(s).

Employment 1 of 1

Firm Name: **AEGIS CAPITAL CORP.**
Main Address: 1345 AVENUE OF THE AMERICAS
27TH FLOOR
NEW YORK, NY 10105
Firm ID#: 15007

Regulator	Registration	Status	Date
B FINRA	General Securities Representative	Approved	05/02/2014
B FINRA	General Securities Principal	Approved	01/23/2015
B FINRA	Registered Options Principal	Approved	01/23/2015
B NYSE Arca, Inc.	General Securities Principal	Approved	01/23/2015
B NYSE Arca, Inc.	General Securities Representative	Approved	01/23/2015
B NYSE Arca, Inc.	Registered Options Principal	Approved	01/23/2015
B Nasdaq Stock Market	General Securities Principal	Approved	01/23/2015
B Nasdaq Stock Market	General Securities Representative	Approved	01/23/2015
B Nasdaq Stock Market	Registered Options Principal	Approved	01/23/2015
B Alaska	Agent	Approved	08/23/2021
B Arizona	Agent	Approved	01/16/2018
B California	Agent	Approved	05/19/2014
B Colorado	Agent	Approved	05/02/2014



Qualifications

Regulator	Registration	Status	Date
B Connecticut	Agent	Approved	05/05/2014
B Delaware	Agent	Approved	10/06/2021
B District of Columbia	Agent	Approved	07/22/2021
B Florida	Agent	Approved	05/19/2014
B Georgia	Agent	Approved	05/02/2014
B Hawaii	Agent	Approved	05/19/2014
B Illinois	Agent	Approved	04/04/2018
B Indiana	Agent	Approved	04/01/2016
B Kansas	Agent	Approved	09/01/2021
B Kentucky	Agent	Approved	06/16/2022
B Maine	Agent	Approved	07/16/2021
B Maryland	Agent	Approved	05/02/2014
B Massachusetts	Agent	Approved	03/11/2016
B Michigan	Agent	Approved	05/02/2014
B Minnesota	Agent	Approved	08/05/2019
B Missouri	Agent	Approved	05/06/2014
B Nebraska	Agent	Approved	08/01/2014
B Nevada	Agent	Approved	05/02/2014
B New Hampshire	Agent	Approved	02/23/2023



Qualifications

Regulator	Registration	Status	Date
B New Jersey	Agent	Approved	05/02/2014
IA New Jersey	Investment Adviser Representative	Approved	07/28/2014
B New York	Agent	Approved	05/02/2014
B North Carolina	Agent	Approved	07/17/2017
B Ohio	Agent	Approved	05/02/2014
B Oklahoma	Agent	Approved	08/21/2020
B Pennsylvania	Agent	Approved	05/02/2014
B Puerto Rico	Agent	Approved	08/31/2021
B South Carolina	Agent	Approved	04/01/2015
B Texas	Agent	Approved	05/02/2014
B Virginia	Agent	Approved	05/02/2014
B Washington	Agent	Approved	05/12/2014
B West Virginia	Agent	Approved	09/27/2016
B Wisconsin	Agent	Approved	01/06/2015

Branch Office Locations

AEGIS CAPITAL CORP.
1345 AVENUE OF THE AMERICAS
27TH FLOOR
NEW YORK, NY 10105

AEGIS CAPITAL CORP.
ALLENDALE, NJ



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

Principal/Supervisory Exams

Exam	Category	Date
Registered Options Principal Examination (S4)	Series 4	07/24/1998
General Securities Principal Examination (S24)	Series 24	01/08/1997

General Industry/Product Exams

Exam	Category	Date
Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
Futures Managed Funds Examination (S31)	Series 31	04/10/2009
General Securities Representative Examination (S7)	Series 7	11/21/1991

State Securities Law Exams

Exam	Category	Date
Uniform Investment Adviser Law Examination (S65)	Series 65	02/24/2006
Uniform Securities Agent State Law Examination (S63)	Series 63	11/29/1991

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	08/28/2008 - 05/19/2014	OPPENHEIMER & CO. INC.	CRD# 249	NEW YORK, NY
B	08/19/2008 - 05/19/2014	OPPENHEIMER & CO. INC.	CRD# 249	NEW YORK, NY
IA	03/05/2007 - 08/20/2008	LADENBURG THALMANN ASSET MANAGEMENT INC	CRD# 108604	NEW YORK, NY
B	11/20/2002 - 08/20/2008	LADENBURG THALMANN & CO. INC.	CRD# 505	NEW YORK, NY
B	04/20/2000 - 11/20/2002	LADENBURG CAPITAL MANAGEMENT INC.	CRD# 14623	BETHPAGE, NY
B	12/03/1999 - 04/19/2000	GAINES, BERLAND INC.	CRD# 14623	BETHPAGE, NY
B	03/08/1999 - 01/11/2000	ANDREW, ALEXANDER, WISE & COMPANY INCORPORATED	CRD# 37710	NEW YORK, NY
B	01/26/1999 - 02/23/1999	SHARPE CAPITAL, INC.	CRD# 18452	NEW YORK, NY
B	03/20/1997 - 12/02/1998	GKN SECURITIES CORP.	CRD# 19415	NEW YORK, NY
B	10/25/1996 - 03/12/1997	MADISON CAPITAL MARKETS CORP.	CRD# 3059	NEW YORK, NY
B	09/22/1995 - 09/30/1996	STATE CAPITAL MARKETS CORPORATION	CRD# 13685	NEW YORK, NY
B	10/05/1993 - 09/19/1995	GRUNTAL & CO. INCORPORATED	CRD# 372	NEW YORK, NY
B	11/22/1991 - 09/29/1993	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
05/2014 - Present	Aegis Capital Corp	Registered Representative	Y	New York, 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.

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
Customer Dispute	3

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 3

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	AEGIS CAPITAL CORP
Allegations:	TIME FRAME: DECEMBER 2015 TO JANUARY 2017. CLAIMANT ALLEGES UNSUITABLE INVESTMENT RECOMMENDATIONS AND MISREPRESENTATION AND/OR OMISSIONS CONCERNING RISK AND MATERIAL FACTS.
Product Type:	Equity Listed (Common & Preferred Stock)
Alleged Damages:	\$110,000.00
Is this an oral complaint?	No
Is this a written complaint?	Yes
Is this an arbitration/CFTC reparation or civil litigation?	Yes
Arbitration/Reparation forum or court name and location:	FINRA
Docket/Case #:	17-00218
Filing date of arbitration/CFTC reparation or civil litigation:	01/26/2017

Customer Complaint Information

Date Complaint Received:	02/03/2017
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Complaint Pending? No
Status: Withdrawn
Status Date: 08/31/2017
Settlement Amount:
Individual Contribution Amount:
Broker Statement CLIENT WITHDREW HIS CLAIM AGAINST ME AND REMOVED ANY MENTION OF MY NAME IN THE STATEMENT OF CLAIM.

Disclosure 2 of 3

Reporting Source: Individual
Employing firm when activities occurred which led to the complaint: Aegis Capital Corp
Allegations: Time Frame: January 2011 through December 2015. Claimant alleges unsuitability in penny stock and option transactions.
Product Type: Options
Penny Stock
Alleged Damages: \$300,000.00
Is this an oral complaint? No
Is this a written complaint? Yes
Is this an arbitration/CFTC reparation or civil litigation? Yes
Arbitration/Reparation forum or court name and location: Finra
Docket/Case #: 16-00916
Filing date of arbitration/CFTC reparation or civil litigation: 03/31/2016

Customer Complaint Information

Date Complaint Received: 04/05/2016
Complaint Pending? No
Status: Settled
Status Date: 05/24/2017
Settlement Amount: \$65,000.00
Individual Contribution Amount: \$0.00
Broker Statement I vehemently deny any and all allegations. This is an absolute and wholly frivolous claim, and potentially fraudulent based on the facts at hand. Factually, I was not employed at Aegis Capital in February 2011 as the client is stating. Furthermore, I was not a broker on record for one account until February 2015 and for the other account I was only broker on record for 1 month. Factually, a significant majority of the positions/activity the client is seeking recovery on was done/purchased prior to



me becoming a broker on record and prior to me even being employed at Aegis Capital. Factually, the equity of the account was never even close to \$300,000 and there is no basis for the amount of this claim. I am seeking to be removed from this claim entirely. In addition, much of the activity the client is claiming was unsuitable was done at the direction of the client and on an unsolicited basis. Furthermore, after transferring the account away, the client sold a stock, which he purchased through a private placement prior to his account coming to Aegis in February 2011, that was at .02 when he transferred out and subsequently traded over \$7.00 per share and missed out on over a \$340,000 potential gain. He is very upset with himself and is looking to seek recovery in places that are not warranted. I will seek to enter a counterclaim against this client to the fullest extent as permitted by industry regulations.

Disclosure 3 of 3

Reporting Source: Firm
Employing firm when activities occurred which led to the complaint: GKN SECURITIES
Allegations: EXCESSIVE TRADING, SUITABILITY INVOLVING OTC EQUITY SECURITIES PURCHASED AT GKN SECURITIES.
Product Type:
Alleged Damages:

Customer Complaint Information

Date Complaint Received: 07/09/1999
Complaint Pending? No
Status: Denied
Status Date: 07/27/1999
Settlement Amount:
Individual Contribution Amount:
Firm Statement FIRM REVIEWED MATTER AND DETERMINED THAT NO FURTHER ACTION WAS WARRANTED. NOT PROVIDED

Reporting Source: Individual
Employing firm when activities occurred which led to the complaint: GKN SECURITIES
Allegations: TYPE OF SECURITIES AND FREQUENCY OF TRADES. NO SPECIFIED DATES 1997-1998
Product Type: Equity - OTC
Other Product Type(s): EQUITY-LISTED
Alleged Damages: \$8,000.00

Customer Complaint Information

Date Complaint Received: 11/26/1999



Complaint Pending?

No

Status:

Closed/No Action

Status Date:

01/21/2000

Settlement Amount:

Individual Contribution Amount:

Broker Statement

CUSTOMER WAS AWARE OF ANY AND ALL TRANSACTIONS WITHIN HIS ACCOUNTS. BOTH NYSE AND NASDAQ SECURITIES WERE IN HIS ACCOUNT AT ANY GIVEN TIME. ANY DISCRETION GIVEN BY THE CUSTOMER WAS SPECIFIED TO TIME AND PRICE DISCRETION ONLY AND AS ALLOWED BY NASD REGULATIONS.
GKN DENIED MR. PARKE'S COMPLAINT BELEIVING IT TO BE WITHOUT MERIT AND DETERMINED THAT NO FURTHER ACTION WAS WARRANTED AGAINST MR. GLAZER. FURTHERMORE, THE NASD ALSO DETERMINED NOT TO TAKE DISCIPLINARY ACTION AGAINST MR. GLAZER AND CLOSED THEIR INVESTIGATIVE FILE IN THIS MATTER.



End of Report

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