



IAPD Report

MARK PAUL ADLER

CRD# 2194735

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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

MARK PAUL ADLER (CRD# 2194735)

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 **04/17/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	A.G.P. / ALLIANCE GLOBAL PARTNERS	CRD# 8361	01/21/2026
IA	A.G.P / ALLIANCE GLOBAL PARTNERS	CRD# 8361	04/20/2026

QUALIFICATIONS

This representative is currently registered in **4** SRO(s) and **27** 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	GMS GROUP	8000	BOCA RATON, FL	05/15/2008 - 01/23/2026
B	JANNEY MONTGOMERY SCOTT LLC	463	BOCA RATON, FL	07/16/2015 - 07/21/2015
B	NATIONAL SECURITIES CORPORATION	7569	BOCA RATON, FL	06/05/2003 - 07/07/2003

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
Termination	1



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 **27** jurisdiction(s) and 4 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	01/21/2026
B	NYSE American LLC	General Securities Representative	Approved	01/21/2026
B	Nasdaq Stock Market	General Securities Representative	Approved	01/21/2026
B	New York Stock Exchange	General Securities Representative	Approved	01/21/2026
B	Arizona	Agent	Approved	01/21/2026
B	California	Agent	Approved	01/21/2026
B	Colorado	Agent	Approved	01/21/2026
B	Connecticut	Agent	Approved	01/21/2026
B	District of Columbia	Agent	Approved	01/21/2026
B	Florida	Agent	Approved	01/21/2026
IA	Florida	Investment Adviser Representative	Approved	04/20/2026
B	Georgia	Agent	Approved	01/21/2026
B	Illinois	Agent	Approved	01/21/2026



Qualifications

	Regulator	Registration	Status	Date
B	Indiana	Agent	Approved	01/21/2026
B	Maryland	Agent	Approved	01/21/2026
B	Massachusetts	Agent	Approved	01/26/2026
B	Michigan	Agent	Approved	01/21/2026
B	Missouri	Agent	Approved	01/21/2026
B	New Hampshire	Agent	Approved	01/21/2026
B	New Jersey	Agent	Approved	01/21/2026
B	New York	Agent	Approved	01/21/2026
B	North Carolina	Agent	Approved	01/21/2026
B	Ohio	Agent	Approved	01/21/2026
B	Oregon	Agent	Approved	01/21/2026
B	Pennsylvania	Agent	Approved	01/21/2026
B	South Carolina	Agent	Approved	01/21/2026
B	Texas	Agent	Approved	01/21/2026
B	Utah	Agent	Approved	01/21/2026
B	Virginia	Agent	Approved	01/21/2026
B	Washington	Agent	Approved	01/21/2026
B	West Virginia	Agent	Approved	01/21/2026
B	Wisconsin	Agent	Approved	01/21/2026



Qualifications

Regulator	Registration	Status	Date
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Branch Office Locations

A.G.P / ALLIANCE GLOBAL PARTNERS
Fountain Square
2700 N. Military Trail, Suite 230
BOCA RATON, FL 33431



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

Principal/Supervisory Exams

Exam	Category	Date
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No information reported.

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	05/10/2008

State Securities Law Exams

Exam	Category	Date
IA B Uniform Combined State Law Examination (S66)	Series 66	04/16/2026
B Uniform Securities Agent State Law Examination (S63)	Series 63	05/29/2008



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	05/15/2008 - 01/23/2026	GMS GROUP	CRD# 8000	BOCA RATON, FL
B	07/16/2015 - 07/21/2015	JANNEY MONTGOMERY SCOTT LLC	CRD# 463	BOCA RATON, FL
B	06/05/2003 - 07/07/2003	NATIONAL SECURITIES CORPORATION	CRD# 7569	BOCA RATON, FL
B	07/23/2002 - 11/15/2002	J. B. HANAUER & CO.	CRD# 6958	PARSIPPANY, NJ
B	05/02/2001 - 07/15/2002	GOLDEN HARRIS CAPITAL GROUP, INC.	CRD# 13889	WEST ORANGE, NJ
B	03/29/2001 - 04/11/2001	FIRST MONTAUK SECURITIES CORP.	CRD# 13755	RED BANK, NJ
B	05/28/1997 - 03/20/2001	THE JEFFREY MATTHEWS FINANCIAL GROUP, L.L.C.	CRD# 41282	FLORHAM PARK, NJ
B	10/10/1996 - 05/16/1997	GIBRALTAR SECURITIES CO.	CRD# 7093	FLORHAM PARK, NJ
B	01/08/1992 - 09/11/1996	HALPERT AND COMPANY, INC.	CRD# 7094	MILLBURN, NJ

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
01/2026 - Present	Alliance Global Partners	Financial Advisor	Y	Boca Raton, FL, United States
07/2015 - 01/2026	THE GMS GROUP, L.L.C.	ACCOUNT EXECUTIVE	Y	BOCA RATON, FL, 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.

Adler Wealth Management, Investment Related DBA, Boca Raton Florida, DBA, Owner, 01/21/2026, No Trading Hours, Passive Business For Tax Purposes



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
Termination	1

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: NATIONAL ASSOCIATION OF SECURITIES DEALERS, INC.

Sanction(s) Sought:

Other Sanction(s) Sought:

Date Initiated: 08/26/2002

Docket/Case Number: C9B020060

Employing firm when activity occurred which led to the regulatory action: THE JEFFREY MATTHEWS FINANCIAL GROUP, L.L.C.

Product Type: Other

Other Product Type(s): UNKNOWN TYPE OF SECURITIES.

Allegations: NASD RULE 2110 - RESPONDENT MAINTAINED A PERSONAL BROKERAGE ACCOUNT AT MEMBER FIRM WHILE REGISTERED WITH THE FIRM. THE MEMBER FIRM'S COMPLIANCE OFFICER INSTRUCTED RESPONDENT THAT HE WAS NOT PERMITTED TO PURCHASE ANY MORE SECURITIES IN HIS MEMBER FIRM ACCOUNT AND THAT HE WOULD ONLY BE PERMITTED TO EFFECT LIQUIDATING TRANSACTIONS. PRIOR TO MARCH 2001, RESPONDENT HAD BEEN ALLOWED TO PURCHASE SECURITIES IN HIS ACCOUNT, BUT HAD, SINCE FEBRUARY 2000, BEEN REQUIRED TO OBTAIN THE INITIALS OF COMPLIANCE OFFICER OR ANOTHER PRINCIPAL OF MEMBER FIRM ON THE ORDER TICKETS FOR PURCHASES IN HIS ACCOUNT, INDICATING PRIOR PRINCIPAL APPROVAL OF THE TRADES. IN OR ABOUT MARCH 2001, RESPONDENT SIGNED COMPLIANCE OFFICER'S



INITIAL ON ORDER TICKETS FOR THE PURCHASES IN HIS PERSONAL ACCOUNT WITHOUT COMPLIANCE OFFICER'S CONSENT OR AUTHORITY.

Current Status: Final

Resolution: Decision

Resolution Date: 07/01/2003

Sanctions Ordered: Monetary/Fine \$20,000.00
Suspension

Other Sanctions Ordered:

Sanction Details: HEARING PANEL DECISION RENDERED MAY 14, 2003, WHEREIN RESPONDENT MARK PAUL ADLER IS SUSPENDED FROM ASSOCIATION WITH ANY NASD MEMBER FIRM IN ANY CAPACITY FOR 18 MONTHS AND FINED \$20,000.00 FOR FALSIFYING FIRMS RECORDS IN VIOLATION OF RULE 2110. THE HEARING PANEL ALSO ORDERED RESPONDENT TO PAY THE \$3,797.35 COSTS OF THE HEARING, WHICH INCLUDES \$750.00 ADMINISTRATIVE FEE AND HEARING TRANSCRIPT COSTS OF \$3,047.35. THE FINE SHALL BE DUE AND PAYABLE EITHER PRIOR TO REASSOCIATION WITH A MEMBER FIRM FOLLOWING THE SUSPENSION OR PRIOR TO ANY APPLICATION OR REQUEST FOR RELIEF FROM ANY STATUTORY DISQUALIFICATION RESULTING FROM THIS OR ANY OTHER EVENT OR PROCEEDING, WHICHEVER IS EARLIER. THE SUSPENSION WILL COMMENCE WITH THE OPENING OF BUSINESS ON JULY 7, 2003, AND WILL CONCLUDE AT THE CLOSE OF BUSINESS ON JANUARY 6, 2005. IF NO FURTHER ACTION IS TAKEN, DECISION WILL BECOME FINAL ON JULY 1, 2003. DECISION IS NOW FINAL AND EFFECTIVE IMMEDIATELY.

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Reporting Source: Individual

Regulatory Action Initiated By: NASD DISTRICT 9 NJD

Sanction(s) Sought: Other

Other Sanction(s) Sought: COMPLAINT

Date Initiated: 09/04/2002

Docket/Case Number: C9B020060

Employing firm when activity occurred which led to the regulatory action: JEFFREY MATTHEWS FINANCIAL GROUP

Product Type: Equity Listed (Common & Preferred Stock)

Other Product Type(s):

Allegations: I WAS BEING QUESTIONED ABOUT THE MANAGERS INITIALS ON A STOCK TICKET TO PURCHASE STOCK IN MY OWN PERSONAL ACCOUNT NO CLIENT OF FIRM ACCOUNTS WERE INVOLVED.

Current Status: Final

Resolution: Decision

Resolution Date: 05/14/2003

Sanctions Ordered: Monetary/Fine \$20,000.00
Suspension



Other Sanctions Ordered:

ORDERED TO PAY COSTS OF \$3,797.35. COSTS WILL BE PAYABLE UPON RETURN TO THE SECURITIES INDUSTRY.

Sanction Details:

SUSPENDED FOR 18 MONTHS, FROM 07/07/2003 UNTIL 01/06/2005.
THE \$20,000 FINE WILL BE PAYABLE UPON RETURN TO SECURITIES INDUSTRY.



Termination

This disclosure event involves a situation where the Investment Adviser Representative voluntarily resigned, was discharged or was permitted to resign after allegations were made that accused the Investment Adviser Representative of violating investment-related statutes, regulations, rules or industry standards of conduct; fraud or the wrongful taking of property; or failure to supervise in connection with investment-related statutes, regulations, rules or industry standards of conduct.

Disclosure 1 of 1

Reporting Source:	Individual
Firm Name:	JEFFREY MATTHEWS FINANCIAL
Termination Type:	Discharged
Termination Date:	03/19/2001
Allegations:	I WAS BEING QUESTIONED ABOUT THE MANAGERS INITIALS ON A STOCK TICKET TO PURCHASE STOCK IN MY OWN PERSONAL ACCOUNT NO CLIENT OF FIRM ACCOUNTS WERE INVOLVED.
Product Type:	No Product
Other Product Types:	



End of Report

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