IAPD Report

ADAM CRAIG GOODMAN

CRD# 2263780

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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

User Guidance

www.adviserinfo.sec.gov

Report Summary

ADAM CRAIG GOODMAN (CRD# 2263780)

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 **12/17/2025**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	LPL FINANCIAL LLC	CRD# 6413	01/22/2025
IA	LPL FINANCIAL LLC	CRD# 6413	01/22/2025

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **19** 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	STOEVER GLASS WEALTH MANAGEMENT, INC.	173091	boca raton, FL	03/23/2018 - 01/24/2025
B	STOEVER, GLASS & COMPANY INC.	7031	Boca Raton, FL	01/09/2018 - 01/24/2025
B	HERBERT J. SIMS & CO. INC.	3420	BOCA RATON, FL	08/12/2010 - 01/08/2018

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	7

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 **19** 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 Principal	Approved	01/22/2025
B	FINRA	General Securities Representative	Approved	01/22/2025
B	Arizona	Agent	Approved	03/13/2025
B	California	Agent	Approved	01/22/2025
B	Colorado	Agent	Approved	11/06/2025
B	Delaware	Agent	Approved	03/03/2025
B	Florida	Agent	Approved	01/22/2025
IA	Florida	Investment Adviser Representative	Approved	01/23/2025
B	Georgia	Agent	Approved	03/10/2025
B	Maryland	Agent	Approved	03/07/2025
B	Massachusetts	Agent	Approved	04/04/2025
B	Michigan	Agent	Approved	03/11/2025
B	Mississippi	Agent	Approved	12/18/2025

Qualifications

	Regulator	Registration	Status	Date
B	Missouri	Agent	Approved	01/07/2026
B	New Jersey	Agent	Approved	01/22/2025
B	New York	Agent	Approved	01/22/2025
B	Pennsylvania	Agent	Approved	03/10/2025
B	South Carolina	Agent	Approved	02/19/2025
B	Texas	Agent	Approved	01/22/2025
IA	Texas	Investment Adviser Representative	Restricted Approval	01/22/2025
B	Virginia	Agent	Approved	04/02/2025
B	Washington	Agent	Approved	02/19/2025
B	Wisconsin	Agent	Approved	03/11/2025

Branch Office Locations

LPL FINANCIAL LLC
COCONUT CREEK, FL

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 3 state securities law exams.

Principal/Supervisory Exams

	Exam	Category	Date
B	General Securities Principal Examination (S24)	Series 24	02/24/2020

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	08/11/2010

State Securities Law Exams

	Exam	Category	Date
IA	Uniform Investment Adviser Law Examination (S65)	Series 65	02/12/2018
IA B	Uniform Combined State Law Examination (S66)	Series 66	09/10/2010
B	Uniform Securities Agent State Law Examination (S63)	Series 63	11/12/1992

PROFESSIONAL DESIGNATIONS

This section details that the representative has reported **1** professional designation(s).

Certified Financial Planner

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	03/23/2018 - 01/24/2025	STOEVER GLASS WEALTH MANAGEMENT, INC.	CRD# 173091	boca raton, FL
B	01/09/2018 - 01/24/2025	STOEVER, GLASS & COMPANY INC.	CRD# 7031	Boca Raton, FL
B	08/12/2010 - 01/08/2018	HERBERT J. SIMS & CO. INC.	CRD# 3420	BOCA RATON, FL
B	09/11/1997 - 11/18/1997	WIEN SECURITIES CORP.	CRD# 10467	JERSEY CITY, NJ
B	02/03/1997 - 08/01/1997	PARAGON CAPITAL CORPORATION	CRD# 18555	EAST HANOVER, NJ
B	06/10/1996 - 01/20/1997	THE G.M.S. GROUP, INC.	CRD# 8000	EAST HANOVER, NJ
B	03/21/1995 - 08/16/1996	J. B. HANAUER & CO.	CRD# 6958	PARSIPPANY, NJ
B	11/14/1994 - 03/20/1995	HALPERT AND COMPANY, INC.	CRD# 7094	MILLBURN, NJ
B	05/06/1994 - 11/14/1994	FIRST MIAMI SECURITIES, INC.	CRD# 7793	BOCA RATON, FL
B	09/18/1992 - 02/22/1994	J. B. HANAUER & CO.	CRD# 6958	PARSIPPANY, 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
01/2025 - Present	LPL Financial LLC	Registered Representative	Y	Coconut Creek, FL, United States
01/2018 - 01/2025	STOEVER GLASS INSURANCE AGENCY	AGENT	Y	NEW YORK, NY, United States
01/2018 - 01/2025	STOEVER GLASS WEALTH MGMT INC	REGISTERED INVESTMENT ADVISOR REPRESENTATIVE	Y	NEW YORK, NY, United States
01/2018 - 01/2025	Stoever Glass & CO	REGISTERED REP	Y	NEW YORK, NY, United States
06/2010 - 01/2018	HERBERT J SIMS & CO, INC	VICE PRESIDENT	Y	BOCA RATON, FL, 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- 01/2025 / GMR Wealth Advisors, LLC / DBA for LPL Business (entity for LPL business) / Inv Rltd / 200 Hrs Mnth / 8 hrs during trading / start 01/10/2025

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	7

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 7

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	Stoever Glass & Co
Allegations:	Client alleges that he did not want speculation as risk exposure and is 'troubled by the poor performance" of his account during April 2018 to present. 3 of the positions in question were bought at RR's previous employer;
Product Type:	Debt-Municipal
Alleged Damages:	$10,000.00
Alleged Damages Amount Explanation (if amount not exact):	client did not specify an amount in his allegations.
Is this an oral complaint?	No
Is this a written complaint?	Yes
Is this an arbitration/CFTC reparation or civil litigation?	No

Customer Complaint Information

Date Complaint Received:	04/09/2021
Complaint Pending?	No
Status:	Closed/No Action
Status Date:	05/05/2021

Settlement Amount:	
Individual Contribution Amount:	
Broker Statement	RR denies all claims and reiterates that the client wanted income/ yield and the account documentation reflected this.Additionally, one of the bonds purchased at Stoever Glass was investment grade (A- rated by S&P) and at time of purchase and was recommended by a research report written by a Stoever Glass analyst and Standard & Poors.

Disclosure 2 of 7

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	STOEVER GLASS & CO INC
Allegations:	CLIENT ALLEGES UNAUTHORIZED TRADING AND UNSUITABLE TRANSACTIONS SINCE FEBRUARY 2014
Product Type:	Debt-Corporate
Alleged Damages:	$500,000.00
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 #:	20-02951
Filing date of arbitration/CFTC reparation or civil litigation:	09/02/2020

Customer Complaint Information

Date Complaint Received:	09/18/2020
Complaint Pending?	No
Status:	Evolved into Arbitration/CFTC reparation (the individual is a named party)
Status Date:	09/18/2020
Settlement Amount:	
Individual Contribution Amount:	

Arbitration Information

Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.):	FINRA
Docket/Case #:	20-02951
Date Notice/Process Served:	09/18/2020
Arbitration Pending?	No

Disposition: Settled

Disposition Date: 12/14/2021

Monetary Compensation Amount: $65,000.00

Individual Contribution Amount: $0.00

Broker Statement DETAILS WERE PREVIOUSLY ENTERED IN DRP SECTION 7-11 IN ERROR.
"THE REP IS NAMED A RESPONDENT".
RR VEHEMENTLY DENIES ALL ALLEGATIONS BROUGHT BY CLIENTS AND STATES THAT THE CLIENTS WERE CONTACTED PRIOR TO EVERY TRANSACTION AND PROVIDED SUPPORTING DOCUMENTATION.In an effort, by management, to avoid the additional costs associated with the arbitration process, the settlement was offered and both sides agreed.

Disclosure 3 of 7

Reporting Source: Firm

Employing firm when activities occurred which led to the complaint: HJ Sims, Inc.

Allegations: Client is questioning the suitability of an investment, a bond anticipation note which was purchased at or around 12/24/2015.

Product Type: Other: Bond Anticipation Note

Alleged Damages: $14,000.00

Is this an oral complaint? Yes

Is this a written complaint? No

Is this an arbitration/CFTC reparation or civil litigation? No

Customer Complaint Information

Date Complaint Received: 02/19/2020

Complaint Pending? No

Status: Closed/No Action

Status Date: 06/03/2021

Settlement Amount:

Individual Contribution Amount:

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: HJ Sims Inc

Allegations: client is questioning the suitability of an investment, a bond anticipation note which was purchased at around 12/24/2015

Product Type: Money Market Fund
Other: bond anticipation note

Alleged Damages:	$14,000.00
Is this an oral complaint?	Yes
Is this a written complaint?	No
Is this an arbitration/CFTC reparation or civil litigation?	No

Customer Complaint Information

Date Complaint Received:	02/19/2020
Complaint Pending?	No
Status:	Closed/No Action
Status Date:	06/03/2021
Settlement Amount:	
Individual Contribution Amount:	
Broker Statement	RR vehemently denies the former clients' accusations. Client was provided full disclosure of any risk associated with theses products and the client confirmed he was accredited.all docs on file at HJ Sims

Disclosure 4 of 7

Reporting Source:	Firm
Employing firm when activities occurred which led to the complaint:	Herbert J Sims & Co., Inc
Allegations:	Time frame of client is questioning the suitability of two investments, a private placement and a bond anticipation note are within 10/28/14 to 12/30/15 for the products of Hawkeye and Springshire
Product Type:	Other: private placement and a bond anticipation note
Alleged Damages:	$28,000.00
Is this an oral complaint?	Yes
Is this a written complaint?	No
Is this an arbitration/CFTC reparation or civil litigation?	No

Customer Complaint Information

Date Complaint Received:	12/17/2019
Complaint Pending?	No
Status:	Settled
Status Date:	01/23/2020
Settlement Amount:	$21,680.57
Individual Contribution Amount:	$0.00

Reporting Source:	Individual

Employing firm when activities occurred which led to the complaint:	Herbert J Sims & Co inc
Allegations:	client is questioning the suitability of two investments-Hawkeye and Springshire time frame within 10/28/14 to 12/30/15; a private placement and a bond anticipation note
Product Type:	Mutual Fund Other: private placement and bond anticipation note
Alleged Damages:	$28,000.00
Is this an oral complaint?	Yes
Is this a written complaint?	No
Is this an arbitration/CFTC reparation or civil litigation?	No

Customer Complaint Information

Date Complaint Received:	12/17/2019
Complaint Pending?	No
Status:	Settled
Status Date:	01/23/2020
Settlement Amount:	$21,680.57
Individual Contribution Amount:	$0.00
Broker Statement	RR vehemently denies the former clients' accusations. Client was provided full disclosure of any risk associated with theses products and the client confirmed he was accredited.all docs on file at HJ Sims

Disclosure 5 of 7

Reporting Source:	Firm
Employing firm when activities occurred which led to the complaint:	Herbert J. Sims & Co., Inc.
Allegations:	Time Frame October 2013- August 2017: Claimants alleged unsuitability of debt corporate.
Product Type:	Debt-Corporate
Alleged Damages:	$21,000.00
Is this an oral complaint?	Yes
Is this a written complaint?	No
Is this an arbitration/CFTC reparation or civil litigation?	No

Customer Complaint Information

Date Complaint Received:	08/02/2017
Complaint Pending?	No
Status:	Settled

Status Date:	12/14/2017
Settlement Amount:	$21,000.00
Individual Contribution Amount:	$0.00

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	HERBERT J. SIMS & CO. INC
Allegations:	Client alleged unauthorized trading and over concentration in the period of 2013 to august 2017.claimants alleged unsuitability of debt corp.
Product Type:	Debt-Corporate Debt-Municipal
Alleged Damages:	$21,000.00
Is this an oral complaint?	Yes
Is this a written complaint?	No
Is this an arbitration/CFTC reparation or civil litigation?	No

Customer Complaint Information

Date Complaint Received:	08/02/2017
Complaint Pending?	No
Status:	Settled
Status Date:	12/14/2017
Settlement Amount:	$21,000.00
Individual Contribution Amount:	$0.00

Disclosure 6 of 7

Reporting Source:	Firm
Employing firm when activities occurred which led to the complaint:	Herbert J. Sims & Co., INC.
Allegations:	Client alleged misrepresentation and unauthorized trading.
Product Type:	Other: Junk Bonds
Alleged Damages:	$5,000.00
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 #:	16-02961
Filing date of arbitration/CFTC reparation or civil litigation:	10/10/2016

Customer Complaint Information

Date Complaint Received:	12/14/2016
Complaint Pending?	No
Status:	Settled
Status Date:	03/28/2018
Settlement Amount:	$50,000.00
Individual Contribution Amount:	$0.00

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	Herbert J. Sims & Co., INC.
Allegations:	Client alleged misrepresentation and unauthorized trading.
Product Type:	Other: Junk Bonds
Alleged Damages:	$5,000.00
Alleged Damages Amount Explanation (if amount not exact):	No amount of damages were stated. However we believe the damages are greater than $5,000.
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 #:	16-02961
Filing date of arbitration/CFTC reparation or civil litigation:	10/10/2016

Customer Complaint Information

Date Complaint Received:	12/14/2016
Complaint Pending?	No
Status:	Settled
Status Date:	03/28/2018
Settlement Amount:	$50,000.00
Individual Contribution Amount:	$0.00

Disclosure 7 of 7

Reporting Source:	Firm
Employing firm when activities occurred which led to the complaint:	Herbert J. Sims & Co., Inc.
Allegations:	Client alleged high pressure sales practice, unsuitable investment, fraud and negligence.
Product Type:	Debt-Municipal
Alleged Damages:	$25,000.00
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 #:	18-01064
Filing date of arbitration/CFTC reparation or civil litigation:	03/26/2018

Customer Complaint Information

Date Complaint Received:	04/03/2018
Complaint Pending?	No
Status:	Settled
Status Date:	08/15/2018
Settlement Amount:	$10,000.00
Individual Contribution Amount:	$0.00

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	Herbert J. Sims & Co., INC.
Allegations:	Client alleged high pressure sales practice, unsuitable investment, fraud and negligence
Product Type:	Debt-Municipal
Alleged Damages:	$25,000.00
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 #:	18-01064
Filing date of arbitration/CFTC reparation or civil litigation:	03/26/2018

Customer Complaint Information

Date Complaint Received:	04/03/2018
Complaint Pending?	No
Status:	Settled
Status Date:	08/15/2018
Settlement Amount:	$10,000.00
Individual Contribution Amount:	$0.00

End of Report

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