



## IAPD Report

# Michael Joseph Winn

CRD# 2369114

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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

### Michael Joseph Winn (CRD# 2369114)

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 **03/09/2026**.

### CURRENT EMPLOYERS

This individual is not currently registered as an Investment Adviser Representative.

### QUALIFICATIONS

This representative is currently registered in **0** SRO(s) and 0 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
	CHARTERED WEALTH PARTNERS, LP	338720	Beverly Hills, CA	03/02/2026 - 04/20/2026
	BOULEVARD FAMILY WEALTH SERVICES, LLC	327643	BEVERLY HILLS, CA	11/13/2023 - 08/14/2024
	SANCTUARY ADVISORS, LLC	226606	Los Angeles, CA	08/23/2021 - 03/14/2023

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
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 **0** jurisdiction(s) and 0 SRO(s) through his or her employer(s).

### Employment 1 of 1

Firm Name: **THE LEADERS GROUP, INC.**  
Main Address: 475 SPRINGFIELD AVE  
SUMMIT, NJ 07901  
Firm ID#: 37157

### Branch Office Locations

9401 Wilshire Blvd, Suite 500  
Beverly Hills, CA 90212



## 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, 0 general industry/product exams, and 1 state securities law exam.**

#### Principal/Supervisory Exams

Exam	Category	Date
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No information reported.

#### General Industry/Product Exams

Exam	Category	Date
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No information reported.

#### State Securities Law Exams

Exam	Category	Date
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<b>IA</b> Uniform Investment Adviser Law Examination (S65)	Series 65	02/23/1999
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### 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	03/02/2026 - 04/20/2026	CHARTERED WEALTH PARTNERS, LP	CRD# 338720	Beverly Hills, CA
IA	11/13/2023 - 08/14/2024	BOULEVARD FAMILY WEALTH SERVICES, LLC	CRD# 327643	BEVERLY HILLS, CA
IA	08/23/2021 - 03/14/2023	SANCTUARY ADVISORS, LLC	CRD# 226606	Los Angeles, CA
IA	10/28/2020 - 09/03/2021	AUDENT GLOBAL ASSET MANAGEMENT, LLC	CRD# 308166	LOS ANGELES, CA
IA	02/18/2020 - 09/01/2020	PRIVATE ADVISOR GROUP, LLC	CRD# 155216	Los Angeles, CA
IA	04/29/2016 - 02/14/2020	FIRST REPUBLIC INVESTMENT MANAGEMENT, INC.	CRD# 108559	CENTURY CITY, CA
IA	05/13/2011 - 05/27/2016	UBS FINANCIAL SERVICES INC.	CRD# 8174	CENTURY CITY, CA
IA	11/07/2007 - 05/17/2011	OPPENHEIMER & CO. INC.	CRD# 249	LOS ANGELES, CA
IA	04/15/2003 - 11/12/2007	OPPENHEIMER ASSET MANAGEMENT	CRD# 105559	NEW YORK, NY
IA	01/03/2003 - 04/15/2003	FAHNESTOCK ASSET MANAGEMENT	CRD# 249	LOS ANGELES, CA
IA	10/07/1999 - 01/03/2003	CIBC WORLD MARKETS CORP.	CRD# 630	LOS ANGELES, CA

#### 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
11/2025 - Present	Chartered Wealth Partners GP, Inc.	Chief Executive Officer	Y	Beverly Hills, CA, United States
11/2025 - Present	Chartered Wealth Partners, LP	Partner and Investment Adviser Representative	Y	Beverly Hills, CA, United States
02/2025 - Present	Simplicity Investments	Registered Representative	Y	Summit, NJ, United States



## Registration & Employment History

### EMPLOYMENT HISTORY

Employment Dates	Employer Name	Position	Investment Related	Employer Location
08/2024 - 02/2025	Unemployed	Unemployed	N	Manhattan Beach, CA, United States
10/2023 - 08/2024	Boulevard Family Wealth	Partner	Y	Beverly Hills, CA, United States
06/2023 - 10/2023	UNEMPLOYED	UNEMPLOYED	N	HERMOSA BEACH, CA, United States
01/2021 - 06/2023	INNOVISE FAMILY WEALTH ADVISORS	PARTNER	Y	LOS ANGELES, CA, United States
08/2021 - 03/2023	Sanctuary Wealth	Registered representative	Y	Los Angeles, CA, United States
02/2020 - 09/2021	Audent Family Wealth Advisors	Managing Director	N	Los Angeles, CA, United States
09/2020 - 08/2021	AUDENT GLOBAL ASSET MANAGEMENT, LLC	INVESTMENT ADVISER REPRESENTATIVE	Y	LOS ANGELES, CA, United States
07/2020 - 09/2020	CAPE SECURITIES INC.	REGISTERED REPRESENTATIVE	Y	LOS ANGELES, CA, United States
02/2020 - 09/2020	Private Advisor Group, LLC	INVESTMENT ADVISER REPRESENTATIVE	Y	Morristown, NJ, United States
04/2016 - 02/2020	FIRST REPUBLIC INVESTMENT MANAGEMENT, INC	MANAGING DIRECTOR-INSURANCE GROUP	Y	LOS ANGELES, CA, United States
04/2016 - 02/2020	FIRST REPUBLIC SECURITIES COMPANY, LLC	MANAGING DIRECTOR-INSURANCE GROUP	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.

- 1.) INDEPENDENT INSURANCE AGENT; 1/1/93; Beverly Hills, CA 90067; sales of insurance; investment related; approx. 60 hrs/mo; 40 hrs/mo (during trading hours).
- 2.) CHARTERED WEALTH PARTNERS - 2/2/26 - 9401 Wilshire Blvd, Suite 500, Beverly Hills, CA 90212 - Partner, New business, Invt Rel, Life insurance advisory business, 5 hrs/mo; 0 hrs/mo (during trading hours).
- 3.) Boulevard Family Wealth - 9/1/2023 - 421 1st Street, Manhattan Beach, CA 90266 - Partner, new business, Invt Rel, investment fee income, 200 hrs/mo; 0 hrs/mo (during trading hours).



## 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
Termination	1

### 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

<b>Reporting Source:</b>	Firm
<b>Employing firm when activities occurred which led to the complaint:</b>	OPPENHEIMER & CO. INC.
<b>Allegations:</b>	CLIENT ALLEGES THAT THE INVESTMENT AT ISSUE WAS ONLY SUPPOSED TO BE FOR 6-8 YEARS, AND THAT THE ACCOUNT WAS OPENED WITHOUT HIS PERMISSION. JUNE 2007
<b>Product Type:</b>	Direct Investment-DPP & LP Interests
<b>Alleged Damages:</b>	\$616,876.95
<b>Is this an oral complaint?</b>	No
<b>Is this a written complaint?</b>	Yes
<b>Is this an arbitration/CFTC reparation or civil litigation?</b>	No

### Customer Complaint Information

<b>Date Complaint Received:</b>	02/20/2019
<b>Complaint Pending?</b>	No
<b>Status:</b>	Denied
<b>Status Date:</b>	03/05/2019

#### Settlement Amount:

#### Individual Contribution Amount:



**Amount.**  
.....

**Reporting Source:** Individual

**Employing firm when activities occurred which led to the complaint:** Oppenheimer & Co., Inc.

**Allegations:** Client alleges that the investment was issue was only supposed to be for 6-8 years, and that the account was opened without his permission. June 2007

**Product Type:** Direct Investment-DPP & LP Interests

**Alleged Damages:** \$616,876.95

**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:** 02/20/2019

**Complaint Pending?** No

**Status:** Denied

**Status Date:** 03/05/2019

**Settlement Amount:**

**Individual Contribution Amount:**

**Broker Statement** The account in question appears to have been opened 12 years ago by someone else at my old firm. The long lapse in time has, unfortunately, affected this person's memory. I do not know this person. He was never my client. Accordingly, I had no responsibility for this person's account.

**Disclosure 2 of 2**

**Reporting Source:** Firm

**Employing firm when activities occurred which led to the complaint:** UBS FINANCIAL SERVICES INC

**Allegations:** July 2015 - December 2015  
Claimant's Counsel alleges that the life insurance policy was unsuitable and that the surrender and other associated fees were not properly disclosed. Counsel further alleges that a financial planning services agreement and related "Scope of Work" was ratified by all parties but none of the promised deliverables were ever provided or implemented.

**Product Type:** Insurance

**Alleged Damages:** \$305,000.00

**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 #:** 16-01852

**Filing date of arbitration/CFTC reparation or civil litigation:** 07/14/2016

**Customer Complaint Information**

**Date Complaint Received:** 07/14/2016

**Complaint Pending?** No

**Status:** Settled

**Status Date:** 07/06/2017

**Settlement Amount:** \$35,000.00

**Individual Contribution Amount:** \$0.00

**Reporting Source:** Individual

**Employing firm when activities occurred which led to the complaint:** UBS FINANCIAL SERVICES INC.

**Allegations:** July - December 2015 Claimant's Counsel alleges the life insurance policy was unsuitable and the surrender and other associated fees were not properly disclosed. Counsel further alleges that a financial planning services agreement and related "Scope of Work" was ratified by all parties but none of the promised deliverables were ever provided or implemented.

**Product Type:** Insurance

**Alleged Damages:** \$305,000.00

**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 #:** 16-01852

**Filing date of arbitration/CFTC reparation or civil litigation:** 07/14/2016

**Customer Complaint Information**

**Date Complaint Received:** 07/14/2016

**Complaint Pending?** No

**Status:** Settled



**Status Date:** 07/06/2017

**Settlement Amount:** \$35,000.00

**Individual Contribution Amount:** \$0.00

**Broker Statement**

The client was a corporation, and at all times I worked with authorized officers of the corporation as I was instructed to do by the corporation. The CEO was copied on substantive communications, which are directly contrary to the allegations. The insurance policy, to benefit the corporation, provided more than twice the amount of insurance with no change in premium. I did substantial work on this policy, but was instructed by the corporation to cease any further work on the project despite being near completion. I believe these allegations to have no merit.



## 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:** SIGNATOR INVESTORS, INC.  
**Termination Type:** Voluntary Resignation  
**Termination Date:** 11/01/1999  
**Allegations:** REPRESENTATIVE ADMITTED TO SIGNING CUSTOMER'S NAME ON LIFE INSURANCE APPLICATION WITH CUSTOMER'S PERMISSION.  
**Product Type:** Insurance

### Other Product Types:

### Broker Statement

PRIOR TO HIS VOLUNTARY RESIGNATION FROM SIGNATOR INVESTORS, THERE HAD BEEN AN ISSUE INVOLVING THE BROKER SIGNING A CUSTOMER'S NAME ON A LIFE INSURANCE APPLICATION WITH THE CUSTOMER'S CONSENT. HOWEVER, THIS ISSUE DID NOT CAUSE OR LEAD TO HIS RESIGNATION FROM SIGNATOR. PRIOR TO THE TIME HE VOLUNTARILY RESIGNED, THE PROBLEM HAD BEEN COMPLETELY RESOLVED TO THE SATISFACTION OF SIGNATOR'S COMPLIANCE PERSONNEL. HE RESIGNED FROM SIGNATURE TO ACCEPT A BETTER POSITION. SPECIFICALLY, HE WAS NOT TOLD TO RESIGN IN ORDER TO AVOID BEING TERMINATED. THE RESIGNATION WAS HIS IDEA.



## End of Report

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