



IAPD Report

BARRY KEITH WHALEN

CRD# 2428378

<u>Section Title</u>	<u>Page(s)</u>
Report Summary	1
Qualifications	2 - 5
Registration and Employment History	6
Disclosure Information	7



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

BARRY KEITH WHALEN (CRD# 2428378)

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 **04/10/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	JANNEY MONTGOMERY SCOTT LLC	CRD# 463	11/10/2010
IA	JANNEY MONTGOMERY SCOTT LLC	CRD# 463	11/12/2010

QUALIFICATIONS

This representative is currently registered in **3** SRO(s) and **37** 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	MORGAN STANLEY SMITH BARNEY	149777	STUART, FL	06/01/2009 - 11/22/2010
IA	MORGAN STANLEY SMITH BARNEY LLC	149777	STUART, FL	06/01/2009 - 11/22/2010
IA	CITIGROUP GLOBAL MARKETS INC.	7059	STUART, FL	02/14/1994 - 06/01/2009

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	6



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

Employment 1 of 1

Firm Name: **JANNEY MONTGOMERY SCOTT LLC**
Main Address: 1717 ARCH STREET
PHILADELPHIA, PA 19103
Firm ID#: 463

Regulator	Registration	Status	Date
B FINRA	General Securities Representative	Approved	11/10/2010
B Nasdaq Stock Market	General Securities Representative	Approved	11/10/2010
B New York Stock Exchange	General Securities Representative	Approved	11/10/2010
B Alabama	Agent	Approved	06/09/2023
B Alaska	Agent	Approved	12/22/2025
B Arizona	Agent	Approved	10/02/2014
B California	Agent	Approved	11/16/2010
IA California	Investment Adviser Representative	Approved	07/12/2012
B Colorado	Agent	Approved	01/03/2013
B Connecticut	Agent	Approved	07/02/2014
B Delaware	Agent	Approved	01/29/2025
B District of Columbia	Agent	Approved	08/22/2019
B Florida	Agent	Approved	11/10/2010



Qualifications

Regulator	Registration	Status	Date
IA Florida	Investment Adviser Representative	Approved	11/12/2010
B Georgia	Agent	Approved	01/03/2013
B Illinois	Agent	Approved	09/08/2015
B Indiana	Agent	Approved	11/23/2010
B Kansas	Agent	Approved	01/02/2026
B Kentucky	Agent	Approved	07/14/2025
B Maine	Agent	Approved	01/06/2025
B Maryland	Agent	Approved	12/21/2012
B Massachusetts	Agent	Approved	11/10/2010
B Michigan	Agent	Approved	11/10/2010
B Minnesota	Agent	Approved	06/03/2014
B Mississippi	Agent	Approved	08/26/2020
B Missouri	Agent	Approved	12/12/2024
B Montana	Agent	Approved	07/12/2022
B New Jersey	Agent	Approved	11/10/2010
IA New Jersey	Investment Adviser Representative	Approved	07/20/2011
B New York	Agent	Approved	11/10/2010
B North Carolina	Agent	Approved	11/06/2017
B Ohio	Agent	Approved	11/10/2010



Qualifications

Regulator	Registration	Status	Date
B Oklahoma	Agent	Approved	04/14/2026
B Pennsylvania	Agent	Approved	11/10/2010
B Rhode Island	Agent	Approved	06/20/2013
B South Carolina	Agent	Approved	11/16/2010
B Tennessee	Agent	Approved	08/08/2022
B Texas	Agent	Approved	11/10/2010
IA Texas	Investment Adviser Representative	Restricted Approval	10/20/2011
B Vermont	Agent	Approved	09/10/2020
B Virginia	Agent	Approved	11/10/2010
B Washington	Agent	Approved	04/13/2020
B Wisconsin	Agent	Approved	07/06/2020
B Wyoming	Agent	Approved	10/19/2017

Branch Office Locations

JANNEY MONTGOMERY SCOTT LLC
309 SE OSCEOLA STREET
SUITE 207/208
STUART, FL 34994



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
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B Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
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B General Securities Representative Examination (S7)	Series 7	01/05/1994
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State Securities Law Exams

Exam	Category	Date
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IA Uniform Investment Adviser Law Examination (S65)	Series 65	01/20/1994
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B Uniform Securities Agent State Law Examination (S63)	Series 63	01/14/1994
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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
B	06/01/2009 - 11/22/2010	MORGAN STANLEY SMITH BARNEY	CRD# 149777	STUART, FL
IA	06/01/2009 - 11/22/2010	MORGAN STANLEY SMITH BARNEY LLC	CRD# 149777	STUART, FL
IA	02/14/1994 - 06/01/2009	CITIGROUP GLOBAL MARKETS INC.	CRD# 7059	STUART, FL
B	02/08/1994 - 06/01/2009	CITIGROUP GLOBAL MARKETS INC.	CRD# 7059	STUART, FL

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
11/2010 - Present	JANNEY MONTGOMERY SCOTT LLC	FINANCIAL ADVISOR	Y	STUART, 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.

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	6

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 6

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	CITIGROUP GLOBAL MARKETS INC.
Allegations:	CLIENT ALLEGES "CHURNING" WITH RESPECT TO INVESTMENTS -AUGUST 2000 - JULY 2002. DAMAGES UNSPECIFIED.
Product Type:	Equity Listed (Common & Preferred Stock)
Other Product Type(s):	EQUITY OTC, MUTUAL FUNDS

Alleged Damages:

Customer Complaint Information

Date Complaint Received:	09/27/2004
Complaint Pending?	No
Status:	Denied
Status Date:	12/10/2004

Settlement Amount:

Individual Contribution Amount:

Broker Statement CLAIM DENIED.

Disclosure 2 of 6



Reporting Source: Individual
Employing firm when activities occurred which led to the complaint: CITIGROUP GLOBAL MARKETS INC.
Allegations: CLIENT ALLEGED ANNUITY WAS MISREPRESENTED AND UNSUITABLE - JANUARY 2004. DAMAGES UNSPECIFIED.
Product Type: Annuity(ies) - Variable
Alleged Damages:

Customer Complaint Information

Date Complaint Received: 03/22/2004
Complaint Pending? No
Status: Closed/No Action
Status Date: 04/07/2004
Settlement Amount:
Individual Contribution Amount:
Broker Statement CLIENT RETRACTED COMPLAINT.

Disclosure 3 of 6

Reporting Source: Individual
Employing firm when activities occurred which led to the complaint: SALOMON SMITH BARNEY
Allegations: THE CLIENT ALLEGED THAT SHE WAS PROMISED THAT HER ACCOUNT WOULD BE MANAGED AGGRESSIVELY AND THAT WAS NOT DONE. THE CLIENT ALSO ALLEGED THAT SHE WAS ASSURED THAT A STOCK WOULD NOT BE SOLD AND IT WAS. FEBRUARY 2000 THROUGH MARCH 2002.
Product Type: Equity Listed (Common & Preferred Stock)
Other Product Type(s): EQUITY-OTC.
Alleged Damages: \$55,681.48

Customer Complaint Information

Date Complaint Received: 03/01/2002
Complaint Pending? No
Status: Denied
Status Date: 04/18/2002
Settlement Amount:
Individual Contribution Amount:
Broker Statement THE CLIENT'S CLAIM WAS DENIED.

**Disclosure 4 of 6**

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: SMITH BARNEY

Allegations: CLIENT ALLEGED THAT THE OPTIONS AVAILABLE TO HER ON ANNUITY CONTACT HER HUSBAND OWNED BEFORE HIS DEATH IN 1998 WERE MISREPRESENTED.

Product Type: Other

Other Product Type(s): ANNUITY

Alleged Damages: \$5,000.00

Customer Complaint Information

Date Complaint Received: 07/19/1999

Complaint Pending? No

Status: Denied

Status Date: 09/24/1999

Settlement Amount:

Individual Contribution Amount:

Broker Statement THE CLIENT'S CLAIM WAS DENIED.

Disclosure 5 of 6

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: SALOMON SMITH BARNEY INC.

Allegations: CLIENT ALLEGED THAT THE PURCHASE OF AN ANNUITY WAS MISREPRESENTED. ALLEGED DAMAGES UNSPECIFIED
SMITH
BARNEY

Product Type:

Alleged Damages:

Customer Complaint Information

Date Complaint Received: 08/17/1998

Complaint Pending? No

Status: Settled

Status Date: 11/18/1998

Settlement Amount:

Individual Contribution Amount:

Broker Statement THE CLAIM WAS SETTLED FOR A TOTAL OF \$10,528 I.E., \$5,111 TO HUSBAND'S IRA AND \$5,417 TO WIFE'S IRA. BOTH



OF WHICH REPRESENT THE SURRENDER FEE CHARGED.
Not Provided

Disclosure 6 of 6

Reporting Source: Regulator

Employing firm when activities occurred which led to the complaint: SMITH BARNEY, HARRIS, UPHAM & CO.INC.

Allegations: ACCOUNT RELATED-NEGLIGENCE;
MISREPRESENTATION; ACCOUNT RELATED - FAILURE TO SUPERVISE;
ACCOUNT RELATED-BREACH OF CONTRACT

Product Type:

Alleged Damages: \$10,000.00

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: NASD - CASE #96-04254

Date Notice/Process Served: 10/08/1996

Arbitration Pending? No

Disposition: Other

Disposition Date: 05/06/1997

Disposition Detail: AWARD AGAINST PARTY
WHALEN IS J&S LIABLE FOR \$10,000.00

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Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: SMITH BARNEY, HARRIS, UPHAM & CO.INC.

Allegations: BREACH OF CONTRACT, BREACH OF DUTY, FRAUD,
STATUTORY VIOLATIONS. ALLEGED DAMAGES: \$10,000 PLUS INTEREST
AND ATTORNEYS FEES.

Product Type:

Alleged Damages: \$10,000.00

Customer Complaint Information

Date Complaint Received:

Complaint Pending? No

Status: Arbitration/Reparation

Status Date: 05/06/1997

Settlement Amount:

Individual Contribution Amount:

Arbitration Information



Arbitration/Reparation Claim filed with and Docket/Case No.:	NASD; 96-04254
Date Notice/Process Served:	10/08/1996
Arbitration Pending?	No
Disposition:	Award to Customer
Disposition Date:	05/06/1997
Monetary Compensation Amount:	\$10,150.00
Individual Contribution Amount:	
Broker Statement	SMITH BARNEY AND BARRY WHALEN WERE FOUND JOINTLY AND SEVERALLY LIABLE TO CLAIMANTS IN THE AMOUNT OF \$10,000 IN DAMAGES PLUS \$150.00 IN FORUM FEES. CONTACT: ANN PARRY-19TH FLOOR 212-816-8004.



End of Report

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