



IAPD Report

GLEN MICHAEL OCONNOR

CRD# 2499731

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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

GLEN MICHAEL OCONNOR (CRD# 2499731)

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 **09/30/2025**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	NEWEDGE SECURITIES, LLC	CRD# 10674	07/18/2025
IA	NEWEDGE ADVISORS	CRD# 171351	07/18/2025

QUALIFICATIONS

This representative is currently registered in **2** SRO(s) and **5** 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	PENSIONMARK SECURITIES, LLC	283952	Wexford, PA	09/01/2017 - 07/09/2025
IA	WORLD INVESTMENT ADVISORS, LLC	208512	WEXFORD, PA	09/17/2015 - 07/09/2025
B	CAPFINANCIAL SECURITIES, LLC.	126291	Wexford, PA	09/15/2015 - 09/01/2017

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	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 **5** jurisdiction(s) and 2 SRO(s) through his or her employer(s).

Employment 1 of 2

Firm Name: **NEWEDGE SECURITIES, LLC**
Main Address: 1251 WATERFRONT PLACE
SUITE 510
PITTSBURGH, PA 15222-6368
Firm ID#: 10674

	Regulator	Registration	Status	Date
B	FINRA	General Securities Principal	Approved	07/18/2025
B	FINRA	General Securities Representative	Approved	07/18/2025
B	FINRA	Municipal Fund	Approved	07/18/2025
B	Nasdaq Stock Market	General Securities Principal	Approved	07/18/2025
B	Nasdaq Stock Market	General Securities Representative	Approved	07/18/2025
B	New Jersey	Agent	Approved	07/18/2025
B	Ohio	Agent	Approved	07/18/2025
B	Pennsylvania	Agent	Approved	07/18/2025
B	Virginia	Agent	Approved	07/18/2025
B	West Virginia	Agent	Approved	07/18/2025

Branch Office Locations

1251 Waterfront Place, Suite 525
Pittsburgh, PA 15222

Employment 2 of 2



Qualifications

Firm Name: **NEWEDGE ADVISORS**
Main Address: 858 CAMP STREET
NEW ORLEANS, LA 70130
Firm ID#: 171351

	Regulator	Registration	Status	Date
IA	Pennsylvania	Investment Adviser Representative	Approved	07/18/2025

Branch Office Locations

NEWEDGE ADVISORS
1251 Waterfront Place, Suite 525
Pittsburgh, PA 15222



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

Principal/Supervisory Exams

	Exam	Category	Date
	Municipal Fund Securities Principal Examination (S51)	Series 51	10/01/2007
	General Securities Principal Examination (S24)	Series 24	03/18/2003

General Industry/Product Exams

	Exam	Category	Date
	Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
	General Securities Representative Examination (S7)	Series 7	06/21/1994

State Securities Law Exams

	Exam	Category	Date
	Uniform Investment Adviser Law Examination (S65)	Series 65	05/13/2015
	Uniform Securities Agent State Law Examination (S63)	Series 63	06/27/1994

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	09/01/2017 - 07/09/2025	PENSIONMARK SECURITIES, LLC	CRD# 283952	Wexford, PA
IA	09/17/2015 - 07/09/2025	WORLD INVESTMENT ADVISORS, LLC	CRD# 208512	WEXFORD, PA
B	09/15/2015 - 09/01/2017	CAPFINANCIAL SECURITIES, LLC.	CRD# 126291	Wexford, PA
IA	07/03/2014 - 09/28/2015	INDEPENDENT FINANCIAL PARTNERS	CRD# 125112	WEXFORD, PA
B	06/30/2014 - 09/24/2015	LPL FINANCIAL LLC	CRD# 6413	WEXFORD, PA
IA	03/09/2012 - 06/30/2014	NFP SECURITIES, INC.	CRD# 42046	WEXFORD, PA
B	02/25/2003 - 06/30/2014	NFP SECURITIES, INC.	CRD# 42046	WEXFORD, PA
IA	07/14/2003 - 11/23/2004	APB FINANCIAL GROUP LTD	CRD# 111284	WEXFORD, PA
B	06/16/2001 - 12/14/2001	PNC CAPITAL MARKETS, INC.	CRD# 15647	PITTSBURGH, PA
B	03/22/2001 - 06/16/2001	J.J.B. HILLIARD, W.L. LYONS, INC.	CRD# 453	LOUISVILLE, KY
B	06/22/1994 - 01/24/2001	AMERICAN EXPRESS FINANCIAL ADVISORS INC.	CRD# 6363	MINNEAPOLIS, MN
B	06/22/1994 - 01/24/2001	IDS LIFE INSURANCE COMPANY	CRD# 6321	MINNEAPOLIS, MN
B	12/20/1994 - 01/12/1995	AMERICAN EXPRESS SERVICE CORPORATION	CRD# 10518	MINNEAPOLIS, MN

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
07/2025 - Present	NewEdge Advisors	Registered Investment Representative	Y	New Orleans, LA, United States



Registration & Employment History



EMPLOYMENT HISTORY

Employment Dates	Employer Name	Position	Investment Related	Employer Location
07/2025 - Present	NewEdge Securities, LLC	Registered Representative	Y	Pittsburgh, PA, United States
09/2017 - 07/2025	PENSIONMARK SECURITIES, LLC	Registered Representative	Y	Wexford, PA, United States
09/2015 - 07/2025	PENSIONMARK FINANCIAL GROUP, LLC DBA/ AXIOS ADVISORY GROUP	INVESTMENT ADVISER	Y	SANTA BARBARA, CA, United States
02/2003 - 07/2025	AXIOS ADVISORY GROUP, LTD.	DIRECTOR OF INVESTMENTS	Y	WEXFORD, PA, United States
08/2015 - 09/2017	CAPFINANCIAL SECURITIES	REGISTERED REPRESENTATIVE	Y	RALEIGH, NC, 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) AXIOS ADVISORY GROUP LTD; INVESTMENT RELATED; 115 VIP DR, SUITE 120, WEXFORD, PA 15090; NON VARIABLE INSURANCE AND INVESTMENT ADVISORY; FINANCIAL ADVISOR/AGENT; 2/2003; 100 HRS MONTH; 90 HRS MONTH; INDIVIDUAL AND BUSINESS ADVISORY AND NON VARIABLE INSURANCE (2)AMERICAN PENSION BENEFITS; 115 VIP DRIVE, SUITE 120, WEXFORD, PA 15090; NON INVESTMENT RELATED; THIRD PARTY ADMINISTRATOR; ADVISOR; 1/2015; 10 HRS MONTH; 10 HRS MONTH

2.New Edge Advisors*Yes Invest*Pittsburgh, PA *Registered Investment Advisory*Trust Company*8/1/25*Investment Advisor*Advise and consult with clients and make investment recommendations.*15 Hrs trade/0 Non trade

3.American Trust Wealth* Yes Invest*Pittsburgh, PA *Lexington, KY *Trust Company - Advisory services*Trust Company*8/1/25*Investment Advisor*Advise and recommend investment options for clients. Solicit new clients*120 Hrs trade/0 Non trade



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	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 1

Reporting Source: Firm

Employing firm when activities occurred which led to the complaint: AMERICAN EXPRESS FINANCIAL ADVISORS

Allegations: THE CLIENT ALLEGES THE ADVISOR SOLD THEM A VUL IN JUNE OF 2000 THAT WAS NOT SUITABLE FOR THIER GOALS. THE ADVISOR ALSO FAILED TO CONDSIDER THE CLIENT'S CURRENT TAX SITUATION BEFORE RECOMMENDING THAT ALL FUNDS BE PLACED IN A BROKERAGE ACCOUNT. THE CLIENT ALSO ALLEGES HE NEVER RECEIVED THE FINANCIAL PLAN HE PAID FOR AND THE SIGNATURE ON A FINANCIAL PLAN DELIVERY RECEIPT IS NOT HIS.

Product Type: Other

Other Product Type(s): VUL, FINANCIAL PLAN, BROKERAGE ACCOUNT

Alleged Damages: \$5,311.00

Customer Complaint Information

Date Complaint Received: 06/17/2003

Complaint Pending? No

Status: Denied

Status Date: 07/25/2003

Settlement Amount:

Individual Contribution Amount:

**Firm Statement**

THE ADVISOR RECOMMENDED THE CLIENTS SEEK THE ADVICE OF A TAX PROFESSIONAL TO LEARN OF THEIR CURRENT TAX SITUATION. THE VUL WAS SUITABLE FOR THE CLIENTS, BUT THE CLIENTS FAILED TO FUND IT AS ORIGINALLY PLANNED.

Reporting Source:

Individual

Employing firm when activities occurred which led to the complaint:

AMERICAN EXPRESS FINANCIAL ADVISORS

Allegations:

THE CLIENT ALLEGES THE ADVISOR SOLD THEM A VUL IN JUNE OF 2000 THAT WAS NOT SUITABLE FOR THEIR GOALS. THE ADVISOR ALSO FAILED TO CONSIDER THE CLIENT'S CURRENT TAX SITUATION BEFORE RECOMMENDING THAT ALL FUNDS BE PLACED IN A BROKERAGE ACCOUNT. THE CLIENT ALSO ALLEGES HE NEVER RECEIVED THE FINANCIAL PLAN HE PAID FOR AND THE SIGNATURE ON A FINANCIAL PLAN DELIVERY RECEIPT IS NOT HIS.

Product Type:

Other

Other Product Type(s):

VUL, FINANCIAL PLAN, BROKERAGE ACCOUNT

Alleged Damages:

\$5,311.00

Customer Complaint Information**Date Complaint Received:**

06/17/2003

Complaint Pending?

No

Status:

Denied

Status Date:

07/25/2003

Settlement Amount:**Individual Contribution Amount:****Broker Statement**

THE ADVISOR RECOMMENDED THE CLIENTS SEEK THE ADVICE OF A TAX PROFESSIONAL TO LEARN OF THEIR CURRENT TAX SITUATION. THE VUL WAS SUITABLE FOR THE CLIENTS, BUT THE CLIENTS FAILED TO FUND IT AS ORIGINALLY PLANNED.



End of Report

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