



IAPD Report

JAMES EDWARD PINZKER

CRD# 2525439

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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

JAMES EDWARD PINZKER (CRD# 2525439)

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 **01/14/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
IA	A.G.P / ALLIANCE GLOBAL PARTNERS	CRD# 8361	04/16/2024
B	A.G.P. / ALLIANCE GLOBAL PARTNERS	CRD# 8361	04/16/2024

QUALIFICATIONS

This representative is currently registered in **2** SRO(s) and **25** 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	B. RILEY WEALTH MANAGEMENT	2543	Charlotte, NC	07/22/2022 - 04/18/2024
IA	B. RILEY WEALTH ADVISORS, INC.	115927	CHARLOTTE, NC	12/16/2015 - 04/18/2024
B	NATIONAL SECURITIES CORPORATION	7569	CHARLOTTE, NC	12/11/2015 - 07/22/2022

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	3



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 **25** jurisdiction(s) and 2 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	04/16/2024
B	Nasdaq Stock Market	General Securities Representative	Approved	04/16/2024
B	Alabama	Agent	Approved	04/23/2024
B	Arizona	Agent	Approved	04/16/2024
IA	Arizona	Investment Adviser Representative	Approved	09/17/2024
B	California	Agent	Approved	04/16/2024
IA	California	Investment Adviser Representative	Approved	09/05/2024
B	Colorado	Agent	Approved	04/16/2024
B	Connecticut	Agent	Approved	04/16/2024
B	Delaware	Agent	Approved	04/16/2024
B	Florida	Agent	Approved	04/22/2024
IA	Florida	Investment Adviser Representative	Approved	09/06/2024
B	Georgia	Agent	Approved	04/16/2024



Qualifications

Regulator	Registration	Status	Date
B Illinois	Agent	Approved	04/22/2024
IA Illinois	Investment Adviser Representative	Approved	04/22/2024
B Indiana	Agent	Approved	04/17/2024
B Iowa	Agent	Approved	04/16/2024
B Kentucky	Agent	Approved	01/14/2026
B Maryland	Agent	Approved	04/16/2024
B Massachusetts	Agent	Approved	04/30/2024
B Michigan	Agent	Approved	04/16/2024
B Nebraska	Agent	Approved	04/16/2024
B Nevada	Agent	Approved	04/16/2024
B New Jersey	Agent	Approved	04/16/2024
B New York	Agent	Approved	04/16/2024
IA New York	Investment Adviser Representative	Approved	09/05/2024
B North Carolina	Agent	Approved	04/16/2024
IA North Carolina	Investment Adviser Representative	Approved	04/16/2024
B Ohio	Agent	Approved	04/16/2024
IA Ohio	Investment Adviser Representative	Approved	06/20/2025
B Oregon	Agent	Approved	04/16/2024
B Pennsylvania	Agent	Approved	04/16/2024



Qualifications

Regulator	Registration	Status	Date
B South Carolina	Agent	Approved	04/16/2024
IA South Carolina	Investment Adviser Representative	Approved	04/16/2024
B Virginia	Agent	Approved	04/16/2024

Branch Office Locations

A.G.P / ALLIANCE GLOBAL PARTNERS

700 East Blvd
Unit 3
Charlotte, NC 28203



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, 3 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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Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
Futures Managed Funds Examination (S31)	Series 31	11/01/1999
General Securities Representative Examination (S7)	Series 7	10/05/1994

State Securities Law Exams

Exam	Category	Date
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Uniform Securities Agent State Law Examination (S63)	Series 63	11/16/1994
Uniform Investment Adviser Law Examination (S65)	Series 65	11/09/1994

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	07/22/2022 - 04/18/2024	B. RILEY WEALTH MANAGEMENT	CRD# 2543	Charlotte, NC
IA	12/16/2015 - 04/18/2024	B. RILEY WEALTH ADVISORS, INC.	CRD# 115927	CHARLOTTE, NC
B	12/11/2015 - 07/22/2022	NATIONAL SECURITIES CORPORATION	CRD# 7569	CHARLOTTE, NC
B	04/19/2012 - 12/16/2015	OPPENHEIMER & CO. INC.	CRD# 249	CHICAGO, IL
IA	04/19/2012 - 12/16/2015	OPPENHEIMER & CO. INC.	CRD# 249	CHICAGO, IL
B	04/13/2006 - 04/27/2012	UBS FINANCIAL SERVICES INC.	CRD# 8174	CHICAGO, IL
IA	04/13/2006 - 04/27/2012	UBS FINANCIAL SERVICES INC.	CRD# 8174	CHICAGO, IL
IA	03/25/1999 - 04/25/2006	CITIGROUP GLOBAL MARKETS INC.	CRD# 7059	CHICAGO, IL
B	12/11/1998 - 04/25/2006	CITIGROUP GLOBAL MARKETS INC.	CRD# 7059	CHICAGO, IL
B	10/10/1994 - 12/15/1998	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	CRD# 7691	NEW YORK, NY

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
04/2024 - Present	Alliance Global Partners	Registered Representative	Y	Charlotte, NC, United States
07/2022 - 04/2024	B. RILEY WEALTH MANAGEMENT	Mass Transfer	Y	CHARLOTTE, NC, United States
12/2015 - 04/2024	B. RILEY WEALTH ADVISORS	REGISTERED ADVISOR	Y	CHICHAGO, IL, United States
12/2015 - 07/2022	NATIONAL SECURITIES CORPORATION	REGISTERED REPRESENTATIVE	Y	CHICAGO, IL, 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) ROWDYDOW BBQ; NON INVESTMENT-RELATED; BBQ SALES; START DATE 2010; PASSIVE INVESTOR; CHICAGO, IL; 0 HRS/MONTH, 0 DURING TRADING HOURS....
- (2) SAMBALATTE; NON INVESTMENT-RELATED; COFFEE SHOP; START DATE 2018; PASSIVE INVESTOR; LAS VEGAS, NV; 0 HRS/MONTH, 0 DURING TRADING HOURS....
- (3) PINZKER AND ASSOCIATES LLC, 700 EAST BLVD. UNIT 3 CHARLOTTE NC 28203, DBA,OWNER,04/01/2024, ZERO HOURS, DBA SET UP TO DO BUSINESS IN TITLE ONLY



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	3

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 3

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	OPPENHEIMER & CO. INC.
Allegations:	AUTHORIZED PARTY TO THE ACCOUNT ALLEGED THAT A PURCHASE MADE O 12/31/14 WAS MISREPRESENTED
Product Type:	Unit Investment Trust
Alleged Damages:	\$14,500.00
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:	01/12/2015
Complaint Pending?	No
Status:	Denied
Status Date:	03/11/2015

Settlement Amount:

Individual Contribution Amount:

Broker Statement I STRONGLY DENY ALL ALLEGATIONS BROUGHT AGAINST ME. THE CLIENT



RECEIVED AND CONFIRMED READING THE FUND FACT SHEET PRIOR TO ENTERING THE ORDER. IN REVIEWING THE FACT SHEET WITH THE CLIENT, I CONFIRMED WITH MY CLIENT THE SYMBOL FEES, AND ALL BREAKPOINTS INCLUDING PURCHASE AT NAV PRIOR TO PLACING THE ORDER. I BELIEVE THAT THE TRANSACTION WAS SUITABLE AND OF A SIZE THAT WAS NOT UNPRECEDENTED AND IN AN INVESTMENT VEHICLE (UIT) THAT THE CLIENT HAD PREVIOUSLY INVESTED IN WITH ME,

Disclosure 2 of 3

Reporting Source: Firm
Employing firm when activities occurred which led to the complaint: UBS FINANCIAL SERVICES, INC.

Allegations: CLIENT ALLEGES HE ADVISED HIS FINANCIAL ADVISOR NOT TO BUY BONDS IN ACCOUNT. HOWEVER, CLIENT STATES HE WAS IGNORED AND BONDS WERE PURCHASED WITHOUT HIS AUTHORIZATION. THE ALLEGED DAMAGES ARE ESTIMATED TO BE IN EXCESS OF \$5,000.00.

TIME FRAME: AUGUST 28, 2007 - APRIL 11, 2012.

Product Type: Other: DEBT - CORPORATE (NOT ASSET-BACKED, INCLUDES CONV, CORP, ZEROS)

Alleged Damages: \$5,000.00

Alleged Damages Amount Explanation (if amount not exact): ESTIMATED TO BE IN EXCESS OF \$5,000.00.

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: 04/13/2012

Complaint Pending? No

Status: Denied

Status Date: 06/13/2012

Settlement Amount:

Individual Contribution Amount:

Reporting Source: Individual

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

Allegations: CLIENT ALLEGES HE ADVISED HIS FINANCIAL ADVISOR NOT TO BUY BONDS IN ACCOUNT. HOWEVER, CLIENT STATES HE WAS IGNORED AND BONDS WERE PURCHASED WITHOUT HIS AUTHORIZATION. THE ALLEGED DAMAGES ARE ESTIMATED TO BE IN EXCESS OR \$5000.00 TIME FRAMEL



AUGUST 28, 2007 - APRIL 11, 2012.

Product Type: Other: CORPORATE BONDS**Alleged Damages:** \$5,000.00**Alleged Damages Amount Explanation (if amount not exact):** ESTIMATED TO BE IN EXCESS OF \$5000.00.**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:** 04/13/2012**Complaint Pending?** No**Status:** Denied**Status Date:** 06/13/2012**Settlement Amount:****Individual Contribution Amount:****Disclosure 3 of 3****Reporting Source:** Individual**Employing firm when activities occurred which led to the complaint:** UBS FINANCIAL SERVICES INC.,**Allegations:** CLAIMANT ALLEGES OVER-CONCENTRATION IN OIL AND GAS FAILURE TO EXECUTE STOP LOSS ORDERS.**Product Type:** Other: STOCKS**Alleged Damages:** \$43,000.00**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 #:** 09-0574**Filing date of arbitration/CFTC reparation or civil litigation:** 09/10/2009**Customer Complaint Information****Date Complaint Received:** 09/10/2009**Complaint Pending?** No



Status:	Settled
Status Date:	01/06/2010
Settlement Amount:	\$11,500.00
Individual Contribution Amount:	\$0.00
Broker Statement	THE FINANCIAL ADVISOR BELIEVE THE CLAIMANT'S ALLEGATIONS TO BE COMPLETELY WITHOUT MERIT AND HAVE DENIED HIS CLAIMS IN ALL RESPECTS. THE MARKET LOSSES WHICH HE NOW COMPLAINS OF WERE PRIMARILY DUE TO A SINGLE POSITION WHICH WAS THE CLAIMANT'S IDEA AND WHICH HE INSISTED THAT I PURCHASE FOR HIS ACCOUNT



End of Report

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