



## IAPD Report

# CHARLES DOUGLAS HARTLEY

CRD# 2658276

<b><u>Section Title</u></b>	<b><u>Page(s)</u></b>
Report Summary	1
Qualifications	2 - 5
Registration and Employment History	6 - 7
Disclosure Information	8



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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

### CHARLES DOUGLAS HARTLEY (CRD# 2658276)

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 **11/19/2025**.

### CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
IA	A.G.P / ALLIANCE GLOBAL PARTNERS	CRD# 8361	02/27/2024
B	A.G.P. / ALLIANCE GLOBAL PARTNERS	CRD# 8361	02/27/2024

### QUALIFICATIONS

This representative is currently registered in **2** SRO(s) and **28** 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	B. RILEY WEALTH ADVISORS, INC.	115927	Washington, DC	08/22/2022 - 03/04/2024
B	B. RILEY WEALTH MANAGEMENT	2543	Washington, DC	10/09/2020 - 03/04/2024
IA	B RILEY WEALTH MANAGEMENT	2543	Washington, DC	10/09/2020 - 12/31/2022

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	1
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 **28** 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
 FINRA	General Securities Principal	Approved	02/27/2024
 FINRA	General Securities Representative	Approved	02/27/2024
 Nasdaq Stock Market	General Securities Principal	Approved	02/27/2024
 Nasdaq Stock Market	General Securities Representative	Approved	02/27/2024
 Arizona	Agent	Approved	05/14/2024
 California	Agent	Approved	02/27/2024
 Colorado	Agent	Approved	04/11/2024
 Connecticut	Agent	Approved	02/27/2024
 District of Columbia	Agent	Approved	02/27/2024
 District of Columbia	Investment Adviser Representative	Approved	04/17/2024
 Florida	Agent	Approved	02/27/2024
 Georgia	Agent	Approved	02/27/2024
 Hawaii	Agent	Approved	07/01/2025



## Qualifications

Regulator	Registration	Status	Date
B Indiana	Agent	Approved	04/11/2024
B Maryland	Agent	Approved	02/27/2024
B Massachusetts	Agent	Approved	07/28/2025
B Michigan	Agent	Approved	03/19/2024
B Nevada	Agent	Approved	11/19/2025
B New Hampshire	Agent	Approved	02/27/2024
B New Jersey	Agent	Approved	02/27/2024
B New Mexico	Agent	Approved	02/27/2024
B New York	Agent	Approved	02/27/2024
B North Carolina	Agent	Approved	09/26/2025
B Ohio	Agent	Approved	02/27/2024
B Oklahoma	Agent	Approved	04/23/2024
B Oregon	Agent	Approved	04/17/2024
B Pennsylvania	Agent	Approved	02/27/2024
B Rhode Island	Agent	Approved	09/30/2025
B South Carolina	Agent	Approved	02/27/2024
B Texas	Agent	Approved	04/22/2024
IA Texas	Investment Adviser Representative	Restricted Approval	02/27/2024



## Qualifications

Regulator	Registration	Status	Date
B Virginia	Agent	Approved	04/11/2024
B Washington	Agent	Approved	02/27/2024
B Wisconsin	Agent	Approved	04/17/2024

## Branch Office Locations

**A.G.P / ALLIANCE GLOBAL PARTNERS**

1701 Pennsylvania Ave  
Suite 216  
Washington, DC 20006

**A.G.P / ALLIANCE GLOBAL PARTNERS**

1701 Pennsylvania Ave  
Suite 220  
Washington, DC 20006



## 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 2 state securities law exams.**

#### Principal/Supervisory Exams

Exam	Category	Date
 General Securities Principal Examination (S24)	Series 24	02/25/2005

#### General Industry/Product Exams

Exam	Category	Date
 Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
 General Securities Representative Examination (S7)	Series 7	10/04/1995

#### State Securities Law Exams

Exam	Category	Date
 Uniform Investment Adviser Law Examination (S65)	Series 65	11/09/1995
 Uniform Securities Agent State Law Examination (S63)	Series 63	10/16/1995

### 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	08/22/2022 - 03/04/2024	B. RILEY WEALTH ADVISORS, INC.	CRD# 115927	Washington, DC
B	10/09/2020 - 03/04/2024	B. RILEY WEALTH MANAGEMENT	CRD# 2543	Washington, DC
IA	10/09/2020 - 12/31/2022	B RILEY WEALTH MANAGEMENT	CRD# 2543	Washington, DC
B	02/01/2013 - 10/13/2020	WELLS FARGO ADVISORS FINANCIAL NETWORK, LLC	CRD# 11025	WASHINGTON, DC
IA	02/01/2013 - 10/13/2020	WELLS FARGO ADVISORS FINANCIAL NETWORK, LLC	CRD# 11025	WASHINGTON, DC
IA	01/02/2009 - 02/04/2013	RAYMOND JAMES FINANCIAL SERVICES ADVISORS, INC	CRD# 149018	SAN FRANCISCO, CA
B	04/17/2002 - 02/04/2013	RAYMOND JAMES FINANCIAL SERVICES, INC.	CRD# 6694	SAN FRANCISCO, CA
IA	05/01/2002 - 01/02/2009	RAYMOND JAMES FINANCIAL SERVICES	CRD# 6694	SAN FRANCISCO, CA
B	01/28/1999 - 12/14/2000	ROBERTSON STEPHENS, INC.	CRD# 41271	SAN FRANCISCO, CA
B	06/20/1997 - 02/12/1999	BEAR, STEARNS & CO. INC.	CRD# 79	NEW YORK, NY
B	08/08/1996 - 06/27/1997	MONTGOMERY SECURITIES	CRD# 4357	SAN FRANCISCO, 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
02/2024 - Present	Alliance Global Partners	Registered Rep	Y	Washington, DC, United States
07/2022 - 02/2024	B. RILEY WEALTH ADVISORS, INC.	Financial Advisor	Y	Memphis, TN, United States
10/2020 - 02/2024	B. Riley Wealth Management	Financial Advisor	Y	Memphis, TN, United States
02/2013 - 10/2020	WELLS FARGO ADVISORS FINANCIAL NETWORK, LLC	REGISTERED REP	Y	WASHINGTON, DC, 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)HARTLEY LLC; NON INVESTMENT RELATED; 3 POKANOKET LN S DARTMOUTH MA 02748; PARTNER; RENTAL PROPERTY CO OWNED WITH BROTHER; START DATE 2004; 1 HR/WEEK DEVOTED DURING SECURITIES TRADING HRS



## 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
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 1

<b>Reporting Source:</b>	Individual
<b>Employing firm when activities occurred which led to the complaint:</b>	B. RILEY WEALTH MANAGEMENT
<b>Allegations:</b>	Misunderstanding of asset allocation during pandemic volatility
<b>Product Type:</b>	Equity Listed (Common & Preferred Stock)
<b>Alleged Damages:</b>	\$2,600,000.00

### Arbitration Information

<b>Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.):</b>	FINRA
<b>Docket/Case #:</b>	23-03203
<b>Date Notice/Process Served:</b>	12/04/2023
<b>Arbitration Pending?</b>	No
<b>Disposition:</b>	Settled
<b>Disposition Date:</b>	04/21/2025
<b>Monetary Compensation Amount:</b>	\$1,750,000.00
<b>Individual Contribution Amount:</b>	\$0.00

**Broker Statement**

This client is ultra-high net worth. He consistently performed well. In 2019 alone, his combined accounts made profits exceeding +\$2 million. I was not involved. I did not pay any part of the settlement. Not one penny. Moreover, the client admitted in writing that I never managed any of his accounts or picked any of his securities. This settlement involved the broker-dealer and my business partner. Not me. I had nothing to do with it. I never managed money for this client in any way at any time.



## 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:** Firm  
**Firm Name:** B. RILEY WEALTH MANAGEMENT  
**Termination Type:** Discharged  
**Termination Date:** 02/21/2024  
**Allegations:** Failure to communicate with clients in a firm-approved manner, failed to maintain books and records for a period of time, failure to timely report a customer complaint, submitted incorrect information in compliance questionnaires.  
**Product Type:** No Product

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**Reporting Source:** Individual  
**Firm Name:** B. RILEY WEALTHMANAGEMENT  
**Termination Type:** Discharged  
**Termination Date:** 02/21/2024  
**Allegations:** Failure to communicate with clients in a firm-approved manner, failed to maintain books and records for a period of time, failure to timely report a customer complaint, submitted incorrect information in compliance questionnaires  
**Product Type:** No Product  
**Broker Statement** Charles Hartley was in the process of resigning due to turmoil at B Riley. He and his business partner were already interviewing with other firms. But before they could submit their official resignations, B Riley terminated them.



## End of Report

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