



IAPD Report

CHARLES NELSON DINKLAGE

CRD# 2674824

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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

CHARLES NELSON DINKLAGE (CRD# 2674824)

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 **12/18/2025**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	EQUITABLE ADVISORS, LLC	CRD# 6627	12/04/1995
IA	EQUITABLE ADVISORS, LLC	CRD# 6627	07/05/2002

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **20** 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	PROGRESS FINANCIAL ADVISORS	119114	PHILADELPHIA, PA	08/09/2001 - 11/12/2002
B	THE EQUITABLE LIFE ASSURANCE SOCIETY OF THE UNITED STATES	4039	NEW YORK, NY	12/04/1995 - 01/05/2000
B	AMERICAN EXPRESS FINANCIAL ADVISORS INC.	6363	MINNEAPOLIS, MN	10/30/1995 - 10/31/1995

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
Regulatory Event	2
Customer Dispute	2



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 **20** jurisdiction(s) and 1 SRO(s) through his or her employer(s).

Employment 1 of 1

Firm Name: **EQUITABLE ADVISORS, LLC**
Main Address: 1345 AVENUE OF THE AMERICAS
NEW YORK, NY 10105
Firm ID#: 6627

	Regulator	Registration	Status	Date
B	FINRA	General Securities Representative	Approved	12/04/1995
B	Arizona	Agent	Approved	05/22/2014
B	California	Agent	Approved	02/19/2002
B	Connecticut	Agent	Approved	10/29/2010
B	Delaware	Agent	Approved	01/04/2022
B	District of Columbia	Agent	Approved	11/17/2023
B	Florida	Agent	Approved	02/19/2002
B	Georgia	Agent	Approved	04/09/2009
B	Maine	Agent	Approved	10/05/2021
B	Maryland	Agent	Approved	06/29/2015
B	Massachusetts	Agent	Approved	10/31/2014
B	New Hampshire	Agent	Approved	06/27/2013
B	New Jersey	Agent	Approved	01/14/2000



Qualifications

Regulator	Registration	Status	Date
B New York	Agent	Approved	10/06/2004
B North Carolina	Agent	Approved	06/22/2015
B Pennsylvania	Agent	Approved	12/14/1995
B Tennessee	Agent	Approved	09/17/2019
B Texas	Agent	Approved	08/12/2015
IA Texas	Investment Adviser Representative	Restricted Approval	10/12/2015
B Vermont	Agent	Approved	07/19/1996
IA Vermont	Investment Adviser Representative	Approved	12/05/2002
B Virginia	Agent	Approved	01/22/2015
B Washington	Agent	Approved	12/19/2016

Branch Office Locations

EQUITABLE ADVISORS, LLC
126 COLLEGE STREET
SUITE 350
BURLINGTON, VT 05401



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 3 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
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General Securities Representative Examination (S7)	Series 7	10/25/1995
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State Securities Law Exams

Exam	Category	Date
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Uniform Combined State Law Examination (S66)	Series 66	01/07/2002
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Uniform Investment Adviser Law Examination (S65)	Series 65	06/30/1999
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Uniform Securities Agent State Law Examination (S63)	Series 63	12/13/1995
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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	08/09/2001 - 11/12/2002	PROGRESS FINANCIAL ADVISORS	CRD# 119114	PHILADELPHIA, PA
B	12/04/1995 - 01/05/2000	THE EQUITABLE LIFE ASSURANCE SOCIETY OF THE UNITED STATES	CRD# 4039	NEW YORK, NY
B	10/30/1995 - 10/31/1995	AMERICAN EXPRESS FINANCIAL ADVISORS INC.	CRD# 6363	MINNEAPOLIS, MN
B	10/30/1995 - 10/31/1995	IDS LIFE INSURANCE COMPANY	CRD# 6321	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
11/1995 - Present	EQUITABLE ADVISORS, LLC	REGISTERED REPRESENTATIVE	Y	NEW YORK, NY, United States
11/1995 - 06/2020	AXA ADVISORS, LLC,	REGISTERED REPRESENTATIVE	Y	NEW YORK, NY, 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) Rental property - Owner - Smugglers Notch Condo - 01/2013 - 4 hrs/mth. 2) POA Father. 3) POA Mother.



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
Regulatory Event	2
Customer Dispute	2

Regulatory Event

This disclosure event may include a final, formal proceeding initiated by a regulatory authority (e.g., a state securities agency, a federal regulator such as the Securities and Exchange Commission or the Commodities Futures Trading Commission, or a foreign financial regulatory body) for a violation of investment-related rules or regulations. This disclosure event may also include a revocation or suspension of an Investment Adviser Representative's authority to act as an attorney, accountant or federal contractor.

Disclosure 1 of 2

Reporting Source:	Individual
Regulatory Action Initiated By:	GEORGIA INSURANCE DEPARTMENT
Sanction(s) Sought:	Other
Other Sanction(s) Sought:	PROBATION
Date Initiated:	05/30/2003
Docket/Case Number:	2003-218
Employing firm when activity occurred which led to the regulatory action:	EQUITABLE LIFE
Product Type:	No Product
Other Product Type(s):	
Allegations:	I FILED AN APPLICATION FOR A NON-RESIDENT INSURANCE LICENSE IN GEORGIA ON OR ABOUT MARCH 10, 2003. I ANSWERED YES TO THE QUESTION REGARDING DISCIPLINARY ACTION. UNDER GEORGIA LAW, AN APPLICANT FOR LICENSURE WITH A DISCIPLINARY ACTION CONSTITUTES GROUNDS FOR REFUSAL OF THE APPLICATION. HOWEVER, THE COMMISSINER HAS DECIDED TO ISSUE THE GEORGIA INSURANCE LICENSE ON A PROBATIONARY STATUS. THE PERIOD OF PROBATION IS TWELVE (12) MONTHS, COMMENCING ON THE DATE OF THE GEORGIA CONSENT ORDER WAS SIGNED BY THE COMMISSIONER.
Current Status:	Final
Resolution:	Consent



Resolution Date:	05/30/2003
Sanctions Ordered:	
Other Sanctions Ordered:	INSURANCE LICENSE WAS ISSUED ON A PROBATIONARY BASIS FOR A PERIOD OF TWELVE (12) MONTHS COMMENCING FROM THE DATE THE COMMISSIONER SIGNED THE CONSENT ORDER.
Sanction Details:	THE COMMISSINER HAS DECIDED TO ISSUE THE GEORGIA INSURANCE LICENSE ON A PROBATIONARY STATUS. THE PERIOD OF PROBATION IS TWELVE (12) MONTHS, COMMENCING ON THE DATE OF THE GEORGIA CONSENT ORDER WAS SIGNED BY THE COMMISSIONER.
Broker Statement	I FILED AN APPLICATION FOR A NON-RESIDENT INSURANCE LICENSE IN GEORGIA ON OR ABOUT MARCH 10, 2003. I ANSWERED YES TO THE QUESTION REGARDING DISCIPLINARY ACTION. UNDER GEORGIA LAW, AN APPLICANT FOR LICENSURE WITH A DISCIPLINARY ACTION CONSTITUTES GROUNDS FOR REFUSAL OF THE APPLICATION. HOWEVER, THE COMMISSINER HAS DECIDED TO ISSUE THE GEORGIA INSURANCE LICENSE ON A PROBATIONARY STATUS. THE PERIOD OF PROBATION IS TWELVE (12) MONTHS, COMMENCING ON THE DATE OF THE GEORGIA CONSENT ORDER WAS SIGNED BY THE COMMISSIONER.
Disclosure 2 of 2	
Reporting Source:	Regulator
Regulatory Action Initiated By:	VERMONT SECURITIES DIVISION
Sanction(s) Sought:	Civil and Administrative Penalt(ies) /Fine(s)
Other Sanction(s) Sought:	REQUIRED TO WITHDRAW APPLICATION FOR INVESTMENT ADVISER REPRESENTATIVE REGISTRATION, CANNOT REAPPLY FOR A PERIOD OF 45 DAYS.
Date Initiated:	01/30/2002
Docket/Case Number:	DOCKET NO. 02-047-S
Employing firm when activity occurred which led to the regulatory action:	AXA ADVISORS, LLC AND PROGRESS FINANCIAL RESOURCES, INC.
Product Type:	No Product
Other Product Type(s):	THE FIRM IS AN INVESTMENT ADVISER.
Allegations:	DINKLAGE CONDUCTED BUSINESS AS AN UNREGISTERED INVESTMENT ADVISER REPRESENTATIVE IN VIOLATION OF 9 V.S.A. SECTION 4213(F) OF THE SECURITIES ACT. DINKLAGE ALSO MADE FALSE/MISLEADING STATEMENTS WITH RESPECT TO MATERIAL FACTS, IN VIOLATION OF 9 V.S.A. SECTION 4221A(A)(1) OF THE SECURITIES ACT. ON HIS FORM U-4, AND ITS AMENDMENT, WHICH WAS FILED WITH THE DIVISION, DINKLAGE ANSWERED THAT HE HAD NO CONSUMER COMPLAINTS MADE AGAINST HIM WITH RESPECT TO SALES PRACTICE VIOLATIONS, WHEN IN FACT THERE WAS SUCH A COMPLAINT FILED BY A PENNSYLVANIA CLIENT. DINKLAGE WAS FULLY AWARE OF THE COMPLAINT, AS EVIDENCED BY A WRITTEN RESPONSE DINKLAGE WROTE TO AXA ADVISORS' COMPLIANCE DEPARTMENT BEFORE ANSWERING ITEM 23I(3)(A) OF THE FORM U-4. THE WRITTEN COMPLAINT WAS FILED AGAINST DINKLAGE ON AUGUST 8, 2001; ON AUGUST 22, 2001, DINKLAGE PROVIDED HIS WRITTEN RESPONSE TO AXA ADVISORS; AND ON AUGUST 27, 2001, JUST FIVE DAYS LATER,



DINKLAGE RESPONDED "NO" ON ITEM 23I(3)(A) OF FORM U-4. ITEM 23I(3)(A) ASKS WHETHER THE INDIVIDUAL HAS BEEN "THE SUBJECT OF AN INVESTMENT-RELATED, CONSUMER-INITIATED, WRITTEN COMPLAINT...WHICH ALLEGED...SALES PRACTICE VIOLATIONS?"

Current Status: Final

Resolution: Consent

Resolution Date: 09/25/2002

Sanctions Ordered: Disgorgement/Restitution
Monetary/Fine \$8,000.00

Other Sanctions Ordered: DINKLAGE WAS ALSO REQUIRED TO WITHDRAW HIS APPLICATION FOR REGISTRATION AS AN INVESTMENT ADVISER REPRESENTATIVE, EFFECTIVE SEPTEMBER 25, 2002 (THE EFFECTIVE DATE OF THE CONSENT ORDER), AND MAY NOT REAPPLY FOR A PERIOD OF FORTY-FIVE (45) AFTER SEPTEMBER 25, 2002.

Sanction Details: TOTAL DISGORGEMENT WAS \$1,708.00. SEE ABOVE FOR OTHER DETAILS.

Regulator Statement DETAILS ARE ABOVE. A COPY OF THE ORDER IMPOSING ADMINISTRATIVE SANCTIONS AND CONSENT TO SAME IS AVAILABLE FROM THE VERMONT SECURITIES DIVISION.

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Reporting Source: Individual

Regulatory Action Initiated By: VERMONT SECURITIES DIVISION

Sanction(s) Sought: Civil and Administrative Penalt(ies) /Fine(s)

Other Sanction(s) Sought: REQUIRED TO WITHDRAW APPLICATION FOR INVESTMENT ADVISER REPRESENTATIVE REGISTRATION; CANNOT REAPPLY FOR A PERIOD OF 45 DAYS.

Date Initiated: 01/30/2002

Docket/Case Number: 02-047-S

Employing firm when activity occurred which led to the regulatory action: AXA ADVISORS, LLC AND PROGRESS FINANCIAL RESOURCES, INC.

Product Type: No Product

Other Product Type(s): THE FIRM IS AN INVESTMENT ADVISER.

Allegations: VERMONT ALLEGED THAT I CONDUCTED BUSINESS AS AN UNREGISTERED INVESTMENT ADVISER REPRESENTATIVE IN VIOLATION OF 9 V.S.A. SECTION 4213(F) OF THE SECURITIES ACT. ALSO ALLEGED THAT I MADE FALSE/MISLEADING STATEMENTS WITH RESPECT TO MATERIAL FACTS IN VIOLATION OF 9 V.S.A. SECTION 4221A(A)(1) OF THE SECURITIES ACT.

Current Status: Final

Resolution: Consent

Resolution Date: 09/25/2002

Sanctions Ordered: Disgorgement/Restitution
Monetary/Fine \$8,000.00

Other Sanctions Ordered: I WAS ALSO REQUIRED TO WITHDRAW MY APPLICATION FOR REGISTRATION AS AN INVESTMENT ADVISER REPRESENTATIVE,



EFFECTIVE SEPTEMBER 25, 2002 (THE EFFECTIVE DATE OF THE CONSENT ORDER), AND MAY NOT REAPPLY FOR A PERIOD OF FORTY-FIVE (45) DAYS AFTER SEPTEMBER 25, 2002.

Sanction Details:

TOTAL DISGORGEMENT WAS \$1,708.00. SEE ABOVE FOR DETAILS.

Broker Statement

DETAILS ARE ABOVE. A COPY OF THE ORDER IMPOSING ADMINISTRATIVE SANCTIONS AND CONSENT TO SAME IS AVAILABLE FROM THE VERMONT SECURITIES DIVISION.



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

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: AXA ADVISORS

Allegations: CLIENT ALLEGED THAT THE AGENT, OVER THE PAST 7 YEARS, TOLD HIM THAT THE MONEY EARNED ON A 1997 VARIABLE ANNUITY POLICY, AT 6% COMPOUNDED, WAS HIS TO SPEND. CLIENT STATED THAT HE FEELS BETRAYED AND THAT THE AGENT SOLD HIM A BILL OF GOODS; PROBABLY OUT OF A LACK OF KNOWLEDGE AT THE TIME. DAMAGES ARE UNSPECIFIED.

Product Type: Annuity(ies) - Variable

Alleged Damages: \$0.00

Customer Complaint Information

Date Complaint Received: 01/10/2005

Complaint Pending? No

Status: Withdrawn

Status Date: 01/19/2005

Settlement Amount:

Individual Contribution Amount:

Broker Statement THE CUSTOMER WITHDREW HIS COMPLAINT STATING THAT HIS COMPLAINT WAS THE RESULT OF A MISUNDERSTANDING WHICH HAS BEEN CLARIFIED TO HIS SATISFACTION.

Disclosure 2 of 2

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: AXA ADVISORS, LLC

Allegations: COUNSEL FOR OUR CUSTOMERS ALLEGES THAT I MADE RECOMMENDATIONS IN THE FINANCIAL PLAN I PREPARED FOR THE CUSTOMERS TO SELL INVESTMENTS ASSETS WHICH, WHEN FOLLOWED BY THEM, RESULTED IN THEIR INCURRING APPROXIMATELY \$88,000 IN TAXES, INTEREST AND PENALTIES. THEY ARE SEEKING REIMBURSEMENT FOR THE DAMAGES SUFFERED.

Product Type: Other

Other Product Type(s): FINANCIAL PLAN



Alleged Damages: \$88,000.00

Customer Complaint Information

Date Complaint Received: 08/08/2001

Complaint Pending? No

Status: Settled

Status Date: 01/21/2002

Settlement Amount: \$51,000.00

Individual Contribution Amount: \$0.00

Broker Statement

ALTHOUGH THE FIRM NOTIFIED [ATTORNEY] THAT WE DID NOT BELIEVE WE WERE LIABLE FOR ANY TAXES THE CUSTOMERS INCURRED, THE MATTER WAS REFERRED TO MY PROFESSIONAL LIABILITY INSURANCE CARRIER. AFTER REVIEWING THE MATTER THEY DECIDED TO SETTLE THIS MATTER ON MY BEHALF FOR \$51,000.00.



End of Report

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