



## IAPD Report

# GLENN CHARLES WIGGLE JR

CRD# 2730675

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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

### GLENN CHARLES WIGGLE JR (CRD# 2730675)

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 **10/31/2025**.

### CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
<b>B</b>	PEAK BROKERAGE SERVICES, LLC	CRD# 157045	09/01/2015
<b>IA</b>	INDEPENDENT SOLUTIONS WEALTH MANAGEMENT, LLC	CRD# 144733	09/03/2015

### QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **33** 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>IA</b>	BLACKRIDGE ASSET MANAGEMENT, LLC	277085	Jupiter, FL	05/19/2016 - 01/29/2020
<b>IA</b>	NEXT FINANCIAL GROUP, INC.	46214	WILLIAMSVILLE, NY	02/28/2013 - 09/03/2015
<b>B</b>	NEXT FINANCIAL GROUP, INC.	46214	WILLIAMSVILLE, NY	01/07/2000 - 09/03/2015

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	4



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

### Employment 1 of 2

Firm Name: **PEAK BROKERAGE SERVICES, LLC**

Main Address: 1070 EAST INDIANTOWN ROAD  
SUITE 208 - 210  
JUPITER, FL 33477-9999

Firm ID#: 157045

	Regulator	Registration	Status	Date
<b>B</b>	FINRA	General Securities Principal	Approved	09/01/2015
<b>B</b>	FINRA	General Securities Representative	Approved	09/01/2015
<b>B</b>	FINRA	Municipal Securities Principal	Approved	09/01/2015
<b>B</b>	FINRA	Municipal Securities Representative	Approved	09/01/2015
<b>B</b>	FINRA	Registered Options Principal	Approved	09/01/2015
<b>B</b>	Alabama	Agent	Approved	09/18/2015
<b>B</b>	Arizona	Agent	Approved	09/18/2015
<b>B</b>	California	Agent	Approved	09/01/2015
<b>B</b>	Connecticut	Agent	Approved	09/04/2015
<b>B</b>	Delaware	Agent	Approved	04/12/2018
<b>B</b>	Florida	Agent	Approved	09/18/2015
<b>B</b>	Georgia	Agent	Approved	09/18/2015
<b>B</b>	Illinois	Agent	Approved	09/28/2015



## Qualifications

	Regulator	Registration	Status	Date
B	Indiana	Agent	Approved	09/21/2015
B	Iowa	Agent	Approved	09/21/2015
B	Kansas	Agent	Approved	09/08/2015
B	Kentucky	Agent	Approved	11/17/2023
B	Louisiana	Agent	Approved	09/18/2015
B	Maine	Agent	Approved	09/18/2015
B	Maryland	Agent	Approved	09/23/2015
B	Michigan	Agent	Approved	09/04/2015
B	Missouri	Agent	Approved	09/08/2015
B	Nebraska	Agent	Approved	09/03/2015
B	Nevada	Agent	Approved	09/21/2015
B	New Jersey	Agent	Approved	09/21/2015
B	New York	Agent	Approved	09/18/2015
B	North Carolina	Agent	Approved	09/10/2015
B	North Dakota	Agent	Approved	04/12/2018
B	Ohio	Agent	Approved	09/03/2015
B	Pennsylvania	Agent	Approved	09/04/2015
B	Rhode Island	Agent	Approved	09/02/2015
B	South Carolina	Agent	Approved	09/29/2015



## Qualifications

	Regulator	Registration	Status	Date
B	Tennessee	Agent	Approved	08/25/2016
B	Texas	Agent	Approved	09/04/2015
B	Vermont	Agent	Approved	04/16/2018
B	Virginia	Agent	Approved	09/04/2015
B	Washington	Agent	Approved	09/18/2015
B	Wisconsin	Agent	Approved	09/28/2015

## Branch Office Locations

305 Spindrift Drive  
Williamsville, NY 14221

601 Heritage Drive  
Suite 147  
Jupiter, FL 33458

3445 Winton Place  
Suite 119 - 120  
Rochester, NY 14623

140 Intercoastal Pointe Drive  
Ste 404  
Jupiter, FL 33477

## Employment 2 of 2

Firm Name: **INDEPENDENT SOLUTIONS WEALTH MANAGEMENT, LLC**  
Main Address: 305 SPINDRIFT DRIVE  
WILLIAMSVILLE, NY 14221  
Firm ID#: 144733

	Regulator	Registration	Status	Date
IA	Florida	Investment Adviser Representative	Approved	09/22/2015
IA	Louisiana	Investment Adviser Representative	Approved	10/05/2015
IA	New York	Investment Adviser Representative	Approved	06/21/2021
IA	Texas	Investment Adviser Representative	Restricted Approval	09/03/2015



## Qualifications

### Branch Office Locations

**INDEPENDENT SOLUTIONS WEALTH MANAGEMENT, LLC**  
305 SPINDRIFT DRIVE  
WILLIAMSVILLE, NY 14221

**INDEPENDENT SOLUTIONS WEALTH MANAGEMENT, LL**  
11770 U.S. Highway One  
Suite 205  
Palm Beach Gardens, FL 33408







## 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 4 principal/supervisory exams, 5 general industry/product exams, and 2 state securities law exams.**



#### Principal/Supervisory Exams

	Exam	Category	Date
	Municipal Securities Principal Examination (S53)	Series 53	02/04/2011
	Municipal Fund Securities Principal Examination (S51)	Series 51	03/28/2003
	Registered Options Principal Examination (S4)	Series 4	02/07/2003
	General Securities Principal Examination (S24)	Series 24	04/07/2000

#### General Industry/Product Exams

	Exam	Category	Date
	Municipal Securities Representative Examination (S52TO)	Series 52TO	01/02/2023
	Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
	Futures Managed Funds Examination (S31)	Series 31	08/28/2008
	General Securities Representative Examination (S7)	Series 7	09/06/1997
	Investment Company Products/Variable Contracts Representative Examination (S6)	Series 6	04/16/1996

#### State Securities Law Exams

	Exam	Category	Date
	Uniform Investment Adviser Law Examination (S65)	Series 65	02/25/2013
	Uniform Securities Agent State Law Examination (S63)	Series 63	04/16/1996



## 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	05/19/2016 - 01/29/2020	BLACKRIDGE ASSET MANAGEMENT, LLC	CRD# 277085	Jupiter, FL
IA	02/28/2013 - 09/03/2015	NEXT FINANCIAL GROUP, INC.	CRD# 46214	WILLIAMSVILLE, NY
B	01/07/2000 - 09/03/2015	NEXT FINANCIAL GROUP, INC.	CRD# 46214	WILLIAMSVILLE, NY
B	06/27/1997 - 01/18/2000	PAINEWEBBER INCORPORATED	CRD# 8174	WEEHAWKEN, NJ
B	04/17/1996 - 06/26/1997	FINANCIAL NETWORK INVESTMENT CORPORATION	CRD# 13572	EL SEGUNDO, 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
09/2015 - Present	PEAK BROKERAGE SERVICES, LLC	REGISTERED REPRESENTATIVE	Y	PALM BEACH GARDENS, FL, United States
01/2008 - Present	INDEPENDENT SOLUTIONS WEALTH MANAGEMENT	RIA	Y	WILLIAMSVILLE, NY, United States
09/2015 - 02/2020	BLACKRIDGE ASSET MANAGEMENT, LLC	CHIEF COMPLIANCE OFFICER / IAR	Y	WILLIAMSVILLE, 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) Independent Solutions Welath Management Llc (Corp); Officer; Active Owner; 30% Time Spent; 33% Ownership; Cont. Term
- 2)Financial Guys Llc; Insurance; Radioshow, Advertising Sales, Financial Services; Agent; Active Owner; 50% Time Spent; 50% Ownership; Cont. Term
- 3) Neiman Funds Management, Llc; Ria Advisor To Mutual Fund - Neiman Large Cap Value Fund; Director; Active Owner; 17% Time Spent; 16.34% Owner; Continuous Term; Comp Varies
- 4) The Financial Guys Insurance, Llc; Co-Owner/Partner. Duties: Limited Operational Involvement. Start Date: 6/1/17. Approximate Hours Spent On Activity Per Month: 2 Approximate Hours Spent On Activity Per Month During Trading Hours: 0
- 5) 305 Sprindrift LLC; Ownership Of Building Through LLC; Co-Owner; Start Date: 4.1.18; Approximate Number Of Hours Spent on Activity Per Month: 2 Hours.
- 6) Company Name: TFG Insurance/TFG Florida Insurance; Type of Outside Business Activity: P&C ; Position: Manager; Duties of



## Registration & Employment History



### OTHER BUSINESS ACTIVITIES

Position: Marketing Director; Start Date: 09/30/2020; Approximate # of hours per month spent: 20; Approximate # of hours spent during trading hours: 1

7) Business entity: The Financial Guys Media; Business Activity: Media/Marketing



## 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	4

### 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 4

<b>Reporting Source:</b>	Firm
<b>Employing firm when activities occurred which led to the complaint:</b>	NEXT Financial Group, Inc.
<b>Allegations:</b>	Customer alleges that in or about 2007 Registered Representative recommended unsuitable investments in Behringer Harvard REIT I, Behringer Harvard Strategic Opportunity Fund II LP and US Energy Platinum Energy Partners.
<b>Product Type:</b>	Oil & Gas Real Estate Security
<b>Alleged Damages:</b>	\$500,000.00
<b>Alleged Damages Amount Explanation (if amount not exact):</b>	Customer alleges that he lost between \$500,000 and \$999,999.
<b>Is this an oral complaint?</b>	No
<b>Is this a written complaint?</b>	Yes
<b>Is this an arbitration/CFTC reparation or civil litigation?</b>	Yes
<b>Arbitration/Reparation forum or court name and location:</b>	FINRA
<b>Docket/Case #:</b>	15-02232
<b>Filing date of arbitration/CFTC reparation or civil litigation:</b>	08/24/2015



## Customer Complaint Information

**Date Complaint Received:** 09/16/2015  
**Complaint Pending?** No  
**Status:** Settled  
**Status Date:** 10/05/2016  
**Settlement Amount:** \$109,000.00  
**Individual Contribution Amount:** \$0.00

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**Reporting Source:** Individual  
**Employing firm when activities occurred which led to the complaint:** NEXT Financial Group, INC  
**Allegations:** Customer Alleges in 2007 Representative recommended unsuitable investments. Berhringer Harvard REIT I, Behringer Harvard Strategic Opportunity Fund and US Energy Platinum Energy Partners  
**Product Type:** Oil & Gas  
Real Estate Security  
**Alleged Damages:** \$500,000.00  
**Alleged Damages Amount Explanation (if amount not exact):** Customer Alleges he lost between \$500,000 and \$999,999  
**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 #:** 15-02232  
**Filing date of arbitration/CFTC reparation or civil litigation:** 08/24/2015

## Customer Complaint Information

**Date Complaint Received:** 09/21/2015  
**Complaint Pending?** No  
**Status:** Settled  
**Status Date:** 10/05/2016  
**Settlement Amount:** \$109,000.00  
**Individual Contribution Amount:** \$0.00



<b>Reporting Source:</b>	Individual
<b>Employing firm when activities occurred which led to the complaint:</b>	NEXT FINANCIAL GROUP INC
<b>Allegations:</b>	BETWEEN DECEMBER 2007 AND OCTOBER 2010, CUSTOMER ALLEG THE PURCHASE OF TWO REITS WERE UNSUITABLE AND MISREPRESENTED, MUTUAL FUND CLASS C SHARES WERE PURCHASED BY SELLING MUTAL FUND CLASS A AND I SHARES, AND EQUITIES WERE PURCHASED WITHOUT [CUSTOMER'S] PRIOR KNOWLEDGE OR CONSENT
<b>Product Type:</b>	Equity Listed (Common & Preferred Stock) Mutual Fund Real Estate Security
<b>Alleged Damages:</b>	\$100,000.00
<b>Alleged Damages Amount Explanation (if amount not exact):</b>	CUSTOMERS ARE SEEKING DAMAGES IN EXCESS OF \$100,000.00
<b>Arbitration Information</b>	
<b>Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.):</b>	FINRA
<b>Docket/Case #:</b>	11-01207
<b>Date Notice/Process Served:</b>	04/04/2011
<b>Arbitration Pending?</b>	No
<b>Disposition:</b>	Settled
<b>Disposition Date:</b>	07/09/2012
<b>Monetary Compensation Amount:</b>	\$55,000.00
<b>Individual Contribution Amount:</b>	\$5,000.00
<b>Broker Statement</b>	RESPONDENTS HAVE DENIED AND CONTINUE TO DENY THE ALLEGATIONS. HOWEVER, CLAIMANTS AND RESPONDENTS DESIRED TO FULLY AND FINALLY RESOLVE AND SETTLE ALL OF THE PAST, PRESENT AND FUTURE CLAIMS, CONTROVERSIES, AND DISPUTES, AND THEREFORE, THE MATTER WAS SETTLED DUE TO THE LEGAL COST.

**Disclosure 3 of 4**

<b>Reporting Source:</b>	Individual
<b>Employing firm when activities occurred which led to the complaint:</b>	NEXT FINANCIAL GROUP
<b>Allegations:</b>	CLIENT ALLEGES THAT REIT WAS NOT AN APPROPRIATE INVESTMENT
<b>Product Type:</b>	Real Estate Security
<b>Alleged Damages:</b>	\$14,432.26



**Alleged Damages Amount**  
**Explanation (if amount not exact):**

GOOD FAITH DETERMINATION

**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:**

08/02/2010

**Complaint Pending?**

No

**Status:**

Denied

**Status Date:**

09/24/2010

**Settlement Amount:**

**Individual Contribution  
Amount:**

### Disclosure 4 of 4

**Reporting Source:**

Firm

**Employing firm when  
activities occurred which led  
to the complaint:**

PAINEWEBBER

**Allegations:**

CLIENT ALLEGED THAT FORMER FA SOLD HIM A STEPDOWN CD AND THAT IT WAS INAPPROPRIATE BECAUSE THE FA KNEW HE ONLY WANTED A ONE OR TWO YEAR INVESTMENT, AND THAT HE NEEDED HIS INVESTMENTS TO REMAIN LIQUID. TIME PERIOD 10/98-PRESENT. DAMAGES WERE NOT SPECIFIED BUT ESTIMATED TO BE OVER \$5,000

**Product Type:**

CD(s)

**Alleged Damages:**

### Customer Complaint Information

**Date Complaint Received:**

01/27/2000

**Complaint Pending?**

No

**Status:**

Denied

**Status Date:**

04/24/2000

**Settlement Amount:**

**Individual Contribution  
Amount:**

**Reporting Source:**

Individual

**Employing firm when  
activities occurred which led  
to the complaint:**

PAINE WEBBER

**Allegations:**

CUSTOMER PURCHASED A LONG-TERM STEPDOWN CD FROM ME AT



PAINE WEBBER. HE INITIALLY PURCHASED THE CD FOR THE HIGH RATE OF RETURN. AFTER WE LEFT PAINE WEBBER, CUSTOMER CLAIMED THAT WE TOLD HIM IT WOULD BE AVAILABLE FOR WITHDRAWAL IN ONE YEAR. BECAUSE OF THE INCREASE IN INTEREST RATES, THERE IS A PENALTY TO WITHDRAW AT THIS TIME.

**Product Type:** CD(s)

**Alleged Damages:**

**Customer Complaint Information**

**Date Complaint Received:** 01/27/2000

**Complaint Pending?** No

**Status:** Denied

**Status Date:** 04/24/2000

**Settlement Amount:**

**Individual Contribution Amount:**



## End of Report

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