



## IAPD Report

# MATTHEW BENNETT HARGER

CRD# 3021341

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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

### MATTHEW BENNETT HARGER (CRD# 3021341)

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 **05/12/2026**.

### CURRENT EMPLOYERS

|    | Firm                     | CRD#       | Registered Since |
|----|--------------------------|------------|------------------|
| IA | HARGER AND COMPANY, INC. | CRD# 10385 | 08/16/2006       |
| B  | HARGER AND COMPANY, INC. | CRD# 10385 | 06/05/2007       |

### 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 |
|------|------|----------|--------------------|
|------|------|----------|--------------------|

No information reported.

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

### Employment 1 of 1

Firm Name: **HARGER AND COMPANY, INC.**  
Main Address: 8048 ONE CALAIS AVE  
SUITE D  
BATON ROUGE, LA 70809  
Firm ID#: 10385

| Regulator           | Registration                        | Status   | Date       |
|---------------------|-------------------------------------|----------|------------|
| <b>B</b> FINRA      | General Securities Representative   | Approved | 06/05/2007 |
| <b>B</b> FINRA      | Municipal Securities Principal      | Approved | 01/20/2010 |
| <b>B</b> FINRA      | General Securities Principal        | Approved | 03/12/2010 |
| <b>B</b> FINRA      | Municipal Securities Representative | Approved | 01/02/2025 |
| <b>B</b> Alabama    | Agent                               | Approved | 09/02/2020 |
| <b>B</b> Arizona    | Agent                               | Approved | 02/02/2022 |
| <b>B</b> Arkansas   | Agent                               | Approved | 09/15/2022 |
| <b>B</b> California | Agent                               | Approved | 08/18/2023 |
| <b>B</b> Colorado   | Agent                               | Approved | 10/02/2020 |
| <b>B</b> Delaware   | Agent                               | Approved | 05/12/2026 |
| <b>B</b> Florida    | Agent                               | Approved | 01/24/2024 |
| <b>B</b> Georgia    | Agent                               | Approved | 07/30/2010 |
| <b>B</b> Idaho      | Agent                               | Approved | 09/02/2020 |



### Qualifications

| Regulator        | Registration                      | Status              | Date       |
|------------------|-----------------------------------|---------------------|------------|
| B Kentucky       | Agent                             | Approved            | 07/21/2020 |
| IA Louisiana     | Investment Adviser Representative | Approved            | 08/16/2006 |
| B Louisiana      | Agent                             | Approved            | 06/05/2007 |
| B Maryland       | Agent                             | Approved            | 07/31/2014 |
| B Mississippi    | Agent                             | Approved            | 08/11/2008 |
| B New Jersey     | Agent                             | Approved            | 02/03/2025 |
| B New Mexico     | Agent                             | Approved            | 11/30/2018 |
| B Oregon         | Agent                             | Approved            | 09/21/2022 |
| B South Carolina | Agent                             | Approved            | 06/30/2023 |
| B Texas          | Agent                             | Approved            | 01/20/2010 |
| IA Texas         | Investment Adviser Representative | Restricted Approval | 02/01/2010 |
| B Virginia       | Agent                             | Approved            | 09/16/2020 |
| B Washington     | Agent                             | Approved            | 01/12/2022 |

### Branch Office Locations

**HARGER AND COMPANY, INC.**  
8048 ONE CALAIS AVE  
SUITE D  
BATON ROUGE, LA 70809

**HARGER AND COMPANY, INC.**  
8048 ONE CALAIS AVE SUITE D  
BATON ROUGE, LA 70809



## 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, 3 general industry/product exams, and 1 state securities law exam.**

#### Principal/Supervisory Exams

| Exam   | Category  | Date       |
|--|-----------|------------|
| General Securities Principal Examination (S24)   | Series 24 | 03/11/2010 |
| Municipal Securities Principal Examination (S53) | Series 53 | 01/19/2010 |

#### General Industry/Product Exams

| Exam  | Category    | Date       |
|---|-------------|------------|
| Municipal Securities Representative Examination (S52TO) | Series 52TO | 09/25/2025 |
| Securities Industry Essentials Examination (SIE)        | SIE         | 10/01/2018 |
| General Securities Representative Examination (S7)      | Series 7    | 10/17/2006 |

#### State Securities Law Exams

| Exam   | Category  | Date       |
|--|-----------|------------|
| Uniform Combined State Law Examination (S66) | Series 66 | 04/06/2007 |

### 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:

No information reported.

### 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              |
|-------------------|--------------------------|-----------------|--------------------|--------------------------------|
| 06/2019 - Present | HARGER AND COMPANY, INC. | PRESIDENT       | Y                  | Baton Rouge, LA, United States |
| 07/2004 - 06/2019 | HARGER AND COMPANY, INC. | SALES ASSISTANT | Y                  | BATON ROUGE, LA, 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.

OFFICER IN ATM PROPERTIES AND RL HARGER AND ASSOCIATES, INC. Also conduct seminars through local universities. None of these activities are investment related. The address of the business is 8048 One Calais Avenue Suite D Baton Rouge, LA 70809. RL Harger and Associates is the parent company of Harger and Company, Inc. and ATM Properties is the company that owns the building that Harger and Company, Inc. rents. I am an officer of both companies. I started my relationship with RL Harger and Associates in 2006 and ATM Properties in 2008. I spend about 1 hour per month on each of these companies during trading hours. The only duties that I do with these companies is general office related duties. For the teaching activity, this is on an as needed basis. I have done this class since about 2010 and when I am teaching a class, it will take up about 12 hours per month, none of which is done during trading hours and it is educationally related to investments in that it covers a brief overview of financial planning.



## 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

|   |   |
|---|---|
| <b>Reporting Source:</b>  | Individual  |
| <b>Employing firm when activities occurred which led to the complaint:</b>    | Harger and Company, Inc.  |
| <b>Allegations:</b>   | Claimants allege Matthew violated his fiduciary and other duties to our deceased client [third party] and his beneficiaries of accounts when Matthew transferred funds out of [third party] account and into an account pledged to different beneficiaries other than that of Claimants. Claimants also allege that these transfers allegedly ordered by [third party] violated the intent [third party] had expressed to the rest of the beneficiaries. Claimants also allege that they have been damaged by Matthew's breach of duty. |
| <b>Product Type:</b>  | Annuity-Variable  |
| <b>Alleged Damages:</b>   | \$234,000.00  |
| <b>Alleged Damages Amount Explanation (if amount not exact):</b>              | Claimants state that they are entitled to an additional \$234,000 that was distributed to other beneficiaries/family members.   |
| <b>Arbitration Information</b>  |   |
| <b>Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.):</b> | FINRA   |
| <b>Docket/Case #:</b>   | 17-02697  |
| <b>Date Notice/Process Served:</b>  | 10/18/2017  |
| <b>Arbitration Pending?</b>   | No  |



**Disposition:** Settled  
**Disposition Date:** 11/16/2018  
**Monetary Compensation Amount:** \$150,000.00  
**Individual Contribution Amount:** \$0.00

**Broker Statement**

These Claimants are the nieces of our deceased client, [third party], and not clients of our firm. They are claiming that [third party] told them that they would be receiving a certain amount of money from his estate upon his passing which ended up not being the case because [third party] transferred money from the account in question into a different account with a different beneficiary. [third party] was informed on multiple occasions, both in person and over the phone, about his beneficiary allocation and he chose to not take any action, even when presented with paperwork to change any imbalance. Claim was resolved by the firm's insurance company with no contribution from the firm.



## End of Report

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