



IAPD Report

EDWARD REED LAUGHLIN JR

CRD# 303560

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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

EDWARD REED LAUGHLIN JR (CRD# 303560)

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 **05/08/2023**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	WESTMINSTER FINANCIAL SECURITIES, INC.	CRD# 20677	05/15/2017
IA	WESTMINSTER FINANCIAL ADVISORY CORP	CRD# 110283	05/15/2017

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **5** 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	WUNDERLICH SECURITIES, INC.	2543	Miami, FL	02/12/2015 - 05/15/2017
B	WUNDERLICH SECURITIES, INC.	2543	Miami, FL	01/21/2015 - 05/15/2017
IA	DOMINICK & DOMINICK LLC	7344	MIAMI, FL	09/23/2011 - 01/26/2015

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
Regulatory Event	1
Customer Dispute	1
Termination	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 5 jurisdiction(s) and 1 SRO(s) through his or her employer(s).

Employment 1 of 2

Firm Name: **WESTMINSTER FINANCIAL ADVISORY CORP**
Main Address: 50 CHESTNUT STREET
SUITE A-400
BEAVERCREEK, OH 45440
Firm ID#: 110283

	Regulator	Registration	Status	Date
IA	California	Investment Adviser Representative	Approved	05/15/2017
IA	Florida	Investment Adviser Representative	Approved	06/01/2017
IA	Pennsylvania	Investment Adviser Representative	Approved	05/16/2017

Branch Office Locations

WESTMINSTER FINANCIAL ADVISORY CORP
1001 Bricknell Bay Drive Suite 2720
Miami, FL 33131

Employment 2 of 2

Firm Name: **WESTMINSTER FINANCIAL SECURITIES, INC.**
Main Address: 50 CHESTNUT STREET
SUITE A-200
BEAVERCREEK, OH 45440
Firm ID#: 20677

	Regulator	Registration	Status	Date
B	FINRA	General Securities Representative	Approved	05/15/2017
B	FINRA	General Securities Sales Supervisor	Approved	05/15/2017
B	California	Agent	Approved	05/15/2017
B	Connecticut	Agent	Approved	05/15/2017



Qualifications

Regulator	Registration	Status	Date
B Florida	Agent	Approved	05/15/2017
B New York	Agent	Approved	05/15/2017
B Pennsylvania	Agent	Approved	05/15/2017

Branch Office Locations

1001 Brickell Bay Drive Suite 2720
Miami, FL 33131



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 3 principal/supervisory exams, 5 general industry/product exams, and 1 state securities law exam.

Principal/Supervisory Exams

	Exam	Category	Date
B	General Securities Sales Supervisor - General Module Examination (S10)	Series 10	01/02/2023
B	General Securities Sales Supervisor - Options Module Examination (S9)	Series 9	01/02/2023
B	General Securities Sales Supervisor Examination (Options Module & General Module) (S8)	Series 8	04/05/1991

General Industry/Product Exams

	Exam	Category	Date
B	General Securities Representative Examination (S7TO)	Series 7TO	01/02/2023
B	Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
B	Interest Rate Options Examination (S5)	Series 5	08/10/1983
B	AMEX Put and Call Exam (PC)	PC	08/23/1977
B	Registered Representative Examination (S1)	Series 1	08/07/1969

State Securities Law Exams

	Exam	Category	Date
IA B	Uniform Combined State Law Examination (S66)	Series 66	09/08/2011



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	02/12/2015 - 05/15/2017	WUNDERLICH SECURITIES, INC.	CRD# 2543	Miami, FL
B	01/21/2015 - 05/15/2017	WUNDERLICH SECURITIES, INC.	CRD# 2543	Miami, FL
IA	09/23/2011 - 01/26/2015	DOMINICK & DOMINICK LLC	CRD# 7344	MIAMI, FL
B	07/05/2011 - 01/26/2015	DOMINICK & DOMINICK LLC	CRD# 7344	MIAMI, FL
B	01/17/2003 - 07/28/2011	CREDIT SUISSE SECURITIES (USA) LLC	CRD# 816	NEW YORK, NY
B	10/23/1997 - 01/17/2003	DONALDSON, LUFKIN & JENRETTE SECURITIES CORPORATION	CRD# 7560	JERSEY CITY, NJ
B	03/20/1991 - 11/19/1997	SBC WARBURG DILLON READ INC.	CRD# 1650	STAMFORD, CT
B	01/31/1980 - 02/21/1991	PAINEWEBBER INCORPORATED	CRD# 8174	WEEHAWKEN, NJ
B	01/06/1977 - 11/29/1982	DREXEL BURNHAM LAMBERT INCORPORATED	CRD# 7323	
B	08/04/1978 - 01/31/1980	PAINE, WEBBER, JACKSON & CURTIS INCORPORATED	CRD# 640	
B	12/08/1976 - 08/03/1978	A. G. EDWARDS & SONS, INC.	CRD# 4	
B	02/06/1976 - 01/06/1977	DREXEL BURNHAM & CO. INCORPORATED	CRD# 7013	
B	04/14/1975 - 02/06/1976	DREXEL BURNHAM & CO. INCORPORATED	CRD# 116	
B	11/19/1971 - 06/14/1973	DUPONT GLORE FORGAN INCORPORATED	CRD# 1000003	
B	07/24/1970 - 12/26/1971	SHEARSON, HAMMILL & CO., INCORPORATED	CRD# 766	

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
05/2017 - Present	Westminster Financial Securities	REGISTERED REPRESENTATIVE	Y	Dayton, OH, United States



Registration & Employment History

EMPLOYMENT HISTORY

Employment Dates	Employer Name	Position	Investment Related	Employer Location
01/2015 - 05/2017	WUNDERLICH SECURITIES	REGISTERED REPRESENTATIVE	Y	MEMPHIS, TN, 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.

No information reported.



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	1
Customer Dispute	1
Termination	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 1

Reporting Source: Individual

Regulatory Action Initiated By: NEW YORK STOCK EXCHANGE, INC.

Sanction(s) Sought:

Other Sanction(s) Sought:

Date Initiated: 03/29/1977

Docket/Case Number:

Employing firm when activity occurred which led to the regulatory action: BACHE HALSEY STUART

Product Type:

Other Product Type(s):

Allegations: FAILURE TO REPORT THAT I WAS "PERMITTED TO RESIGN" FROM BACHE HALSEY STUART, INC. ON THE FORM U-4 AND VIOLATION OF EXCHANGE RULE 408(A) FOR EFFECTING A DISCRETIONARY TRADE IN THE ACCOUNT OF CAYMAN INTERNATIONAL TRUST COMPANY WITHOUT WRITTEN AUTHORIZATION FROM THE CLIENT.

Current Status: Final

Resolution: Other

Resolution Date: 03/29/1977

Sanctions Ordered:



Other Sanctions Ordered:

Sanction Details:

I WAS WRITTEN A LETTER OF ADMONISHMENT BY THE
NEW YORK STOCK EXCHANGE, INC., DATED MARCH 29, 1977.

Broker Statement

Not Provided



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

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: DUPONT, GLORE, FORGAN.

Allegations: CUSTOMER CLAIMED THAT THERE HAD BEEN COMMODITY TRADING IN HIS ACCOUNT IN EXCESS OF HIS INSTRUCTIONS WHICH HE STATED WERE TO DO NOTHING BUT SILVER AND STAY UNDER \$15,000 TOTAL CAPITAL USED. HE ALSO CLAIMED THAT HE HAD LOST MONEY DUE TO BAD INVESTMENTS AND WITHOUT HIS KNOWLEDGE. HE CLAIMED \$40,000 STOCK DAMAGES AND \$18,000 COMMODITIES.

Product Type:

Alleged Damages: \$58,000.00

Customer Complaint Information

Date Complaint Received:

Complaint Pending? No

Status: Arbitration/Reparation

Status Date:

Settlement Amount:

Individual Contribution Amount:

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: UNKNOWN CONVERSION

Date Notice/Process Served: 12/01/1972

Arbitration Pending? No

Disposition: Settled

Disposition Date:

Broker Statement IN ARBITRATION CUSTOMER WAS AWARDED A SETTLEMENT BY DUPONT, GLORE, FORGAN. THE COMPANY DID NOT LOOK TO ME FOR RESTITUTION. I AM NOT SURE WHAT THE EXACT SETTLEMENT WAS, BUT NO PENALTY WAS IMPOSED ON ME BECAUSE OF IT. NOT PROVIDED



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 2

Reporting Source: Individual

Firm Name: BACHE HALSEY STUART, INC

Termination Type: Permitted to Resign

Termination Date: 03/29/1977

Allegations: N/A
FAILURE TO REPORT THAT I WAS "PERMITTED TO RESIGN" FROM BACHE HALSEY STUART, INC. ON THE FORM U-4 AND VIOLATION OF EXCHANGE RULE 408(A) FOR EFFECTING A DISCRETIONARY TRADE IN THE ACCOUNT OF CAYMAN INTERNATIONAL TRUST COMPANY WITHOUT WRITTEN AUTHORIZATION FROM THE CLIENT.

Product Type:

Other Product Types:

Broker Statement I WAS WRITTEN A LETTER OF ADMONISHMENT BY THE NEW YORK STOCK EXCHANGE, INC., DATED MARCH 29, 1977.
Not Provided

Disclosure 2 of 2

Reporting Source: Individual

Firm Name: BACHE HALSEY STUART, INC.

Termination Type: Permitted to Resign

Termination Date: 09/01/1976

Allegations: N/A
I WAS ASKED TO RESIGN FROM BACHE HALSEY STUART, INC., DUE TO A DISCRETIONARY TRADE IN THE ACCOUNT OF THE CAYMAN INTERNATIONAL TRUST COMPANY.

Product Type:

Other Product Types:

Broker Statement WAS "PERMITTED TO RESIGN" FROM BACHE HALSEY STUART, INC.
Not Provided



End of Report

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