



## IAPD Report

### GLEN CHARLES MISHLER

CRD# 336714

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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

### GLEN CHARLES MISHLER (CRD# 336714)

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 **07/18/2023**.

### CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
<b>B</b>	APW CAPITAL, INC.	CRD# 43814	07/23/2010
<b>IA</b>	AURORA PRIVATE WEALTH, INC.	CRD# 281604	04/29/2019

### QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **1** 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>	PLANNED PROFESSIONAL ADVISORY	116152	WICHITA, KS	10/17/1990 - 10/14/2019
<b>B</b>	NATIONAL PLANNING CORPORATION	29604	WICHITA, KS	11/05/2009 - 07/28/2010
<b>B</b>	MAIN STREET SECURITIES, LLC	47127	WICHITA, KS	07/14/2006 - 11/10/2009

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

#### Employment 1 of 2

Firm Name: **AURORA PRIVATE WEALTH, INC.**

Main Address: 100 ENTERPRISE DRIVE  
SUITE 504  
ROCKAWAY, NJ 07866

Firm ID#: 281604

Regulator	Registration	Status	Date
IA Kansas	Investment Adviser Representative	Approved	04/29/2019

#### Branch Office Locations

**AURORA PRIVATE WEALTH, INC.**  
8100 EAST 22ND STREET, BLDG 100-8  
Wichita, KS 67226

#### Employment 2 of 2

Firm Name: **APW CAPITAL, INC.**

Main Address: 100 ENTERPRISE DRIVE, SUITE 504  
ROCKAWAY, NJ 07866

Firm ID#: 43814

Regulator	Registration	Status	Date
B FINRA	General Securities Principal	Approved	07/23/2010
B FINRA	General Securities Representative	Approved	07/23/2010
B Kansas	Agent	Approved	07/26/2010

#### Branch Office Locations

**COMPREHENSIVE ASSET MANAGEMENT AND SERVICING, INC.**  
8100 EAST 22ND STREET, BLDG 100-8  
WICHITA, KS 67226



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

#### Principal/Supervisory Exams

Exam	Category	Date
 General Securities Principal Examination (S24)	Series 24	05/15/1992

#### General Industry/Product Exams

Exam	Category	Date
 Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
 General Securities Representative Examination (S7)	Series 7	11/16/1985
 Registered Representative Examination (S1)	Series 1	01/07/1972

#### State Securities Law Exams

Exam	Category	Date
 Uniform Securities Agent State Law Examination (S63)	Series 63	12/26/1985

### 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	10/17/1990 - 10/14/2019	PLANNED PROFESSIONAL ADVISORY	CRD# 116152	WICHITA, KS
B	11/05/2009 - 07/28/2010	NATIONAL PLANNING CORPORATION	CRD# 29604	WICHITA, KS
B	07/14/2006 - 11/10/2009	MAIN STREET SECURITIES, LLC	CRD# 47127	WICHITA, KS
B	08/06/2003 - 07/14/2006	NATIONS FINANCIAL GROUP, INC.	CRD# 44181	WICHITA, KS
B	09/27/2002 - 08/05/2003	DIVERSIFIED GLOBAL CAPITAL GROUP, INC.	CRD# 120283	NEWPORT BEACH, CA
IA	10/17/1990 - 12/31/2002	PLANNED PROFESSIONAL ADVISORY	CRD# 116152	WICHITA, KS
B	03/13/2002 - 09/10/2002	ROYAL ALLIANCE ASSOCIATES, INC.	CRD# 23131	SCOTTSDALE, AZ
B	02/25/1992 - 03/13/2002	PIM FINANCIAL SERVICES, INC.	CRD# 10547	SAN MARCOS, CA
B	04/03/1987 - 01/24/1992	PRIMELINE SECURITIES CORP.	CRD# 15896	WICHITA, KS

### 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
07/2010 - Present	COMPREHENSIVE ASSET MANAGEMENT & SERVICING, INC.	REGISTERED REP	Y	PARSIPPANY, NJ, United States
08/1990 - Present	PLANNED PROFESSIONAL ADVISORY	OWNER-ADVISOR	Y	WICHITA, KS, United States
01/1990 - Present	PLANNED PROFESSIONAL SERVICES, INC	PRESIDENT-TAX PREPARER	N	WICHITA, KS, 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-GLEN C MISHLER; WICHITA, KS; RIA; SVC. DESCRIPTION: INVESTMENT MGMT./FINANCIAL PLANNING; DBA NAME: PLANNED PROFESSIONAL ADVISORY; TITLE: OWNER; START DATE: 6/1/1989; SOLE PROPRIETORSHIP; DUTIES: MANAGE CLIENT'S INVESTMENT ACCOUNTS AND PROVIDE FINANCIAL PLANNING; 80% TIME SPENT.

2-GLEN C MISHLER; WICHITA, KS; FIXED INSURANCE/EXCLUDES EQUITY INDEXES; SVC. DESCRIPTION: FIXED INSURANCE PRODUCTS; START DATE: 8/1/1965; SOLE PROPRIETORSHIP; TITLE: OWNER; DUTIES: SELLING FIXED INSURANCE; 5% TIME SPENT.

3-PPS, INC.; WICHITA, KS; TAX PREPARATION; SVC. DESCRIPTION: TAX PREPARATION; CORPORATION; START DATE: 3/1/1982; TITLE: PRESIDENT; DUTIES: PREPARE TAX RETURNS; 10% TIME SPENT.



## 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
Criminal	1

### 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:** Regulator

**Regulatory Action Initiated By:** KANSAS SECURITIES COMMISSIONER

**Sanction(s) Sought:**

**Other Sanction(s) Sought:**

**Date Initiated:** 09/07/1990

**Docket/Case Number:** 90E026/KSC 91-1790

**Employing firm when activity occurred which led to the regulatory action:**

**Product Type:**

**Other Product Type(s):**

**Allegations:** RESPONDENT MISHLER ENGAGED IN ACTIVITIES AS AN INVESTMENT ADVISOR WHILE UNREGISTERED IN THE STATE.

**Current Status:** Final

**Resolution:** Consent

**Resolution Date:** 09/07/1990

**Sanctions Ordered:** Cease and Desist/Injunction

**Other Sanctions Ordered:**

**Sanction Details:** ON 9/7/90 RESPONDENT MISHLER ENTERED INTO A CONSENT ORDER AGREEING TO CEASE AND DESIST FROM VIOLATING



THE  
REGISTRATION PROVISIONS OF THE KANSAS SECURITIES ACT.

**Regulator Statement**

Not Provided

**Reporting Source:** Individual

**Regulatory Action Initiated By:** KANSAS SECURITIES COMMISSION

**Sanction(s) Sought:**

**Other Sanction(s) Sought:**

**Date Initiated:** 09/07/1990

**Docket/Case Number:** 90E026/KSC 91-1790

**Employing firm when activity occurred which led to the regulatory action:**

**Product Type:** No Product

**Other Product Type(s):**

**Allegations:** THAT G. CHARLES MISHLER BECOME REGISTERED AS A REGISTERED INVESTMENT ADVISOR AS HE HAD BEEN TRANSACTING BUSINESS UNREGISTERED

**Current Status:** Final

**Resolution:** Consent

**Resolution Date:** 09/07/1990

**Sanctions Ordered:** Cease and Desist/Injunction

**Other Sanctions Ordered:**

**Sanction Details:** G. CHARLES MISHLER WAS SUBSEQUENTLY REGISTERED DBA PLANNED PROFESSIONAL ADVISOR ON 10-4-90 WITH SEC AND 10-17-90 WITH KANSAS SECURITIES. ALL INFORMATION ABOVE INCLUDED IN ADV II ON FILE WITH SEC AND KANSAS SECURITIES COMMISSION.

**Broker Statement**

MR MISHLER WAS REGISTERED AS INVESTMENT ADVISOR WITH PRIMELINE ADVISORY INC (PAI) UNTIL DECEMBER 1988. IN DECEMBER 1988, HIS REGISTRATION WITH PAI WAS TERMINATED AS OPERATION OF PLANNED PROFESSIONAL ADVISORY WAS FUNCTIONAL. MISHLER DID NOT IMMEDIATELY REREGISTER WITH THE SEC OR KSC BASED ON THE INVESTMENT ADVISORS ACT REGULATION WHICH EXEMPTS INVESTMENT ADVISORS FROM REGISTRATION IF THEY HAVE FEWER THAN 15 CLIENTS IN PREVIOUS 12 MONTHS, MR MISHLER WAS IN THIS CATEGORY BUT WAS UNAWARE KANSAS HAD NO SUCH EXEMPTION. HE WAS SUBSEQUENTLY REGISTERED AS ABOVE.



## Criminal

This disclosure event involves a criminal charge against the Investment Adviser Representative that has resulted in a dismissal, plea, acquittal or conviction. The criminal matter may relate to any felony or certain misdemeanor offenses (e.g., bribery, perjury, forgery, counterfeiting, extortion, fraud, wrongful taking of property).

### Disclosure 1 of 1

**Reporting Source:** Individual

**Court Details:** WICHITA POLICE DEPT  
EXACT DATE UNAVAILABLE

**Charge Date:** 12/02/1983

**Charge Details:** PETTY LARCENY. CHRISTMAS TREES WERE TAKEN  
FROM TREE LOT TO GIVE TO PEOPLE WHO COULDN'T AFFORD THEM. ALL  
CHARGES WERE DROPPED

**Felony?** No

**Current Status:** Final

**Status Date:** 12/20/1983

**Disposition Details:** ALL CHARGES DROPPED AND DISMISSED ALL ABOVE WAS  
REPORTED ON PREVIOUS U-4 ON 11-26-85 AND IS A MATTER OF  
PREVIOUS RECORD. THE WICHITA MUNICIPAL COURTS ONLY KEEP  
RECORDS  
ON THIS TYPE OF EVENT FOR 5YRS; THEREFORE, THEY HAVE PURGED  
THIS FROM THEIR FILES

**Broker Statement** TOOK SOME X-MAS TREE FROM X-MAS TREE LOT TO GIVE TO POOR WHO  
COULD NOT FAFFORD A TREE



## End of Report

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