IAPD Report

HAROLD FRANCIS SCATTERGOOD JR

CRD# 412133

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

HAROLD FRANCIS SCATTERGOOD JR (CRD# 412133)

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 **03/26/2025**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	LPL FINANCIAL LLC	CRD# 6413	02/01/2023
IA	LPL FINANCIAL LLC	CRD# 6413	02/01/2023

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **39** 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	BOENNING & SCATTERGOOD, INC.	100	WEST CONSHOHOCKEN, PA	02/10/1971 - 04/03/2023
IA	1914 ADVISORS	100	WEST CONSHOHOCKEN, PA	07/25/2008 - 02/15/2023
IA	HFS ASSOCIATES, INC.	122908	W. CONSHOHOCKEN, PA	10/11/1994 - 04/11/2008

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

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

Employment 1 of 1

Firm Name: **LPL FINANCIAL LLC**

Main Address: 1055 LPL WAY
FORT MILL, SC 29715

Firm ID#: 6413

	Regulator	Registration	Status	Date
B	FINRA	General Securities Principal	Approved	02/01/2023
B	FINRA	General Securities Representative	Approved	02/01/2023
B	FINRA	Investment Banking Principal	Approved	02/01/2023
B	FINRA	Investment Banking Representative	Approved	02/01/2023
B	FINRA	Municipal Securities Principal	Approved	02/01/2023
B	FINRA	Municipal Securities Representative	Approved	02/01/2023
B	FINRA	Registered Options Principal	Approved	02/01/2023
B	Alabama	Agent	Approved	05/15/2023
B	Arizona	Agent	Approved	02/01/2023
B	Arkansas	Agent	Approved	02/01/2023
B	California	Agent	Approved	02/01/2023
B	Colorado	Agent	Approved	02/01/2023
B	Connecticut	Agent	Approved	02/01/2023

Qualifications

	Regulator	Registration	Status	Date
B	Delaware	Agent	Approved	02/17/2023
B	District of Columbia	Agent	Approved	02/01/2023
B	Florida	Agent	Approved	02/01/2023
B	Georgia	Agent	Approved	03/28/2023
B	Illinois	Agent	Approved	05/18/2023
B	Indiana	Agent	Approved	03/07/2023
B	Kansas	Agent	Approved	05/15/2023
B	Kentucky	Agent	Approved	02/01/2023
B	Maine	Agent	Approved	05/15/2023
B	Maryland	Agent	Approved	02/01/2023
B	Massachusetts	Agent	Approved	02/01/2023
B	Michigan	Agent	Approved	05/17/2023
B	Nevada	Agent	Approved	03/13/2024
B	New Hampshire	Agent	Approved	02/01/2023
B	New Jersey	Agent	Approved	02/01/2023
B	New York	Agent	Approved	02/01/2023
B	North Carolina	Agent	Approved	02/01/2023
B	North Dakota	Agent	Approved	04/03/2023
B	Ohio	Agent	Approved	02/26/2023

Qualifications

	Regulator	Registration	Status	Date
B	Oklahoma	Agent	Approved	02/01/2023
B	Oregon	Agent	Approved	05/16/2023
B	Pennsylvania	Agent	Approved	02/01/2023
IA	Pennsylvania	Investment Adviser Representative	Approved	02/01/2023
B	Rhode Island	Agent	Approved	05/19/2023
B	South Carolina	Agent	Approved	02/01/2023
B	South Dakota	Agent	Approved	11/09/2023
B	Tennessee	Agent	Approved	02/01/2023
B	Texas	Agent	Approved	02/01/2023
IA	Texas	Investment Adviser Representative	Restricted Approval	02/01/2023
B	Utah	Agent	Approved	02/01/2023
B	Vermont	Agent	Approved	02/01/2023
B	Virginia	Agent	Approved	02/01/2023
B	Washington	Agent	Approved	02/01/2023
B	Wisconsin	Agent	Approved	07/27/2023
B	Wyoming	Agent	Approved	04/03/2023

Branch Office Locations

LPL FINANCIAL LLC
1235 WESTLAKES DR STE 260
BERWYN, PA 19312

LPL FINANCIAL LLC
HAVERFORD, PA

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
B	Registered Options Principal Examination (S4)	Series 4	01/02/2023
B	Municipal Securities Principal Examination (S53)	Series 53	01/02/2023
B	General Securities Principal Examination (S24)	Series 24	01/02/2023
B	Registered Principal Examination (S40)	Series 40	06/04/1973

General Industry/Product Exams

	Exam	Category	Date
B	General Securities Representative Examination (S7TO)	Series 7TO	01/02/2023
B	Municipal Securities Representative Examination (S52TO)	Series 52TO	01/02/2023
B	Investment Banking Registered Representative Examination (S79TO)	Series 79TO	01/02/2023
B	Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
B	Registered Representative Examination (S1)	Series 1	02/01/1971

State Securities Law Exams

	Exam	Category	Date
IA	Uniform Investment Adviser Law Examination (S65)	Series 65	08/23/1994
B	Uniform Securities Agent State Law Examination (S63)	Series 63	01/30/1984

PROFESSIONAL DESIGNATIONS

This section details that the representative has reported **0** professional designation(s).

No information reported.

Only professional designations listed in Question 8 of the Form U4 will appear in this section if the appropriate box is checked and verified by the issuing organization at the time of the filing. Learn more about eligible designations at IARD and NASAA.

Registration & Employment History

PREVIOUSLY REGISTERED WITH THE FOLLOWING FIRMS

This representative held registrations with the following firms:

	Registration Dates	Firm Name	ID#	Branch Location
B	02/10/1971 - 04/03/2023	BOENNING & SCATTERGOOD, INC.	CRD# 100	WEST CONSHOHOCKE
IA	07/25/2008 - 02/15/2023	1914 ADVISORS	CRD# 100	WEST CONSHOHOCKE
IA	10/11/1994 - 04/11/2008	HFS ASSOCIATES, INC.	CRD# 122908	W. CONSHOHOCKEN, F

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
02/2023 - Present	LPL FINANCIAL, LLC	REGISTERED REPRESENTATIVE	Y	WEST CONSHOHOCKEN, PA, United States
07/1970 - 02/2023	BOENNING & SCATTERGOOD, INC.	OTHER - Principal	Y	WEST CONSHOHOCKEN, PA, 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	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:	Regulator
Regulatory Action Initiated By:	NATIONAL ASSOCIATION OF SECURITIES DEALERS, INC.
Sanction(s) Sought:	
Other Sanction(s) Sought:	
Date Initiated:	08/18/1993
Docket/Case Number:	C9A930034
Employing firm when activity occurred which led to the regulatory action:	BOENNING & SCATTERGOOD, INC.
Product Type:	
Other Product Type(s):	
Allegations:	
Current Status:	Final
Resolution:	Decision
Resolution Date:	12/30/1994
Sanctions Ordered:	Censure Monetary/Fine $22,500.00
Other Sanctions Ordered:	
Sanction Details:	
Regulator Statement	COMPLAINT NO. C9A930034 FILED AUGUST 18, 1993 BY DISTRICT NO. 9 AGAINST BOENNING & SCATTERGOOD, INC. AND HAROLD F.

SCATTERGOOD,
JR. ALLEGING VIOLATIONS OF ARTICLE III, SECTIONS 1 AND 4 OF THE RULES OF FAIR PRACTICE IN THAT RESPONDENT MEMBER, ACTING THROUGH RESPONDENT SCATTERGOOD, EFFECTED PRINCIPAL SALES TO PUBLIC CUSTOMERS OF STOCK AND WARRANTS AT PRICES WHICH WERE UNFAIR AND UNREASONABLE TAKING INTO CONSIDERATION ALL RELEVANT
CIRCUMSTANCES IN THAT THE PRICES CHARGED INCLUDED MARKUPS RANGING FROM 5.3 TO 60 PERCENT ABOVE THE CONTEMPORANEOUS COSTS.

DECISION RENDERED NOVEMBER 10, 1994 WHEREIN RESPONDENTS MEMBER
AND SCATTERGOOD ARE CENSURED AND FINED $22,500 JOINTLY AND SEVERALLY. THE AMOUNT OF THE FINE WILL BE REDUCED BY THE AGGREGATE AMOUNT OF RESTITUTION THE RESPONDENTS MAKE WITHIN 45
DAYS OF THE DATE OF THIS DECISION TO CUSTOMERS WHO WERE CHARGED
EXCESIVE MARKUPS, PROVIDED THE RESPONDENTS PROVIDE THE ASSOCIATION PROOF OF THE RESTITUTION WHICH IT DEEMS SATISFACTORY. IN ADDITION, THE DBCC ASSESSED HEARING COSTS OF $2,748 AGAINST THE RESPONDENTS, JOINTLY AND SEVERALLY. IF NO FURTHER ACTION, DECISION IS FINAL DECEMBER 25, 1994.
************** AMENDED DECISION RENDERED NOVEMBER 15, 1994 CONTAINS NO SUBSTANTIVE CHANGES. IF NO FURTHER ACTION, DECISION
IS FINAL DECEMBER 30, 1994.

DECEMBER 30, 1994 - DECISION IS FINAL.

$25,248 J&S PAID ON 12/6/94 INVOICE #94-9A-860

Reporting Source:	Individual
Regulatory Action Initiated By:	NASD DISTRICT 9 BUSINESS CONDUCT COMMITTEE
Sanction(s) Sought:	
Other Sanction(s) Sought:	
Date Initiated:	08/18/1993
Docket/Case Number:	C9A930034
Employing firm when activity occurred which led to the regulatory action:	BOENNING & SCATTERGOOD, INC.
Product Type:	
Other Product Type(s):	
Allegations:	PRINCIPAL IN CHARGE OF OVERSEEING FIRM'S TRADING DEPT. WHICH WAS A MARKET MAKER IN TWO STOCKS INVOLVED IN QUESTIONABLE EXCESSIVE MARK UPS.
Current Status:	Final

Resolution:	Decision
Resolution Date:	12/30/1994
Sanctions Ordered:	Censure Monetary/Fine $22,500.00
Other Sanctions Ordered:	
Sanction Details:	BOENNING & SCATTERGOOD, INC. AND HAROLD F SCATTERGOOD, JR. EACH CENSURED AND FINED $22,500 JOINTLY AND SEVERALLY AND ASSESSED HEARING COSTS OF $2,748.
Broker Statement	Not Provided

Disclosure 2 of 2

Reporting Source:	Regulator
Regulatory Action Initiated By:	NATIONAL ASSOCIATION OF SECURITIES DEALERS, INC.
Sanction(s) Sought:	
Other Sanction(s) Sought:	
Date Initiated:	07/24/1987
Docket/Case Number:	PHL-632
Employing firm when activity occurred which led to the regulatory action:	BOENNING & SCATTERGOOD, INC.
Product Type:	No Product
Other Product Type(s):	
Allegations:	VIOLATIONS OF ARTICLE III, SECTIONS 1, 21(A), 33, 27(A), 27(C); MSRB RULES G-32 AND G-12 AND PHLX RULE 722; SEC RULE 15C3-3
Current Status:	Final
Resolution:	Decision
Resolution Date:	05/29/1988
Sanctions Ordered:	Censure Monetary/Fine $15,000.00 Suspension
Other Sanctions Ordered:	
Sanction Details:	SUSPENDED FROM ASSOCIATION WITH ANY MEMBER OF THE ASSOCIATION IN ANY CAPACITY FOR FIVE (5) BUSINESS DAYS. $15,000 PAID J&S 2/6/89
Regulator Statement	[TOP] COMPLAINT NO. PHL-632 FILED JULY 24, 1987, BY DISTRICT NO. 11 AGAINST BOENNING & SCATTERGOOD, INC., HAROLD F. SCATTERGOOD, JR., MICHAEL B. BELL, THOMAS J. CHANCLER, THOMAS J. FALZANI, HENRY J. LUBACZEWSKI, JOHN B. MACNEAL AND MICHAEL J. WALSH, JR. ALLEGING VIOLATIONS OF ARTICLE III, SECTIONS 1,21(A), 33, 27(A), 27(C), MSRB RULES G-32 AND G-12 AND PHLX RULE 722 IN THAT RESPONDENT MEMBER, ACTING THROUGH SCATTERGOOD,FAILED TO COMPLY WITH VARIOUS PROVISIONS OF SEC RULE 15C3-3;FAILED TO ACCURATELY MAINTAIN LEDGER ACCOUNTS; EFFECTED OPTIONS TRANSACTIONS FOR CERTAIN ACCOUNTS BEFORE THE ACCOUNTS WERE

APPROVED FOR OPTIONS TRADING; FAILED TO ESTABLISH WRITTEN PROCEDURES FOR THE SUPERVISION OF ITS DIRECT PARTICIPATION PROGRAM BUSINESS; ACTING THROUGH RESPONDENTS SCATTERGOOD AND FALZANI, FAILED TO COMPLY WITH REGULATION T; FAILED TO COMPLY WITH PHLX RULE 722 IN THAT IT PERMITTED CERTAIN ACCOUNTS TO MAINTAIN LESS THAN 25% EQUITY. *** AMENDED COMPLAINT FILED 8/26/87 TO DELETE WALSH, JR. DECISION RENDERED 4/15/88, WHEREIN RESPONDENTS MEMBER, SCATTERGOOD, MACNEAL AND FALZANI ARE CENSURED AND FINED $15,000.00, JOINTLY AND SEVERALLY, SCATTERGOOD AND MACNEAL ARE SUSPENDED FROM ASSOCIATION WITH ANY MEMBER OF THE ASSOCIATION IN ANY CAPACITY FOR FIVE (5) BUSINESS DAYS, PROVIDED THAT SUCH PERIODS SHALL NOT RUN CONCURRENTLY,AND RESPONDENT MEMBER IS ASSESSED COSTS OF $621.00. FINDINGS IN THE FOURTEENTH CAUSE OF VIOLATIONS OF MSRB RULE G-12 ARE DISMISSED AS TO THE TVA BOND IN THAT IT IS NOT A MUNICIPAL SECURITY. THE TWENTY-FOURTH CAUSE ALLEGING INACCURATE LEDGER ACCOUNTS AND OVERSTATED CASH BALANCES WAS DISMISSED AS TO LUBACZEWSKI AND CHANCLER IN THAT THE COMMITTEE DETERMINED THAT THEY WERE NOT RESPONSIBLE FOR THIS ERA. 5/29/88 - DECISION IS FINAL. $15,000 PAID J&S 2/6/89 - DEPOSIT #874

Reporting Source:	Individual
Regulatory Action Initiated By:	NASD DISTRICT II BUSINESS CONDUCT COMMITTEE
Sanction(s) Sought:	
Other Sanction(s) Sought:	
Date Initiated:	07/24/1987
Docket/Case Number:	PHL-632
Employing firm when activity occurred which led to the regulatory action:	BOENNING & SCATTERGOOD, INC.
Product Type:	No Product
Other Product Type(s):	
Allegations:	VIOLATIONS OF SEC RULE 15C3-3; FAILURE TO MAINTAIN LEDGER ACCOUNTS; ACCOUNT PRE-APPROVAL FOR OPTION TRADING NOT OBTAINED; NO WRITTEN PROCEDURES FOR SUPERVISION OF DIRECT PARTICIPATION PROGRAMS; REG T VIOLATIONS; MARGIN A/C MINIMUM EQUITY VIOLATION
Current Status:	Final
Resolution:	Decision
Resolution Date:	05/29/1988
Sanctions Ordered:	Censure Monetary/Fine $15,000.00 Suspension
Other Sanctions Ordered:	
Sanction Details:	CENSURE & FINED $15,000 AND SUSPENDED FOR 5 BUSINESS DAYS. FINE PAID 2/6/89

Broker Statement NOT PROVIDED

End of Report

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