



## IAPD Report

# BRIAN STEVEN HOFFMAN

CRD# 4504588

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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

### BRIAN STEVEN HOFFMAN (CRD# 4504588)

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 **09/17/2025**.

### CURRENT EMPLOYERS

|           | Firm                      | CRD#        | Registered Since |
|-----------|---------------------------|-------------|------------------|
| <b>B</b>  | LPL FINANCIAL LLC         | CRD# 6413   | 10/27/2016       |
| <b>IA</b> | GLADSTONE WEALTH PARTNERS | CRD# 250787 | 11/09/2016       |
| <b>IA</b> | LPL FINANCIAL LLC         | CRD# 6413   | 07/29/2025       |

### QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **23** 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>B</b>  | PNC INVESTMENTS      | 129052 | CEDAR GROVE, NJ | 02/28/2013 - 11/03/2016 |
| <b>IA</b> | PNC INVESTMENTS      | 129052 | CEDAR GROVE, NJ | 02/28/2013 - 11/03/2016 |
| <b>IA</b> | SANTANDER SECURITIES | 41791  | NEW YORK, NY    | 09/19/2012 - 02/28/2013 |

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

### Employment 1 of 2

Firm Name: **LPL FINANCIAL LLC**  
Main Address: 1055 LPL WAY  
FORT MILL, SC 29715  
Firm ID#: 6413

|           | Regulator     | Registration                      | Status   | Date       |
|-----------|---------------|-----------------------------------|----------|------------|
| <b>B</b>  | FINRA         | General Securities Representative | Approved | 10/27/2016 |
| <b>B</b>  | Arizona       | Agent                             | Approved | 01/27/2017 |
| <b>B</b>  | California    | Agent                             | Approved | 02/07/2023 |
| <b>B</b>  | Connecticut   | Agent                             | Approved | 10/25/2022 |
| <b>IA</b> | Connecticut   | Investment Adviser Representative | Approved | 07/29/2025 |
| <b>B</b>  | Delaware      | Agent                             | Approved | 02/07/2023 |
| <b>B</b>  | Florida       | Agent                             | Approved | 10/27/2016 |
| <b>B</b>  | Georgia       | Agent                             | Approved | 09/28/2020 |
| <b>B</b>  | Maine         | Agent                             | Approved | 02/07/2023 |
| <b>B</b>  | Maryland      | Agent                             | Approved | 09/28/2020 |
| <b>B</b>  | Massachusetts | Agent                             | Approved | 01/31/2019 |
| <b>B</b>  | Michigan      | Agent                             | Approved | 07/12/2024 |
| <b>B</b>  | Minnesota     | Agent                             | Approved | 09/28/2020 |



## Qualifications

|   | Regulator      | Registration | Status   | Date       |
|---|----------------|--------------|----------|------------|
| B | Nebraska       | Agent        | Approved | 10/10/2024 |
| B | New Hampshire  | Agent        | Approved | 09/28/2020 |
| B | New Jersey     | Agent        | Approved | 10/27/2016 |
| B | New York       | Agent        | Approved | 10/27/2016 |
| B | North Carolina | Agent        | Approved | 01/20/2023 |
| B | Pennsylvania   | Agent        | Approved | 10/27/2016 |
| B | Rhode Island   | Agent        | Approved | 02/07/2023 |
| B | South Carolina | Agent        | Approved | 09/28/2020 |
| B | Tennessee      | Agent        | Approved | 07/28/2021 |
| B | Texas          | Agent        | Approved | 08/12/2021 |
| B | Virginia       | Agent        | Approved | 09/28/2020 |
| B | Wisconsin      | Agent        | Approved | 09/28/2020 |

## Branch Office Locations

**LPL FINANCIAL LLC**  
1545 US-206 STE 300  
BEDMINSTER, NJ 07921

**LPL FINANCIAL LLC**  
LANDING, NJ

## Employment 2 of 2

Firm Name: **GLADSTONE WEALTH PARTNERS**  
Main Address: 2000 PGA BLVD.  
SUITE 4440  
PALM BEACH GARDENS, FL 33408  
Firm ID#: 250787



## Qualifications

|    | Regulator     | Registration                      | Status              | Date       |
|----|---------------|-----------------------------------|---------------------|------------|
| IA | New Hampshire | Investment Adviser Representative | Approved            | 12/12/2022 |
| IA | New Jersey    | Investment Adviser Representative | Approved            | 11/09/2016 |
| IA | Texas         | Investment Adviser Representative | Restricted Approval | 12/20/2021 |

## Branch Office Locations

### GLADSTONE WEALTH PARTNERS

1545 US-206  
Suite 300  
Bedminster, NJ 07921



## 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 0 principal/supervisory exams, 2 general industry/product exams, and 1 state securities law exam.**

#### Principal/Supervisory Exams

| Exam | Category | Date |
|------|----------|------|
|------|----------|------|

No information reported.

#### General Industry/Product Exams

| Exam                                                        | Category | Date       |
|-------------------------------------------------------------|----------|------------|
| <b>B</b> Securities Industry Essentials Examination (SIE)   | SIE      | 10/01/2018 |
| <b>B</b> General Securities Representative Examination (S7) | Series 7 | 03/26/2008 |

#### State Securities Law Exams

| Exam                                                            | Category  | Date       |
|-----------------------------------------------------------------|-----------|------------|
| <b>IA</b> <b>B</b> Uniform Combined State Law Examination (S66) | Series 66 | 05/01/2008 |



### 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   |
|----|-------------------------|----------------------------------------------------|-------------|-------------------|
| B  | 02/28/2013 - 11/03/2016 | PNC INVESTMENTS                                    | CRD# 129052 | CEDAR GROVE, NJ   |
| IA | 02/28/2013 - 11/03/2016 | PNC INVESTMENTS                                    | CRD# 129052 | CEDAR GROVE, NJ   |
| IA | 09/19/2012 - 02/28/2013 | SANTANDER SECURITIES                               | CRD# 41791  | NEW YORK, NY      |
| B  | 09/19/2012 - 02/28/2013 | SANTANDER SECURITIES LLC                           | CRD# 41791  | NEW YORK, NY      |
| B  | 06/11/2009 - 09/19/2012 | LPL FINANCIAL LLC                                  | CRD# 6413   | NEW YORK, NY      |
| IA | 06/11/2009 - 09/19/2012 | LPL FINANCIAL LLC                                  | CRD# 6413   | NEW YORK, NY      |
| IA | 05/02/2008 - 06/02/2009 | PNC INVESTMENTS                                    | CRD# 129052 | BERNARDSVILLE, NJ |
| B  | 03/27/2008 - 06/02/2009 | PNC INVESTMENTS                                    | CRD# 129052 | BERNARDSVILLE, NJ |
| B  | 04/14/2003 - 11/24/2004 | CHASE INVESTMENT SERVICES CORP.                    | CRD# 25574  | CHICAGO, IL       |
| IA | 04/14/2003 - 11/24/2004 | CHASE INVESTMENT SERVICES CORP.                    | CRD# 25574  | NEW YORK, NY      |
| B  | 04/12/2002 - 04/16/2003 | MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED | CRD# 7691   | NEW YORK, NY      |

### 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             |
|-------------------|---------------------------|-----------------------------------|--------------------|-------------------------------|
| 11/2016 - Present | GLADSTONE WEALTH PARTNERS | INVESTMENT ADVISER REPRESENTATIVE | Y                  | Chester, NJ, United States    |
| 10/2016 - Present | LPL FINANCIAL, LLC        | REGISTERED REPRESENTATIVE         | Y                  | BEDMINSTER, NJ, United States |
| 02/2013 - 10/2016 | PNC INVESTMENTS LLC       | BRANCH FINANCIAL ADVISOR          | Y                  | PITTSBURGH, PA, United States |



## Registration & Employment History



### 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) 10/27/16- Gladstone Wealth Group- DBA for LPL Business (entity for LPL business)-InvRel-AtRepBusLoc(s)-Start 10/27/16- 15 Hr/Mo-1 Hr During Trading
- 2) 10/27/16-Non-Variable Insurance-InvRel- AtRepBusLoc(s)-Start 10/27/16-15 Hr/Mo;1 Hr During Trading
- 3) 11/08/16-Gladstone Wealth Group-Registered Investment Advisor-InvRel-AtRepBusLoc(s)-Start 10/27/16-15 Hr/Mo;1 Hr During Trading;10% Time - I provide investment advisory services through Gladstone Wealth Group, an independent investment advisor firm. I started this business activity on 11/8/16. I expect to spend approximately 15 hours/month on this activity. Please see the advisory firm's Form ADV?
- 4) 10/17/18-Hoffman Financial Strategies-InvRel-AtRepBusLoc(s)-Registered Investment Advisor DBA-Start 09/14/18-160 Hrs a Mth/120 Hrs During Trading-I provide investment advisory services through Gladstone Institutional Advisory, LLC, an independent investment advisor firm. I started this business activity on 9/17/2018. I expect to spend approximately 40 hours/month on this activity. Please see the advisory firms Form ADV..
- 5) 10/26/18-Gladstone Institutional Advisory, LLC-InvRel- AtRepBusLoc(s)-Registered Investment Advisor Hybrid-Start 10/19/18- 25 Hrs a Mth/15 Hrs During Trading-I provide investment advisory services through Gladstone Institutional Advisory, an independent investment advisor firm. I started this business activity on 10/26/2018. I expect to spend approximately 25 hours/month on this activity. Please see the advisory firms Form ADV..
- 6) 5/31/19-Hoffman Tax Services-InvRel-Home Based-Tax Prep/Accounting/CPA- Start 3/19/19- 10 Hrs a Mth/0 Hrs During Trading
- 7) 3/9/21-Gladstone Wealth Partners- InvRel- AtRepBusLoc(s)-DBA for LPL Business (entity for LPL business)-Started 3/3/21- 10 Hrs a Mth/4 Hr During Trading
- 8) 3/9/21 - Gladstone Wealth Partners- InvRel- AtRepBusLoc(s)-Registered Investment Advisor DBA-Start 3/3/21-10 Hrs a Mth/4 Hrs During Trading- I provide investment advisory services through Gladstone Institutional Advisory, an independent investment advisor firm. I started this business activity in 3/2021. I expect to spend approximately 10 hours per month on this activity. Please see the advisory firm's Form ADV..
- 9) 6/18/21-Hoffman Financial Strategies-InvRel- AtRepBusLoc(s)-DBA for LPL Business (entity for LPL business)-Start 6/1/21- 20 Hrs a Mth/3 Hrs During Trading
- 10) 5/11/23- Gladstone Institutional Advisory, LLC (GWP)- INV REL- At RepBusLoc(s)- Outside/W-2 Employment- Start 5/1/23- 160Hrs/Mth
- 11) 8/8/23 - Real Estate Rental-InvRel-Parlin, NJ -Start 4/1/20-1 Hr a Mth/ 1 Hr During Trading
- 12) 10/3/24- Other - Author-Writer- Not InvRel- Home Based-Start Date 9/23/24- 4 Hrs a mth/ 0 Hrs During Trading
- 13) 09/10/2025- Integrity, LLC- Outside/W-2 Employment- Not INV Related- At Bedminster NJ- Start date 09/02/2025
- 14) 09/10/2025-Integrity LLC- Outside/W-2 Employment- Not INV Related- At Bedminster nj - Start date 09/01/2025



## 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

**Reporting Source:** Individual

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

**Allegations:** CLIENT IS COMPLAINING ABOUT NOT BEING ABLE TO GET IN TOUCH WITH THE COMPANY AND/OR HER FINANCIAL CONSULTANT (FC) IN ORDER TO REQUEST A WITHDRAWAL FROM HER ACCOUNT. SHE'S UPSET THAT NUMBER PROVIDED ON HER STATEMENT WAS A VOICEMAIL ACCOUNT AND THAT NO ONE EVER RETURNED HER CALLED. SHE'S ALSO UPSET THAT THE FC SENT HER TEXT MESSAGES INSTEAD OF COMMUNICATION WITH HER DIRECTLY. AS A RESULT OF THIS THE WITHDRAWAL REQUEST THAT THE FC SUBMITTED ON HER BEHALF WAS INCORRECT AND RESULTED IN HER ACCOUNT BEING CLOSED.

**Product Type:** Mutual Fund

**Alleged Damages:** \$0.00

**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:** 11/26/2012

**Complaint Pending?** No

**Status:** Closed/No Action



**Status Date:** 12/12/2012

**Settlement Amount:**

**Individual Contribution  
Amount:**

**Broker Statement** SENT AN APOLOGY LETTER THE CLIENT AND THE FINANCIAL CONSULTANT  
WAS ISSUED A LETTER OF CAUTION ON 12/28/2012.



## End of Report

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