



IAPD Report

SYED ASIF HUSSAIN

CRD# 4802875

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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

SYED ASIF HUSSAIN (CRD# 4802875)

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 **09/25/2025**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	LPL FINANCIAL LLC	CRD# 6413	04/28/2023
IA	LPL FINANCIAL LLC	CRD# 6413	05/01/2023

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **50** 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	LPL FINANCIAL LLC	6413	CHESTER, NJ	09/14/2021 - 03/28/2022
IA	GLADSTONE WEALTH GROUP	250787	CHESTER, NJ	09/20/2021 - 03/07/2022
B	J.P. MORGAN SECURITIES LLC	79	Paramus, NJ	10/01/2012 - 07/01/2021

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	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 **50** 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	04/28/2023
B	FINRA	General Securities Representative	Approved	04/28/2023
B	FINRA	General Securities Sales Supervisor	Approved	04/28/2023
B	FINRA	Municipal Securities Principal	Approved	04/28/2023
B	FINRA	Municipal Securities Representative	Approved	04/28/2023
B	FINRA	Registered Options Principal	Approved	04/28/2023
B	Alabama	Agent	Approved	11/13/2023
B	Alaska	Agent	Approved	09/18/2023
B	Arizona	Agent	Approved	09/18/2023
B	Arkansas	Agent	Approved	10/10/2023
B	California	Agent	Approved	09/18/2023
B	Colorado	Agent	Approved	10/10/2023
B	Connecticut	Agent	Approved	04/28/2023



Qualifications

Regulator	Registration	Status	Date
B Delaware	Agent	Approved	09/18/2023
B District of Columbia	Agent	Approved	10/10/2023
B Florida	Agent	Approved	04/28/2023
B Georgia	Agent	Approved	09/18/2023
B Hawaii	Agent	Approved	03/24/2025
B Idaho	Agent	Approved	10/20/2023
B Illinois	Agent	Approved	09/18/2023
B Indiana	Agent	Approved	11/13/2023
B Iowa	Agent	Approved	09/18/2023
B Kansas	Agent	Approved	10/10/2023
B Kentucky	Agent	Approved	10/10/2023
B Louisiana	Agent	Approved	03/24/2025
B Maine	Agent	Approved	03/22/2024
B Maryland	Agent	Approved	09/18/2023
B Massachusetts	Agent	Approved	10/10/2023
B Michigan	Agent	Approved	09/18/2023
B Minnesota	Agent	Approved	11/15/2024
B Mississippi	Agent	Approved	03/24/2025
B Missouri	Agent	Approved	10/10/2023



Qualifications

Regulator	Registration	Status	Date
B Montana	Agent	Approved	03/24/2025
B Nevada	Agent	Approved	11/13/2023
B New Hampshire	Agent	Approved	10/10/2023
B New Jersey	Agent	Approved	04/28/2023
IA New Jersey	Investment Adviser Representative	Approved	05/01/2023
B New Mexico	Agent	Approved	09/18/2023
B New York	Agent	Approved	04/28/2023
B North Carolina	Agent	Approved	09/20/2023
B Ohio	Agent	Approved	11/14/2023
B Oklahoma	Agent	Approved	11/13/2023
B Oregon	Agent	Approved	10/10/2023
B Pennsylvania	Agent	Approved	04/28/2023
B Puerto Rico	Agent	Approved	11/27/2024
B Rhode Island	Agent	Approved	11/27/2024
B South Carolina	Agent	Approved	09/18/2023
B South Dakota	Agent	Approved	06/07/2024
B Tennessee	Agent	Approved	09/18/2023
B Texas	Agent	Approved	09/18/2023
B Utah	Agent	Approved	09/18/2023



Qualifications

Regulator	Registration	Status	Date
B Vermont	Agent	Approved	06/07/2024
B Virgin Islands	Agent	Approved	10/10/2023
B Virginia	Agent	Approved	09/18/2023
B Washington	Agent	Approved	09/18/2023
B West Virginia	Agent	Approved	09/18/2023
B Wisconsin	Agent	Approved	11/13/2023

Branch Office Locations

LPL FINANCIAL LLC
1000 ATRIUM WAY, SUITE 401
MT. LAUREL, NJ 08054

LPL FINANCIAL LLC
GLEN RIDGE, NJ








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 5 principal/supervisory exams, 4 general industry/product exams, and 1 state securities law exam.



Principal/Supervisory Exams

Exam	Category	Date
 General Securities Sales Supervisor - Options Module Examination (S9)	Series 9	01/02/2023
 General Securities Sales Supervisor - General Module Examination (S10)	Series 10	01/02/2023
 Registered Options Principal Examination (S4)	Series 4	03/30/2012
 Municipal Securities Principal Examination (S53)	Series 53	12/29/2009
 General Securities Principal Examination (S24)	Series 24	09/17/2008

General Industry/Product Exams

Exam	Category	Date
 Municipal Securities Representative Examination (S52TO)	Series 52TO	01/02/2023
 Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
 Futures Managed Funds Examination (S31)	Series 31	12/09/2004
 General Securities Representative Examination (S7)	Series 7	08/05/2004

State Securities Law Exams

Exam	Category	Date
  Uniform Combined State Law Examination (S66)	Series 66	10/29/2004



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	09/14/2021 - 03/28/2022	LPL FINANCIAL LLC	CRD# 6413	CHESTER, NJ
IA	09/20/2021 - 03/07/2022	GLADSTONE WEALTH GROUP	CRD# 250787	CHESTER, NJ
B	10/01/2012 - 07/01/2021	J.P. MORGAN SECURITIES LLC	CRD# 79	Paramus, NJ
IA	10/01/2012 - 07/01/2021	J.P. MORGAN SECURITIES LLC	CRD# 79	Paramus, NJ
B	05/22/2006 - 10/01/2012	CHASE INVESTMENT SERVICES CORP.	CRD# 25574	SUMMIT, NJ
IA	05/22/2006 - 10/01/2012	CHASE INVESTMENT SERVICES CORP.	CRD# 25574	SUMMIT, NJ
B	03/03/2006 - 05/26/2006	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	CRD# 7691	NEW YORK, NY
IA	10/25/2005 - 05/26/2006	MERRILL LYNCH PIERCE FENNER & SMITH INC.	CRD# 7691	NEW YORK, NY
IA	11/22/2004 - 09/27/2005	MORGAN STANLEY	CRD# 7556	NEW YORK, NY
B	08/06/2004 - 09/27/2005	MORGAN STANLEY DW INC.	CRD# 7556	PURCHASE, 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
04/2023 - Present	LPL Financial LLC	Registered Representative	Y	Montclair, NJ, United States
03/2022 - Present	SAH Capital Advisory	Managing Partner	N	Montclair, NJ, United States
09/2021 - 03/2022	GLADSTONE INSTITUTIONAL ADVISORY LLC/DBA: GladstoneWealthPartners	Administrative Associate	Y	Chester, NJ, United States
09/2021 - 03/2022	LPL Financial, LLC	Administrative Associate	Y	Chester, NJ, United States
06/2021 - 09/2021	Unemployed	Unemployed	N	Chester, NJ, United States



Registration & Employment History

EMPLOYMENT HISTORY

Employment Dates	Employer Name	Position	Investment Related	Employer Location
10/2012 - 06/2021	J.P. MORGAN SECURITIES LLC	Mass Transfer	Y	CHATHAM, NJ, 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.

- 05/05/2023 - Momentum Wealth Partners - Investment Related - At Reported Business Location(s) - DBA for LPL Business (entity for LPL business) - Start Date 04/28/2023 - 160 Hours Per Month/ 40 Hours During Securities Trading
- 06/22/2023 - Real Estate Rental - Investment Related - Jersey City, NJ - Real Estate Rental - Owner - Start Date 4/1/2011 - 8 Hours Per Month
- 06/22/2023 - Momentum Wealth Partners - Investment Related - At Reported Business Location(s) - DBA for LPL Business (entity for LPL business) - Start Date 3/14/2023 - 160 Hours Per Month/ 8 Hours During Securities Trading
- 06/22/2023 - AAAA Vacation Realty LLC - Not Investment Related - Wells, ME - Short term Vacation Rentals - Start Date 11/11/2021 - 8 Hours Per Month - Time Spent 5%
- 02/02/2024 - SAH Wealth Management LLC - Business Entity For Tax/Investment Purposes Only - Not Investment Related - At Reported Business Location(s) - Start Date 10/25/2023 - 4 Hours Per Month/ During Trading
- 04/26/2024 - Syed 'Asif' Hussain - Business Owner - Not Investment Related - At Reported Business Location(s) - Start Date 10/25/2023 - 4 Hours Per Month/ During Trading
- 06/05/2024 - Momentum Innovations - Other - Technology Services - Managing Partner/ Founder - Not Investment Related - At Reported Business Location(s) - Start Date 05/20/2024 - 10 Hours per Month/ During Trading
- 09/04/2025 - Momentum Insurance Services - Insurance Agency - Investment Related - At Reported Business Location(s) - Start Date 09/01/2025 - 10 Hours Per Month/ 5 hrs During Trading



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	2

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 2

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	J.P. MORGAN SECURITIES LLC
Allegations:	CLIENT ALLEGES MISREPRESENTATION REGARDING MUTUAL FUND INVESTMENT. ACTIVITY DATES 09/01/2012-09/30/2012.
Product Type:	Mutual Fund
Alleged Damages:	\$30,000.00
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:	12/06/2012
Complaint Pending?	No
Status:	Denied
Status Date:	01/22/2013
Settlement Amount:	\$0.00
Individual Contribution Amount:	\$0.00



Disclosure 2 of 2

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: CHASE INVESTMENT SERVICES CORP.

Allegations: CLIENT ALLEGES MISREPRESENTATION IN CONNECTION WITH A MUTUAL FUND INVESTMENT.

Product Type: Mutual Fund(s)

Alleged Damages: \$10,750.00

Customer Complaint Information

Date Complaint Received: 07/08/2008

Complaint Pending? No

Status: Settled

Status Date: 08/14/2008

Settlement Amount: \$7,003.83

Individual Contribution Amount: \$0.00

Broker Statement TRADE CANCELLED COST TO CANCEL \$7003.83. NO LOSS TO CUSTOMER. LOSS TO FIRM WAS \$7003.83



End of Report

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