



## IAPD Report

# CHARLES PENNOCK COLLINGS

CRD# 51101

<b><u>Section Title</u></b>	<b><u>Page(s)</u></b>
Report Summary	1
Qualifications	2 - 5
Registration and Employment History	6
Disclosure Information	7

**i** 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

### CHARLES PENNOCK COLLINGS (CRD# 51101)

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 **04/06/2026**.

### CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
<b>B</b>	JANNEY MONTGOMERY SCOTT LLC	CRD# 463	05/05/2009
<b>IA</b>	JANNEY MONTGOMERY SCOTT LLC	CRD# 463	05/12/2009

### QUALIFICATIONS

This representative is currently registered in **3** SRO(s) and **29** 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>	CITIGROUP GLOBAL MARKETS INC.	7059	BRYN MAWR, PA	02/21/2006 - 05/27/2009
<b>B</b>	LEGG MASON WOOD WALKER, INCORPORATED	6555	BALTIMORE, MD	01/31/1996 - 02/21/2006
<b>B</b>	LEGG MASON WOOD WALKER, INCORPORATED	6555	BALTIMORE, MD	11/03/1987 - 01/25/1996

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 **29** jurisdiction(s) and 3 SRO(s) through his or her employer(s).

#### Employment 1 of 1

Firm Name: **JANNEY MONTGOMERY SCOTT LLC**  
Main Address: 1717 ARCH STREET  
PHILADELPHIA, PA 19103  
Firm ID#: 463

	Regulator	Registration	Status	Date
<b>B</b>	FINRA	General Securities Principal	Approved	05/05/2009
<b>B</b>	FINRA	General Securities Representative	Approved	05/05/2009
<b>B</b>	FINRA	Registered Options Principal	Approved	05/05/2009
<b>B</b>	Nasdaq Stock Market	General Securities Principal	Approved	05/05/2009
<b>B</b>	Nasdaq Stock Market	General Securities Representative	Approved	05/05/2009
<b>B</b>	Nasdaq Stock Market	Registered Options Principal	Approved	05/05/2009
<b>B</b>	New York Stock Exchange	General Securities Representative	Approved	05/05/2009
<b>B</b>	New York Stock Exchange	General Securities Principal	Approved	06/26/2010
<b>B</b>	Arizona	Agent	Approved	12/12/2019
<b>B</b>	California	Agent	Approved	05/05/2009
<b>B</b>	Colorado	Agent	Approved	12/06/2019
<b>B</b>	Connecticut	Agent	Approved	05/05/2009
<b>B</b>	Delaware	Agent	Approved	12/10/2019



### Qualifications

Regulator	Registration	Status	Date
<b>B</b> Florida	Agent	Approved	05/05/2009
<b>B</b> Georgia	Agent	Approved	05/13/2021
<b>B</b> Indiana	Agent	Approved	11/12/2025
<b>B</b> Kentucky	Agent	Approved	12/06/2019
<b>B</b> Maryland	Agent	Approved	05/05/2009
<b>B</b> Massachusetts	Agent	Approved	05/05/2009
<b>B</b> Michigan	Agent	Approved	05/05/2009
<b>B</b> Missouri	Agent	Approved	10/27/2021
<b>B</b> Nebraska	Agent	Approved	04/22/2021
<b>B</b> Nevada	Agent	Approved	10/07/2009
<b>B</b> New Hampshire	Agent	Approved	05/05/2009
<b>B</b> New Jersey	Agent	Approved	05/05/2009
<b>B</b> New York	Agent	Approved	05/05/2009
<b>B</b> North Carolina	Agent	Approved	05/05/2009
<b>B</b> Ohio	Agent	Approved	02/22/2023
<b>B</b> Oregon	Agent	Approved	09/02/2021
<b>B</b> Pennsylvania	Agent	Approved	05/05/2009
<b>IA</b> Pennsylvania	Investment Adviser Representative	Approved	05/12/2009
<b>B</b> Rhode Island	Agent	Approved	10/15/2025



### Qualifications

Regulator	Registration	Status	Date
<b>B</b> South Carolina	Agent	Approved	03/25/2015
<b>B</b> Tennessee	Agent	Approved	11/20/2023
<b>B</b> Texas	Agent	Approved	05/05/2009
<b>IA</b> Texas	Investment Adviser Representative	Restricted Approval	02/25/2021
<b>B</b> Utah	Agent	Approved	08/18/2014
<b>B</b> Virginia	Agent	Approved	05/05/2009
<b>B</b> Washington	Agent	Approved	04/07/2026

### Branch Office Locations

**JANNEY MONTGOMERY SCOTT LLC**

40 Morris Avenue  
Suite 200  
Bryn Mawr, PA 19010



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

#### Principal/Supervisory Exams

Exam	Category	Date
General Securities Principal Examination (S24)	Series 24	02/13/1984
Registered Options Principal Examination (S4)	Series 4	07/08/1982

#### General Industry/Product Exams

Exam	Category	Date
General Securities Representative Examination (S7TO)	Series 7TO	01/02/2023
Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
AMEX Put and Call Exam (PC)	PC	11/01/1977
Registered Representative Examination (S1)	Series 1	08/19/1974

#### State Securities Law Exams

Exam	Category	Date
Uniform Securities Agent State Law Examination (S63)	Series 63	10/30/1984

### 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	02/21/2006 - 05/27/2009	CITIGROUP GLOBAL MARKETS INC.	CRD# 7059	BRYN MAWR, PA
B	01/31/1996 - 02/21/2006	LEGG MASON WOOD WALKER, INCORPORATED	CRD# 6555	BALTIMORE, MD
B	11/03/1987 - 01/25/1996	LEGG MASON WOOD WALKER, INCORPORATED	CRD# 6555	
B	10/30/1987 - 11/03/1987	LEGG MASON MASTEN INC.	CRD# 2	
B	05/21/1985 - 10/30/1987	LEGG MASON WOOD WALKER, INCORPORATED	CRD# 6555	
B	05/18/1982 - 05/21/1985	COLLINGS LEGG MASON, INC.	CRD# 4001	

### 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
05/2009 - Present	JANNEY MONTGOMERY SCOTT LLC	FINANCIAL ADVISOR	Y	BRYN MAWR, 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.

Primitive Hall Foundation, Unionville, PA. Advisory Board (12/2025). Not compensated, not investment related, 1 hour/month.



## 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:** ILLINOIS SECURITIES DEPARTMENT

**Sanction(s) Sought:**

**Other Sanction(s) Sought:**

**Date Initiated:** 02/08/1999

**Docket/Case Number:** 9800557

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

**Product Type:**

**Other Product Type(s):**

**Allegations:** RESPONDENT'S SALESPERSON REGISTRATION IN ILLINOIS IS SUBJECT TO REVOCATION BASED UPON NYSE ACCEPTED STIPULATION OF FACTS AND CONSENT TO PENALTY, FILE NO. 98-105.

**Current Status:** Final

**Resolution:** Consent

**Resolution Date:** 04/07/1999

**Sanctions Ordered:** Censure

**Other Sanctions Ordered:**

**Sanction Details:** A CONSENT ORDER OF CENSURE WAS ISSUED, APRIL 7, 1999. THE RESPONDENT IS CENSURED. THE RESPONDENT SHALL PAY



\$1,000 FOR COSTS OF INVESTIGATION.

**Regulator Statement**

CONTACT: (217) 785-4948

---

**Reporting Source:**

Individual

**Regulatory Action Initiated By:**

STATE OF ILLINOIS SECURITIES DEPARTMENT

**Sanction(s) Sought:****Other Sanction(s) Sought:****Date Initiated:**

02/08/1999

**Docket/Case Number:**

9800557

**Employing firm when activity occurred which led to the regulatory action:****Product Type:****Other Product Type(s):****Allegations:**

CHARLES COLLINGS REGISTRATION IN THE STATE OF ILLINOIS IS SUBJECT TO REVOCATION OR SUSPENSION BASED UPON A NEW YORK STOCK EXCHANGE ACCEPTED STIPULATION OF FACTS AND CONSENT TO PENALTY.

**Current Status:**

Final

**Resolution:**

Consent

**Resolution Date:**

04/07/1999

**Sanctions Ordered:**

Censure

**Other Sanctions Ordered:****Sanction Details:**

IN ORDER TO AVOID THE TIME AND EXPENSE OF LITIGATION, MR COLLINGS AGREED TO SIGN A CONSENT ORDER OF CENSURE AND LEGG MASON WOOD WALKER, INC PAID FOR THE STATES INVESTIGATION.

**Broker Statement**

THE CIRCUMSTANCES SURROUNDING THIS INVESTIGATION OCCURRED NEARLY TEN YEARS AGO AND CONCERNED SUPERVISORY RESPONSIBILITIES I HAD AT THAT TIME. I NO LONGER ACT IN A SUPERVISORY CAPACITY. MY EMPLOYER AND I SETTLED THIS MATTER IN ORDER TO AVOID THE TIME ANT EXPENSE OF LITIGATION.

**Disclosure 2 of 2****Reporting Source:**

Regulator

**Regulatory Action Initiated By:**

NYSE DIVISION OF ENFORCEMENT

**Sanction(s) Sought:****Other Sanction(s) Sought:****Date Initiated:**

08/26/1998

**Docket/Case Number:**

98-105



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

**Product Type:**

**Other Product Type(s):**

**Allegations:**

**\*\*08/26/1998\*\*** STIPULATION AND CONSENT TO PENALTY FILED BY NYSE DIVISION OF ENFORCEMENT AND PENDING. CONSENTED TO FINDINGS: 1. VIOLATED EXCHANGE RULE 342(a) BY FAILING TO REASONABLY DISCHARGE HIS DUTIES AND OBLIGATIONS IN CONNECTION WITH THE SUPERVISION AND CONTROL OF THE ACTIVITIES OF A REGISTERED REPRESENTATIVE OF HIS MEMBER ORGANIZATION EMPLOYER; AND 2. VIOLATED EXCHANGE RULE 405(2) BY FAILING TO SUPERVISE DILIGENTLY AN ACCOUNT HANDLED BY A REGISTERED REPRESENTATIVE OF HIS MEMBER ORGANIZATION EMPLOYER SUBJECT TO HIS SUPERVISION. 3. THE IMPOSITION BY THE EXCHANGE OF THE PENALTY OF A CENSURE AND A SUSPENSION FROM EMPLOYMENT OR ASSOCIATION IN A SUPERVISORY CAPACITY WITH ANY MEMBER OR MEMBER ORGANIZATION FOR A PERIOD OF FIVE WEEKS; AND A FINE OF \$7,500.

**Current Status:**

Final

**Resolution:**

Stipulation and Consent

**Resolution Date:**

11/20/1998

**Sanctions Ordered:**

Censure  
Monetary/Fine \$7,500.00  
Suspension

**Other Sanctions Ordered:**

**Sanction Details:**

**\*\*10/06/1998\*\*** DECISION 98-105 ISSUED BY NYSE HEARING PANEL. DECISION: VIOLATED EXCHANGE RULE 342(a) BY FAILING TO REASONABLY SUPERVISE A REGISTERED REPRESENTATIVE; VIOLATED EXCHANGE RULE 405(2) BY FAILING TO DILIGENTLY SUPERVISE AN ACCOUNT HANDLED BY A REGISTERED REPRESENTATIVE -  
-  
CONSENT TO CENSURE, FIVE WEEKS SUPERVISORY SUSPENSION, AND \$7,500 FINE.

**Regulator Statement**

**\*\*10/06/1998\*\*** UNLESS A REVIEW BY THE NYSE BOARD OF DIRECTORS IS REQUESTED, THIS DECISION WILL BECOME FINAL 25 CALENDAR DAYS AFTER THE NOTICE OF THE HEARING PANEL'S DETERMINATION HAS BEEN SERVED UPON THE RESPONDENT.  
**\*\*11/20/1998\*\*** THE DECISION IS NOW FINAL. THE BAR OR SUSPENSION IMPOSED IS EFFECTIVE IMMEDIATELY. CONTACT: PEGGY GERMINO (212) 656-8450

**Reporting Source:**

Individual

**Regulatory Action Initiated By:**

NEW YORK STOCK EXCHANGE

**Sanction(s) Sought:**

**Other Sanction(s) Sought:**

**Date Initiated:**

08/26/1998



**Docket/Case Number:** 98-105

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

**Product Type:**

**Other Product Type(s):**

**Allegations:** MR. COLLINGS IS ALLEGED TO HAVE FAILED TO SUPERVISE THE ACTIVITIES OF A REGISTERED REPRESENTATIVE SUBJECT TO HIS SUPERVISION AND FAILED TO DILLIGENTLY SUPERVISE AN ACCOUNT HANDLED BY THAT REGISTERED REPRESENTATIVE.

**Current Status:** Final

**Resolution:** Stipulation and Consent

**Resolution Date:** 11/20/1998

**Sanctions Ordered:** Censure  
Monetary/Fine \$7,500.00  
Suspension

**Other Sanctions Ordered:**

**Sanction Details:** STIPULATION OF FACTS AND CONSENT TO PENALTY. WITHOUT ADMITTING OR DENYING GUILT, MR. COLLINGS CONSENTED TO FINDING THAT HE VIOLATED EXCHANGE RULES 342(a) AND 405(2) FOR FAILING TO SUPERVISE THE ACTIVITIES OF A REGISTERED REPRESENTATIVE SUBJECT TO HIS SUPERVISION. MR. COLLINGS CONSENTED TO A FINE OF \$7,500, CENSURE AND SUSPENSION FROM EMPLOYMENT IN A SUPERVISORY CAPACITY FOR 5 WEEKS.

**Broker Statement** Not Provided



## End of Report

This page is intentionally left blank.