IAPD Report

BRIAN DORFLINGER

CRD# 5426567

Section Title	Page(s)

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

User Guidance

www.adviserinfo.sec.gov

Report Summary

BRIAN DORFLINGER (CRD# 5426567)

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 **08/07/2023**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	LPL FINANCIAL LLC	CRD# 6413	03/03/2020
IA	PRIVATE ADVISOR GROUP, LLC	CRD# 155216	05/18/2020

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **7** 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
IA	RAYMOND JAMES FINANCIAL SERVICES ADVISORS, INC	149018	WEST DEPTFORD, NJ	12/09/2009 - 11/15/2019
B	RAYMOND JAMES FINANCIAL SERVICES, INC.	6694	WEST DEPTFORD, NJ	12/03/2009 - 11/15/2019
IA	EDWARD JONES	250	TANSBORO, NJ	01/16/2008 - 10/02/2009

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
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 **7** 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	FINRA	General Securities Representative	Approved	03/03/2020
B	Alabama	Agent	Approved	06/30/2023
B	Arizona	Agent	Approved	08/10/2020
B	California	Agent	Approved	03/04/2020
B	Florida	Agent	Approved	08/02/2021
B	Maryland	Agent	Approved	08/14/2023
B	New Jersey	Agent	Approved	03/03/2020
B	Pennsylvania	Agent	Approved	03/04/2020

Branch Office Locations

LPL FINANCIAL LLC
2301 E EVESHAM RD STE 406
VOORHEES, NJ 08043

Employment 2 of 2

Firm Name: **PRIVATE ADVISOR GROUP, LLC**
Main Address: 305 MADISON AVENUE
MORRISTOWN, NJ 07960
Firm ID#: 155216

Qualifications

	Regulator	Registration	Status	Date
IA	New Jersey	Investment Adviser Representative	Approved	05/18/2020

Branch Office Locations

PRIVATE ADVISOR GROUP, LLC
2301 Evesham Road
Suite 406
Voorhees, NJ 08043

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	Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
B	General Securities Representative Examination (S7)	Series 7	11/15/2007

State Securities Law Exams

	Exam	Category	Date
IA B	Uniform Combined State Law Examination (S66)	Series 66	01/02/2008

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
IA	12/09/2009 - 11/15/2019	RAYMOND JAMES FINANCIAL SERVICES ADVISORS, INC	CRD# 149018	WEST DEPTFORD, NJ
B	12/03/2009 - 11/15/2019	RAYMOND JAMES FINANCIAL SERVICES, INC.	CRD# 6694	WEST DEPTFORD, NJ
IA	01/16/2008 - 10/02/2009	EDWARD JONES	CRD# 250	TANSBORO, NJ
B	11/16/2007 - 10/02/2009	EDWARD JONES	CRD# 250	TANSBORO, NJ

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
05/2020 - Present	Private Advisor Group, LLC	Investment Adviser Representative	Y	VOORHEES, NJ, United States
03/2020 - Present	LPL Financial, LLC	Registered Representative	Y	VOORHEES, NJ, United States
02/2020 - Present	Edgewood Associates, Inc	Insurance Producer	N	Berlin, NJ, United States
08/2015 - Present	UBER	DRIVER	N	TANSBORO, NJ, United States
10/2011 - 11/2019	KENNEDY INSURANCE SERVICES	INSURANCE AGENT	Y	WEST DEPTFORD, NJ, United States
12/2009 - 11/2019	RAYMOND JAMES FINANCIAL SERVICES ADVISORS, INC	INVESTMENT ADVISOR	Y	WEST DEPTFORD, NJ, United States
12/2009 - 11/2019	RAYMOND JAMES FINANCIAL SERVICES, INC.	FINANCIAL ADVISOR	Y	WEST DEPTFORD, NJ, United States
11/2009 - 11/2019	KENNEDY INVESTMENT GROUP	EMPLOYEE	Y	WEST DEPTFORD, 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.

1. 3/3/2020- Uber- driver - Outside/W-2 Employment- Non-Inv. RElated- Tansboro, NJ- start date 8/2015- 15hrs/mth- 1%

2. 3/3/2020 - Edgewood Associates - Not Investment Related - 3 Harker Ave. Berlin, NJ 08009 - Property and Casualty - Started

Registration & Employment History

OTHER BUSINESS ACTIVITIES

Feb 2020.

3. 5/5/2020 - SGI Wealth Management - DBA: SGI Wealth Management, LLC - Investment Related - At Reported Business Location(s) - DBA for LPL Business (entity for LPL business) - Start Date: 03/04/2020 - 160 Hours Per Month/8 Hours During Securities Trading.

4. 10/29/2021 - Dorflinger Financial, LLC Dba Cedar Brook Financial - Investment Related - Home Based - Insurance Agency - Owner - Started 08/01/2021 - 20 Hours Per Month/1 Hour During Securities 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
Criminal	1

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
Organization Name (if charge(s) were brought against an organization over which individual exercised control):	N/A
Court Details:	STATE OF NEW JERSEY, CAMDEN COUNTY HALL OF JUSTICE 101 SOUTH FIFTH STREET CAMDEN, NJ 08103 (856) 379-2200 I-2046-06-00
Charge Date:	12/07/1999
Charge Details:	#1 AGGRAVATED ASSAULT, ONE COUNT, CRIME, NOT GUILTY, AMENDED TO SIMPLE ASSAULT, DISORDERLY PERSONS CHARGE. #2 OFFICIAL MISCONDUCT, TWO COUNTS, CRIME, NOT GUILTY, CHARGES DISMISSED
Felony?	Yes
Current Status:	Final
Status Date:	08/06/2001
Disposition Details:	#1 A. AGGRAVATED ASSAULT AMENDED TO SIMPLE ASSAULT, DISORDERLY PERSONS CHARGE B. 08/06/2001 C. PROBATION D. 5 YEARS REDUCED TO 2 1/2 YEARS. E. 08/2001 F. $1,415.33 G. BALANCED PAID 06/2004 #2 A. OFFICIAL MISCONDUCT CHARGES DISMISSED. B. 08/06/2001
Broker Statement	I WAS A MEMBER OF THE WINSLOW TOWNSHIP POLICE DEPARTMENT FOR NINE YEARS AND ASSIGNED TO THE PATROL DIVISION.I WAS ALSO ASSIGNED TO WINSLOW TOWNSHIP TACTICAL UNIT. MY SUPERIORS AND CO-WORKERS HAVE ALWAYS CONSIDERED ME AS BEING LEVEL HEADED, VERSED IN LAW, PATIENT AND ABLE TO HANDLE STRESSFUL SITUATIONS WITH THE UTMOST EASE.THESE ARE JUST A FEW OF THE REASONS WHY I WAS SELECTED TO THE HIGHLY TRAINED AND DISCIPLINED TACTICAL

UNIT. FURTHER, I HAVE NEVER BEEN IMPLEMENTED OR RECEIVED ANY FORM OF CIVILIAN COMPLAINT, NOR DID I CARRY ANY BLEMISHES IN MY PERSONAL FILE FOR MATTERS DEALING WITH THE VIOLATION OF CIVIL RIGHTS, NOR HAD I EVER BEEN ACCUSED OF EXERCISING UNNECESSARY FORCE DURING MY YEARS AS A POLICE OFFICER. TITLE 40A: 14-152.1, STATES "NOT WITHSTANDING THE PROVISIONS OF 40A: 14-152 OR ANY OTHER LAW TO THE CONTRARY, ANY FULL-TIME, PERMANENTLY APPOINTED MUNICIPAL POLICE OFFICER SHALL HAVE FULL POWER OF ARREST FOR ANY CRIME COMMITTED IN SAID OFFICER'S PRESENCE AND COMMITTED ANYWHERE WITHIN THE TERRITORIAL LIMITS OF THE STATE OF NEW JERSEY". TITLE 40A: 14-152, STATES " MEMBERS AND OFFICERS SHALL HAVE POWERS OF PEACE OFFICERS AND CONSTABLES. THE MEMBERS AND OFFICERS OF A POLICE DEPARTMENT AND FORCE, WITHIN THE TERRITORIAL LIMITS OF THE MUNICIPALITY, SHALL HAVE ALL THE POWERS OF PEACE OFFICERS AND UPON VIEW MAY APPREHEND AND ARREST ANY DISORDERLY PERSON OR ANY PERSON COMMITTING A BREACH OF THE PEACE. THROUGH THESE STATUTES, THE STATE GOVERNMENT HAS RESTRICTED MUNICIPAL POLICE OFFICERS FROM MAKING PETTY DISORDERLY OR DISORDERLY PERSONS ARREST, WHILE OUT OF THEIR EMPLOYING JURISDICTIONS. IT IS EVEN MANDATED THAT WHILE OUT OF THEIR JURISDICTION, POLICE ARE ONLY AUTHORIZED TO ARREST FOR A CRIME THAT WAS COMMITTED IN THEIR PRESENCE AND AT NO TIME DOES IT STATE THAT THE OFFICER WILL OR SHALL ARREST, IT ONLY STATES THAT SAID OFFICER "SHALL HAVE FULL POWER OF ARREST". STATUTE 2C: 1-4A, OF THE N.J. CODE DEFINES A CRIME AS "AN OFFENSE DEFINED BY THIS CODE OR BY OTHER STAT

End of Report

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