



## IAPD Report

# Charles R Doughty

CRD# 6067549

<b><u>Section Title</u></b>	<b><u>Page(s)</u></b>
Report Summary	1
Qualifications	2 - 6
Registration and Employment History	8 - 9

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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

### Charles R Doughty (CRD# 6067549)

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 **04/30/2026**.

### CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
<b>B</b>	TRANSAMERICA INVESTORS SECURITIES, LLC	CRD# 32205	04/14/2026
<b>IA</b>	TRANSAMERICA RETIREMENT ADVISORS, LLC	CRD# 107319	04/30/2026

### QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **52** 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>IA</b>	STRATEGIC ADVISERS LLC	104555	SALT LAKE CITY, UT	03/31/2025 - 03/12/2026
<b>B</b>	FIDELITY BROKERAGE SERVICES LLC	7784	SALT LAKE CITY, UT	04/21/2021 - 03/12/2026
<b>IA</b>	FIDELITY PERSONAL AND WORKPLACE ADVISORS	288590	SALT LAKE CITY, UT	09/06/2022 - 03/31/2025

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?

**No**



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

### Employment 1 of 2

Firm Name: **TRANSAMERICA INVESTORS SECURITIES, LLC**  
Main Address: 440 MAMARONECK AVENUE  
HARRISON, NY 10528  
Firm ID#: 32205

	Regulator	Registration	Status	Date
<b>B</b>	FINRA	General Securities Principal	Approved	04/14/2026
<b>B</b>	FINRA	General Securities Representative	Approved	04/14/2026
<b>B</b>	FINRA	General Securities Sales Supervisor	Approved	04/14/2026
<b>B</b>	FINRA	Invest. Co and Variable Contracts	Approved	04/14/2026
<b>B</b>	FINRA	Registered Options Principal	Approved	04/14/2026
<b>B</b>	Alabama	Agent	Approved	05/05/2026
<b>B</b>	Alaska	Agent	Approved	05/11/2026
<b>B</b>	Arizona	Agent	Approved	04/30/2026
<b>B</b>	Arkansas	Agent	Approved	05/06/2026
<b>B</b>	California	Agent	Approved	04/15/2026
<b>B</b>	Colorado	Agent	Approved	05/01/2026
<b>B</b>	Connecticut	Agent	Approved	05/04/2026
<b>B</b>	Delaware	Agent	Approved	05/01/2026



### Qualifications

Regulator	Registration	Status	Date
<b>B</b> District of Columbia	Agent	Approved	05/04/2026
<b>B</b> Florida	Agent	Approved	04/15/2026
<b>B</b> Georgia	Agent	Approved	04/15/2026
<b>B</b> Hawaii	Agent	Approved	05/01/2026
<b>B</b> Idaho	Agent	Approved	04/14/2026
<b>B</b> Illinois	Agent	Approved	05/07/2026
<b>B</b> Indiana	Agent	Approved	05/01/2026
<b>B</b> Iowa	Agent	Approved	05/05/2026
<b>B</b> Kansas	Agent	Approved	04/30/2026
<b>B</b> Kentucky	Agent	Approved	05/04/2026
<b>B</b> Louisiana	Agent	Approved	04/30/2026
<b>B</b> Maine	Agent	Approved	04/30/2026
<b>B</b> Maryland	Agent	Approved	05/11/2026
<b>B</b> Massachusetts	Agent	Approved	04/16/2026
<b>B</b> Michigan	Agent	Approved	05/01/2026
<b>B</b> Minnesota	Agent	Approved	04/30/2026
<b>B</b> Mississippi	Agent	Approved	04/30/2026
<b>B</b> Missouri	Agent	Approved	04/15/2026
<b>B</b> Montana	Agent	Approved	05/07/2026



### Qualifications

Regulator	Registration	Status	Date
<b>B</b> Nebraska	Agent	Approved	04/14/2026
<b>B</b> Nevada	Agent	Approved	04/30/2026
<b>B</b> New Hampshire	Agent	Approved	05/05/2026
<b>B</b> New Jersey	Agent	Approved	05/01/2026
<b>B</b> New Mexico	Agent	Approved	05/04/2026
<b>B</b> New York	Agent	Approved	05/12/2026
<b>B</b> North Carolina	Agent	Approved	05/01/2026
<b>B</b> North Dakota	Agent	Approved	05/06/2026
<b>B</b> Ohio	Agent	Approved	04/14/2026
<b>B</b> Oklahoma	Agent	Approved	05/11/2026
<b>B</b> Oregon	Agent	Approved	05/01/2026
<b>B</b> Pennsylvania	Agent	Approved	04/22/2026
<b>B</b> Puerto Rico	Agent	Approved	05/14/2026
<b>B</b> Rhode Island	Agent	Approved	04/15/2026
<b>B</b> South Carolina	Agent	Approved	05/05/2026
<b>B</b> South Dakota	Agent	Approved	05/01/2026
<b>B</b> Tennessee	Agent	Approved	05/01/2026
<b>B</b> Texas	Agent	Approved	04/14/2026
<b>B</b> Utah	Agent	Approved	04/15/2026



### Qualifications

Regulator	Registration	Status	Date
<b>B</b> Vermont	Agent	Approved	04/30/2026
<b>B</b> Virginia	Agent	Approved	04/16/2026
<b>B</b> Washington	Agent	Approved	05/05/2026
<b>B</b> West Virginia	Agent	Approved	05/04/2026
<b>B</b> Wisconsin	Agent	Approved	04/15/2026
<b>B</b> Wyoming	Agent	Approved	05/01/2026

### Branch Office Locations

Tucson, AZ

### Employment 2 of 2

Firm Name: **TRANSAMERICA RETIREMENT ADVISORS, LLC**  
 Main Address: 6400 C STREET SW  
 CEDAR RAPIDS, IA 52499  
 Firm ID#: 107319

Regulator	Registration	Status	Date
<b>IA</b> Arizona	Investment Adviser Representative	Approved	04/30/2026

### Branch Office Locations

**TRANSAMERICA RETIREMENT ADVISORS, LLC**  
 Tucson, AZ







## 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, 3 general industry/product exams, and 2 state securities law exams.**



#### 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	07/12/2022
 Registered Options Principal Examination (S4)	Series 4	08/20/2021
 General Securities Principal Examination (S24)	Series 24	09/27/2019

#### General Industry/Product Exams

Exam	Category	Date
 Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
 General Securities Representative Examination (S7)	Series 7	06/27/2016
 Investment Company Products/Variable Contracts Representative Examination (S6)	Series 6	02/04/2013

#### State Securities Law Exams

Exam	Category	Date
 Uniform Investment Adviser Law Examination (S65)	Series 65	05/12/2016
 Uniform Securities Agent State Law Examination (S63)	Series 63	04/26/2013



## 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
IA	03/31/2025 - 03/12/2026	STRATEGIC ADVISERS LLC	CRD# 104555	SALT LAKE CITY, UT
B	04/21/2021 - 03/12/2026	FIDELITY BROKERAGE SERVICES LLC	CRD# 7784	SALT LAKE CITY, UT
IA	09/06/2022 - 03/31/2025	FIDELITY PERSONAL AND WORKPLACE ADVISORS	CRD# 288590	SALT LAKE CITY, UT
IA	09/02/2016 - 02/18/2021	EQUITABLE ADVISORS, LLC	CRD# 6627	SALT LAKE CITY, UT
B	03/17/2016 - 02/18/2021	EQUITABLE ADVISORS, LLC	CRD# 6627	SALT LAKE CITY, UT
B	03/02/2015 - 03/09/2016	KEY INVESTMENT SERVICES LLC	CRD# 136300	BALDWINVILLE, NY
B	02/05/2013 - 01/05/2015	NORTHWESTERN MUTUAL INVESTMENT SERVICES, LLC	CRD# 2881	E SYRACUSE, 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
04/2026 - Present	Transamerica Investors Securities, LLC	Registered Rep	Y	Tucson, AZ, United States
04/2026 - Present	Transamerica Life Insurance Company	Retirement Specialist	Y	Tucson, AZ, United States
04/2026 - Present	Transamerica Retirement Advisors, LLC	Investment Adviser Rep	Y	Tucson, AZ, United States
03/2025 - 02/2026	Fidelity Investments	Mass Transfer	Y	BOSTON, MA, United States
02/2021 - 02/2026	FIDELITY INVESTMENTS	TRADING EXECUTION REPRESENTATIVE II	Y	SALT LAKE CITY, UT, United States
03/2016 - 02/2021	EQUITABLE	EMPLOYEE	Y	SYRACUSE, NY, United States
03/2016 - 02/2021	EQUITABLE ADVISORS, LLC	REGISTERED REPRESENTATIVE	Y	NEW YORK, NY, United States
03/2016 - 06/2020	AXA	PERSONAL ACCOUNT MANAGER	Y	SYRACUSE, NY, United States



## Registration & Employment History

### EMPLOYMENT HISTORY

Employment Dates	Employer Name	Position	Investment Related	Employer Location
03/2016 - 06/2020	AXA ADVISORS, LLC	REGISTERED REPRESENTATIVE	Y	NEW YORK, NY, 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.

OBA-117250|OrgNm:Content Creator - Short Storys and Inspiration|Org Addr:Salt Lake ,Utah,US|OBA Nature:Doing faceless youtube creatio|Invst Rel:N|Title:Youtube Creator|Duties:None at my leisure|StrtDt:|TotHrs/mon:10|TrdHrs/mon:0|



## End of Report

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