



## IAPD Report

# BRIAN JAMES MCCAFFERTY

CRD# 704729

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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 JAMES MCCAFFERTY (CRD# 704729)

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 **04/20/2022**.

### CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	J. ALDEN ASSOCIATES, INC.	CRD# 40002	03/28/2022
IA	ALDEN INVESTMENT GROUP	CRD# 317077	04/27/2022

### QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **4** jurisdiction(s).

Is this representative currently Inactive or Suspended with any regulator? **Yes**

**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	WOOD (ARTHUR W.) COMPANY, INC.	3798	BOSTON, MA	01/27/2021 - 12/31/2021
IA	KINGSWOOD WEALTH ADVISORS, LLC	288792	Morristown, NJ	12/04/2018 - 01/04/2021
B	KINGSWOOD CAPITAL PARTNERS, LLC	288898	Clearfield, PA	08/22/2018 - 01/04/2021

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
Regulatory Event	1
Customer Dispute	1
Judgment/Lien	4



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

This individual has 3 inactive or suspended registration(s).

#### Employment 1 of 2

Firm Name: **ALDEN INVESTMENT GROUP**  
Main Address: 37 WEST AVENUE  
SUITE 301  
WAYNE, PA 19087-3226  
Firm ID#: 317077

	Regulator	Registration	Status	Date
<b>IA</b>	New Jersey	Investment Adviser Representative	Approved	04/27/2022

#### Branch Office Locations

**ALDEN INVESTMENT GROUP**  
Red Bank, NJ

#### Employment 2 of 2

Firm Name: **J. ALDEN ASSOCIATES, INC.**  
Main Address: 37 WEST AVE  
SUITE 301  
WAYNE, PA 19087  
Firm ID#: 40002

	Regulator	Registration	Status	Date
<b>B</b>	FINRA	General Securities Representative	Inactive - Continuing Education	03/28/2022
<b>B</b>	FINRA	General Securities Sales Supervisor	Inactive - Continuing Education	03/28/2022
<b>B</b>	FINRA	Municipal Securities Representative	Inactive - Continuing Education	03/28/2022



## Qualifications

	Regulator	Registration	Status	Date
B	Florida	Agent	Approved	04/21/2022
B	New Jersey	Agent	Approved	04/05/2022
B	Pennsylvania	Agent	Approved	04/21/2022
B	South Carolina	Agent	Approved	04/22/2022

## Branch Office Locations

Red Bank, 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 3 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	01/02/2023
	General Securities Sales Supervisor Examination (Options Module & General Module) (S8)	Series 8	09/29/1994

#### 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
	General Securities Representative Examination (S7)	Series 7	02/16/1980

#### State Securities Law Exams

	Exam	Category	Date
	Uniform Investment Adviser Law Examination (S65)	Series 65	07/28/2008
	Uniform Securities Agent State Law Examination (S63)	Series 63	04/02/1980

### 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	01/27/2021 - 12/31/2021	WOOD (ARTHUR W.) COMPANY, INC.	CRD# 3798	BOSTON, MA
IA	12/04/2018 - 01/04/2021	KINGSWOOD WEALTH ADVISORS, LLC	CRD# 288792	Morristown, NJ
B	08/22/2018 - 01/04/2021	KINGSWOOD CAPITAL PARTNERS, LLC	CRD# 288898	Clearfield, PA
B	12/11/2017 - 08/13/2018	NIAGARA INTERNATIONAL CAPITAL LIMITED	CRD# 135327	NEW YORK, NY
IA	01/20/2011 - 12/08/2017	OPPENHEIMER & CO. INC.	CRD# 249	RED BANK, NJ
B	01/19/2011 - 12/08/2017	OPPENHEIMER & CO. INC.	CRD# 249	RED BANK, NJ
B	03/19/2008 - 01/18/2011	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	CRD# 7691	BEDMINSTER, NJ
IA	03/18/2008 - 01/18/2011	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	CRD# 7691	BEDMINSTER, NJ
B	01/01/2008 - 03/25/2008	WACHOVIA SECURITIES, LLC	CRD# 19616	MORISTOWN, NJ
IA	01/01/2008 - 03/25/2008	WACHOVIA SECURITIES, LLC	CRD# 19616	MORISTOWN, NJ
B	06/22/1994 - 01/03/2008	A. G. EDWARDS & SONS, INC.	CRD# 4	BERNARDSVILLE, NJ
IA	10/15/2003 - 01/01/2008	A. G. EDWARDS & SONS, INC.	CRD# 4	BERNARDSVILLE, NJ
B	11/07/1989 - 06/22/1994	PAINWEBBER INCORPORATED	CRD# 8174	WEEHAWKEN, NJ
B	03/23/1984 - 12/05/1989	DEAN WITTER REYNOLDS INC.	CRD# 7556	PURCHASE, NY
B	03/09/1984 - 04/10/1984	SHEARSON/AMERICAN EXPRESS INC.	CRD# 7506	
B	03/03/1982 - 03/27/1984	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	CRD# 7691	
B	08/22/1980 - 03/25/1982	DEAN WITTER REYNOLDS INC.	CRD# 7556	



## 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>B</b>	02/22/1980 - 08/28/1980	PHILIPS, APPEL & WALDEN, INC.	CRD# 659	

### 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
02/2022 - Present	Alden Investment Group	Investment Representative	Y	Wayne, PA, United States
01/2021 - 12/2021	Arthur W. Wood Company, Inc.	Registered Representative	Y	Boston, MA, United States
08/2018 - 12/2020	Chalice Capital Partners, LLC	Registered Representative	Y	San Diego, CA, United States
01/2018 - 12/2020	Chalice Wealth Advisors	Financial Advisor	Y	San Diego, CA, United States
01/2018 - 08/2018	Niagara International Capital Limited	Registered Representative	Y	San Diego, CA, United States
01/2011 - 12/2017	OPPENHEIMER & CO	Branch Manager	Y	RED BANK, 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.

No information reported.





## 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	1
Customer Dispute	1
Judgment/Lien	4

### 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 1

<b>Reporting Source:</b>	Regulator
<b>Regulatory Action Initiated By:</b>	FINRA
<b>Sanction(s) Sought:</b>	Suspension
<b>Date Initiated:</b>	10/27/2011
<b>Docket/Case Number:</b>	<a href="#">07-02357</a>
<b>Employing firm when activity occurred which led to the regulatory action:</b>	N/A
<b>Product Type:</b>	No Product
<b>Allegations:</b>	RESPONDENT BRIAN MCCAFFERTY FAILED TO PAY ARBITRATION FEES ASSESSED IN FINRA ARBITRATION CASE 07-02357.
<b>Current Status:</b>	Final
<b>Resolution:</b>	LETTER
<b>Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct?</b>	No
<b>Resolution Date:</b>	11/18/2011



**Sanctions Ordered:**

Suspension

If the regulator is the SEC, CFTC, or an SRO, did the action result in a finding of a willful violation or failure to supervise?

No

(1) willfully violated any provision of the Securities Act of 1933, the Securities Exchange Act of 1934, the Investment Advisers Act of 1940, the Investment Company Act of 1940, the Commodity Exchange Act, or any rule or regulation under any of such Acts, or any of the rules of the Municipal Securities Rulemaking Board, or to have been unable to comply with any provision of such Act, rule or regulation?

(2) willfully aided, abetted, counseled, commanded, induced, or procured the violation by any person of any provision of the Securities Act of 1933, the Securities Exchange Act of 1934, the Investment Advisers Act of 1940, the Investment Company Act of 1940, the Commodity Exchange Act, or any rule or regulation under any of such Acts, or any of the rules of the Municipal Securities Rulemaking Board? or



(3) failed reasonably to supervise another person subject to your supervision, with a view to preventing the violation by such person of any provision of the Securities Act of 1933, the Securities Exchange Act of 1934, the Investment Advisers Act of 1940, the Investment Company Act of 1940, the Commodity Exchange Act, or any rule or regulation under any such Acts, or any of the rules of the Municipal Securities Rulemaking Board?

**Sanction 1 of 1**

**Sanction Type:** Suspension

**Capacities Affected:** ANY CAPACITY

**Duration:** N/A

**Start Date:** 11/18/2011

**End Date:** 12/02/2011

**Regulator Statement** PURSUANT TO FINRA RULE 9553, RESPONDENT MCCAFFERTY'S REGISTRATION WITH FINRA IS SUSPENDED NOVEMBER 18, 2011 FOR FAILURE TO PAY ARBITRATION FEES. SUSPENSION LIFTED DECEMBER 2, 2011.

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**Reporting Source:** Individual

**Regulatory Action Initiated By:** FINRA

**Sanction(s) Sought:** Suspension

**Date Initiated:** 10/27/2011

**Docket/Case Number:** [07-02357](#)

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

**Product Type:** No Product

**Allegations:** RESPONDENT BRIAN MCCAFFERTY FAILED TO PAY ARBITRATION FEES ASSESSED IN FINRA ARBITRATION CASE 07-02357

**Current Status:** Final

**Resolution:** LETTER



**Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct?**

No

**Resolution Date:**

11/18/2011

**Sanctions Ordered:**

Suspension  
Other: NO

**Sanction 1 of 1**

**Sanction Type:**

Suspension

**Capacities Affected:**

ANY CAPACITY

**Duration:**

N/A

**Start Date:**

11/18/2011

**End Date:**

**Broker Statement**

"This was an oversight on the part of myself and my attorney with regard to an insignificant payment due to an arbitration that I had initiated. The amount in question was about \$1,700 and was promptly paid." PURSUANT TO FINRA RULE 9553, RESPONDENT MCCAFFERTY'S REGISTRATION WITH FINRA IS SUSPENDED NOVEMBER 18, 2011 FOR FAILURE TO PAY ARBITRATION FEES. SUSPENSION LIFTED DECEMBER 2, 2011.



## 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

<b>Reporting Source:</b>	Individual
<b>Employing firm when activities occurred which led to the complaint:</b>	A. G. EDWARDS & SONS, INC.
<b>Allegations:</b>	ALLEGED FAILURE TO SUPERVISE.
<b>Product Type:</b>	Equity-OTC
<b>Alleged Damages:</b>	\$809,274.00
<b>Is this an oral complaint?</b>	No
<b>Is this a written complaint?</b>	No
<b>Is this an arbitration/CFTC reparation or civil litigation?</b>	Yes
<b>Arbitration/Reparation forum or court name and location:</b>	NYSE
<b>Docket/Case #:</b>	NYSE #2003-011548
<b>Filing date of arbitration/CFTC reparation or civil litigation:</b>	03/18/2003

### Customer Complaint Information

<b>Date Complaint Received:</b>	03/18/2003
<b>Complaint Pending?</b>	No
<b>Status:</b>	Evolved into Arbitration/CFTC reparation (the individual is a named party)
<b>Status Date:</b>	03/18/2003
<b>Settlement Amount:</b>	\$255,000.00
<b>Individual Contribution Amount:</b>	\$0.00

### Arbitration Information

<b>Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.):</b>	NYSE
<b>Docket/Case #:</b>	NYSE #2003-011548
<b>Date Notice/Process Served:</b>	03/18/2003
<b>Arbitration Pending?</b>	No
<b>Disposition:</b>	Settled
<b>Disposition Date:</b>	03/18/2004



**Monetary Compensation Amount:** \$255,000.00

**Individual Contribution Amount:** \$0.00

**Broker Statement** PER THE SETTLEMENT AGREEMENT I WAS DISMISSED FROM THIS ARBITRATION WITH PREJUDICE. CLAIMANT AGREES TO EXECUTE AND AUTHORIZED HER COUNSEL TO EXECUTE ALL DOCUMENTS REASONABLE IN NATURE AND/OR IN SUBSTANCE TO ASSIST ME IN HAVING THIS MATTER EXPUNGED FROM MY CRD RECORD.



## Judgment/Lien

This disclosure event involves an unsatisfied and outstanding judgment or lien against the Investment Adviser Representative.

### Disclosure 1 of 4

<b>Reporting Source:</b>	Individual
<b>Judgment/Lien Holder:</b>	Morristown Memorial Hospital
<b>Judgment/Lien Amount:</b>	\$3,540.00
<b>Judgment/Lien Type:</b>	Civil
<b>Date Filed with Court:</b>	09/04/2007
<b>Date Individual Learned:</b>	01/19/2018
<b>Type of Court:</b>	State Court
<b>Name of Court:</b>	Morris County
<b>Location of Court:</b>	Morristown, New Jersey
<b>Docket/Case #:</b>	DC00624907
<b>Judgment/Lien Outstanding?</b>	Yes
<b>Broker Statement</b>	"This does not appear on any records that could be found."

### Disclosure 2 of 4

<b>Reporting Source:</b>	Individual
<b>Judgment/Lien Holder:</b>	HIGH FOCUS CENTERS
<b>Judgment/Lien Amount:</b>	\$2,577.28
<b>Judgment/Lien Type:</b>	Civil
<b>Date Filed with Court:</b>	05/28/2015
<b>Date Individual Learned:</b>	05/28/2015
<b>Type of Court:</b>	SUPERIOR COURT OF NEW JERSEY
<b>Name of Court:</b>	SUPERIOR COURT OF NEW JERSEY
<b>Location of Court:</b>	MORRIS, NJ
<b>Docket/Case #:</b>	DC-005095-14
<b>Judgment/Lien Outstanding?</b>	Yes
<b>Broker Statement</b>	THIS IS A DISPUTED ITEM REGARDING a contested overcharge relating to one of my children.

### Disclosure 3 of 4

<b>Reporting Source:</b>	Individual
<b>Judgment/Lien Holder:</b>	STATE OF NEW JERSEY
<b>Judgment/Lien Amount:</b>	\$9,025.06
<b>Judgment/Lien Type:</b>	Civil
<b>Date Filed with Court:</b>	06/08/2015
<b>Date Individual Learned:</b>	06/08/2015





**Type of Court:** State Court  
**Name of Court:** STATE OF NEW JERSEY  
**Location of Court:** MORRIS, NEW JERSEY  
**Docket/Case #:** CS90789522A  
**Judgment/Lien Outstanding?** Yes  
**Broker Statement** This is a currently contested item relating to child support with regard to an adult emancipated daughter.

#### Disclosure 4 of 4

**Reporting Source:** Individual  
**Judgment/Lien Holder:** ST. CLARES HEALTH SYSTEM  
**Judgment/Lien Amount:** \$1,663.07  
**Judgment/Lien Type:** Civil  
**Date Filed with Court:** 02/22/2013  
**Date Individual Learned:** 03/19/2015  
**Type of Court:** State Court  
**Name of Court:** MORRIS COUNTY SUPERIOR COURT  
**Location of Court:** MORRIS COUNTY, NEW JERSEY  
**Docket/Case #:** DC 010093-12  
**Judgment/Lien Outstanding?** Yes  
**Broker Statement** I HAVE NEVER BEEN TO ST. CLARES HOSPITAL.



## End of Report

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