



IAPD Report

William George Harvey

CRD# 722249

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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

William George Harvey (CRD# 722249)

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 **01/28/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	JANNEY MONTGOMERY SCOTT LLC	CRD# 463	04/12/2002
IA	JANNEY MONTGOMERY SCOTT LLC	CRD# 463	05/30/2006

QUALIFICATIONS

This representative is currently registered in **3** SRO(s) and **43** 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	LEGG MASON WOOD WALKER, INCORPORATED	6555	BALTIMORE, MD	02/26/1988 - 05/02/2002
B	MOSELEY, HALLGARTEN, ESTABROOK & WEEDEN, INC.	7908	BALTIMORE, MD	03/05/1985 - 02/27/1988
B	DREXEL BURNHAM LAMBERT INCORPORATED	7323	BALTIMORE, MD	01/19/1981 - 03/25/1985

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	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 **43** 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	FINRA	General Securities Representative	Approved	04/12/2002
B	FINRA	General Securities Sales Supervisor	Approved	04/12/2002
B	Nasdaq Stock Market	General Securities Representative	Approved	07/12/2006
B	Nasdaq Stock Market	General Securities Sales Supervisor	Approved	07/12/2006
B	New York Stock Exchange	General Securities Representative	Approved	04/12/2002
B	New York Stock Exchange	General Securities Sales Supervisor	Approved	10/01/2018
B	Alabama	Agent	Approved	01/06/2020
B	Arizona	Agent	Approved	05/09/2002
B	Arkansas	Agent	Approved	01/09/2012
B	California	Agent	Approved	04/12/2002
IA	California	Investment Adviser Representative	Approved	01/07/2010
B	Colorado	Agent	Approved	11/27/2006
B	Connecticut	Agent	Approved	05/02/2002



Qualifications

	Regulator	Registration	Status	Date
B	Delaware	Agent	Approved	05/29/2002
B	District of Columbia	Agent	Approved	04/25/2002
B	Florida	Agent	Approved	04/15/2002
B	Georgia	Agent	Approved	05/20/2002
B	Illinois	Agent	Approved	01/30/2017
B	Indiana	Agent	Approved	09/24/2015
B	Iowa	Agent	Approved	05/23/2022
B	Kansas	Agent	Approved	06/06/2023
B	Kentucky	Agent	Approved	11/14/2016
B	Louisiana	Agent	Approved	10/25/2016
B	Maine	Agent	Approved	04/19/2002
B	Maryland	Agent	Approved	04/16/2002
B	Massachusetts	Agent	Approved	04/17/2002
B	Michigan	Agent	Approved	11/19/2013
B	Minnesota	Agent	Approved	08/15/2019
B	Missouri	Agent	Approved	03/04/2019
B	Montana	Agent	Approved	01/17/2023
B	New Hampshire	Agent	Approved	05/29/2002
B	New Jersey	Agent	Approved	05/13/2002



Qualifications

Regulator	Registration	Status	Date
B New Mexico	Agent	Approved	03/08/2019
B New York	Agent	Approved	05/11/2002
B North Carolina	Agent	Approved	05/08/2002
B Ohio	Agent	Approved	05/14/2002
B Oklahoma	Agent	Approved	09/29/2021
B Oregon	Agent	Approved	04/25/2002
B Pennsylvania	Agent	Approved	04/18/2002
IA Pennsylvania	Investment Adviser Representative	Approved	05/30/2006
B Rhode Island	Agent	Approved	02/12/2025
B South Carolina	Agent	Approved	04/24/2002
B Tennessee	Agent	Approved	07/25/2002
B Texas	Agent	Approved	06/19/2007
IA Texas	Investment Adviser Representative	Restricted Approval	08/04/2016
B Utah	Agent	Approved	06/16/2020
B Vermont	Agent	Approved	03/23/2011
B Virginia	Agent	Approved	04/15/2002
B Washington	Agent	Approved	07/29/2002
B West Virginia	Agent	Approved	03/03/2004



Qualifications

Regulator	Registration	Status	Date
B Wisconsin	Agent	Approved	05/20/2002
B Wyoming	Agent	Approved	08/27/2012

Branch Office Locations

JANNEY MONTGOMERY SCOTT LLC
106 EAST COURT STREET
DOYLESTOWN, PA 18901-4321






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 1 state securities law exam.


Principal/Supervisory Exams

Exam	Category	Date
 General Securities Sales Supervisor - General Module Examination (S10)	Series 10	01/02/2023
 General Securities Sales Supervisor - Options Module Examination (S9)	Series 9	01/02/2023
 General Securities Sales Supervisor Examination (Options Module & General Module) (S8)	Series 8	01/03/1983

General Industry/Product Exams

Exam	Category	Date
 Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
 Interest Rate Options Examination (S5)	Series 5	03/23/1983
 General Securities Representative Examination (S7)	Series 7	01/17/1981

State Securities Law Exams

Exam	Category	Date
 Uniform Securities Agent State Law Examination (S63)	Series 63	01/20/1981

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	02/26/1988 - 05/02/2002	LEGG MASON WOOD WALKER, INCORPORATED	CRD# 6555	BALTIMORE, MD
B	03/05/1985 - 02/27/1988	MOSELEY, HALLGARTEN, ESTABROOK & WEEDEN, INC.	CRD# 7908	
B	01/19/1981 - 03/25/1985	DREXEL BURNHAM LAMBERT INCORPORATED	CRD# 7323	

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
02/2002 - Present	Janney Montgomery Scott LLC	Branch Director	Y	Doylestown, 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.

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
Customer Dispute	4

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 4

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	JANNEY MONTGOMERY SCOTT LLC
Allegations:	Claimants allege that their accounts held unsuitable long term fixed income products.
Product Type:	Other: Fixed Income
Alleged Damages:	\$499,000.00
Is this an oral complaint?	No
Is this a written complaint?	Yes
Is this an arbitration/CFTC reparation or civil litigation?	Yes
Arbitration/Reparation forum or court name and location:	FINRA Dispute Resolution Arbitration
Docket/Case #:	24-00440
Filing date of arbitration/CFTC reparation or civil litigation:	02/27/2024

Customer Complaint Information

Date Complaint Received:	02/27/2024
Complaint Pending?	No



Status: Settled
Status Date: 12/29/2025
Settlement Amount: \$25,000.00
Individual Contribution Amount: \$0.00

Disclosure 2 of 4

Reporting Source: Individual
Employing firm when activities occurred which led to the complaint: JANNEY MONTGOMERY SCOTT LLC
Allegations: CUSTOMER ALLEGES THAT HER REGISTERED REPRESENTATIVES FAILED TO PROVIDE SUITABLE INVESTMENT AND TAX ADVICE ON THE TAX CONSEQUENCES OF HER PREMATURE IRA DISTRIBUTIONS
Product Type: Mutual Fund
Alleged Damages: \$40,000.00
Is this an oral complaint? No
Is this a written complaint? Yes
Is this an arbitration/CFTC reparation or civil litigation? Yes
Arbitration/Reparation forum or court name and location: FINRA DR
Docket/Case #: 0905356
Filing date of arbitration/CFTC reparation or civil litigation: 10/08/2009

Customer Complaint Information

Date Complaint Received: 10/14/2009
Complaint Pending? No
Status: Settled
Status Date: 03/09/2010
Settlement Amount: \$9,000.00
Individual Contribution Amount: \$0.00

Disclosure 3 of 4

Reporting Source: Firm
Employing firm when activities occurred which led to the complaint: LEGG MASON WOOD WALKER, INC.
Allegations: CLIENT'S ESTATE ALLEGED UNAUTHORIZED TRADING.
Product Type: Debt - Government



Alleged Damages: \$100,000.00

Customer Complaint Information

Date Complaint Received: 09/25/2001

Complaint Pending? No

Status: Litigation

Status Date: 04/09/2003

Settlement Amount:

Individual Contribution Amount:

Civil Litigation Information

Court Details: COURT OF COMMON PLEAS OF BUCKS COUNTY, PA 0204678-20-2

Date Notice/Process Served: 04/09/2003

Litigation Pending? No

Disposition: Settled

Disposition Date: 08/30/2004

Monetary Compensation Amount: \$145,000.00

Individual Contribution Amount:

Firm Statement BOTH PARTIES AGREED TO SETTLE THIS MATTER FOR \$145,000.00 IN RETURN FOR A FULL GENERAL RELEASE OF LEGG MASON AND WILLIAM HARVEY.

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: LEGG MASON WOOD WALKER, INC.

Allegations: CLIENT'S ESTATE ALLEGES UNAUTHORIZED TRADING

Product Type: Other

Other Product Type(s): DEBT-U.S. GOV'T AGENCY

Alleged Damages: \$100,000.00

Customer Complaint Information

Date Complaint Received: 09/25/2001

Complaint Pending? No

Status: Litigation

Status Date: 04/09/2003

Settlement Amount:

Individual Contribution Amount:

Civil Litigation Information



Court Details: COURT OF COMMON PLEAS OF BUCKS COUNTY, PA 0204678-20-2
Date Notice/Process Served: 04/09/2003
Litigation Pending? No
Disposition: Settled
Disposition Date: 08/30/2004
Monetary Compensation Amount: \$145,000.00
Individual Contribution Amount:
Broker Statement BOTH PARTIES AGREED TO SETTLE THIS MATTER FOR \$145,000.00 IN RETURN FOR A FULL GENERAL RELEASE OF LEGG MASON AND WILLIAM HARVEY.

Disclosure 4 of 4

Reporting Source: Firm
Employing firm when activities occurred which led to the complaint: LEGG MASON WOOD WALKER, INC.
Allegations: THE CLIENT ALLEGES UNAUTHORIZED AND EXCESSIVE TRADING, POOR PERFORMANCE AND UNSUITABILITY.
Product Type: Equity - OTC
Other Product Type(s): MUNI BOND
Alleged Damages:

Customer Complaint Information

Date Complaint Received: 05/15/2000
Complaint Pending? No
Status: Litigation
Status Date: 09/01/2001
Settlement Amount:

Individual Contribution Amount:

Civil Litigation Information

Court Details: DISTRICT COURT FOR EASTERN DISTRICT OF PA 01CV3655
Date Notice/Process Served: 09/01/2001
Litigation Pending? No
Disposition: Settled
Disposition Date: 12/12/2002
Monetary Compensation Amount: \$240,000.00
Individual Contribution Amount:



Firm Statement IN ORDER TO AVOID RISKS AND COSTS OF ARBITRATION, LEGG MASON AND THE CLAIMANTS ENTERED INTO A COMPROMISE SETTLEMENT. ALL CLAIMS WERE RELEASED, THERE WAS NO ADMISSION OF LIABILITY.

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: LEGG MASON WOOD WALKER, INC.

Allegations: THE CLIENT ALLEGES UNAUTHORIZED TRADING, POOR PERFORMANCE AND SUITABILITY. THE CLIENT ALLEGES DAMAGES OF 237,385.

Product Type: Equity - OTC

Other Product Type(s): MUNI BOND

Alleged Damages: \$237,385.00

Customer Complaint Information

Date Complaint Received: 05/15/2000

Complaint Pending? No

Status: Litigation

Status Date: 09/01/2001

Settlement Amount:

Individual Contribution Amount:

Civil Litigation Information

Court Details: DISTRICT COURT FOR EASTERN DISTRICT OF PA 01CV3655 - CUSTOMER AND KATHLEEN WHITE AS PARTICIPANTS, BENEFICIARIES, AND FIDUCIARIES OF THE HAND SURGICAL MONEY PURCHASE PLAN AND THE HAND SURGICAL PROFIT SHARING PLAN

Date Notice/Process Served: 09/01/2001

Litigation Pending? No

Disposition: Settled

Disposition Date: 12/12/2002

Monetary Compensation Amount: \$240,000.00

Individual Contribution Amount:

Broker Statement IN ORDER TO AVOID RISKS AND COSTS OF ARBITRATION, LEGG MASON AND THE CLAIMANTS ENTERED INTO A COMPROMISE SETTLEMENT. ALL CLAIMS WERE RELEASED AND THERE WAS NO ADMISSION OF LIABILITY.



End of Report

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