

## BrokerCheck Report

### HARGER AND COMPANY, INC.

CRD# 10385

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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.

## About BrokerCheck®

BrokerCheck offers information on all current, and many former, registered securities brokers, and all current and former registered securities firms. FINRA strongly encourages investors to use BrokerCheck to check the background of securities brokers and brokerage firms before deciding to conduct, or continue to conduct, business with them.

- **What is included in a BrokerCheck report?**

- BrokerCheck reports for individual brokers include information such as employment history, professional qualifications, disciplinary actions, criminal convictions, civil judgments and arbitration awards. BrokerCheck reports for brokerage firms include information on a firm's profile, history, and operations, as well as many of the same disclosure events mentioned above.

- Please note that the information contained in a BrokerCheck 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 broker or brokerage firm, or concluded through a negotiated settlement with no admission or finding of wrongdoing.

- **Where did this information come from?**

- The information contained in BrokerCheck comes from FINRA's Central Registration Depository, or CRD® and is a combination of:
  - information FINRA and/or the Securities and Exchange Commission (SEC) require brokers and brokerage firms to submit as part of the registration and licensing process, and
  - information that regulators report regarding disciplinary actions or allegations against firms or brokers.

- **How current is this information?**

- Generally, active brokerage firms and brokers are required to update their professional and disciplinary information in CRD within 30 days. Under most circumstances, information reported by brokerage firms, brokers and regulators is available in BrokerCheck the next business day.

- **What if I want to check the background of an investment adviser firm or investment adviser representative?**

- To check the background of an investment adviser firm or representative, you can search for the firm or individual in BrokerCheck. If your search is successful, click on the link provided to view the available licensing and registration information in the SEC's Investment Adviser Public Disclosure (IAPD) website at <https://www.adviserinfo.sec.gov>. In the alternative, you may search the IAPD website directly or contact your state securities regulator at <http://www.finra.org/Investors/ToolsCalculators/BrokerCheck/P455414>.

- **Are there other resources I can use to check the background of investment professionals?**

- FINRA recommends that you learn as much as possible about an investment professional before deciding to work with them. Your state securities regulator can help you research brokers and investment adviser representatives doing business in your state.

• **Thank you for using FINRA BrokerCheck.**



Using this site/information means that you accept the FINRA BrokerCheck Terms and Conditions. A complete list of Terms and Conditions can be found at [brokercheck.finra.org](http://brokercheck.finra.org)



For additional information about the contents of this report, please refer to the User Guidance or [www.finra.org/brokercheck](http://www.finra.org/brokercheck). It provides a glossary of terms and a list of frequently asked questions, as well as additional resources. For more information about FINRA, visit [www.finra.org](http://www.finra.org).



**HARGER AND COMPANY, INC.**  
CRD# 10385  
SEC# 8-27287

**Main Office Location**  
8048 ONE CALAIS AVE SUITE D  
BATON ROUGE, LA 70809  
Regulated by FINRA New Orleans Office

**Mailing Address**  
8048 ONE CALAIS AVE SUITE D  
BATON ROUGE, LA 70809

**Business Telephone Number**  
225-767-7228

This firm is a brokerage firm and an investment adviser firm. For more information about investment adviser firms, visit the SEC's Investment Adviser Public Disclosure website at: <https://www.adviserinfo.sec.gov>

**Report Summary for this Firm**

This report summary provides an overview of the brokerage firm. Additional information for this firm can be found in the detailed report.

**Firm Profile**  
This firm is classified as a corporation.  
This firm was formed in Louisiana on 01/01/1981.  
Its fiscal year ends in December.

**Firm History**  
Information relating to the brokerage firm's history such as other business names and successions (e.g., mergers, acquisitions) can be found in the detailed report.

**Firm Operations**  
**This firm is registered with:**

- the SEC
- 1 Self-Regulatory Organization
- 20 U.S. states and territories

Is this brokerage firm currently suspended with any regulator? **No**

This firm conducts 7 types of businesses.  
This firm is not affiliated with any financial or investment institutions.  
This firm has referral or financial arrangements with other brokers or dealers.

**Disclosure Events**

Brokerage firms are required to disclose certain criminal matters, regulatory actions, civil judicial proceedings and financial matters in which the firm or one of its control affiliates has been involved.

Are there events disclosed about this firm? **Yes**

**The following types of disclosures have been reported:**

Type	Count
Regulatory Event	1



## Firm Profile

This firm is classified as a corporation.

This firm was formed in Louisiana on 01/01/1981.

Its fiscal year ends in December.

## Firm Names and Locations

This section provides the brokerage firm's full legal name, "Doing Business As" name, business and mailing addresses, telephone number, and any alternate name by which the firm conducts business and where such name is used.

**HARGER AND COMPANY, INC.**

**Doing business as HARGER AND COMPANY, INC.**

**CRD#** 10385

**SEC#** 8-27287

### Main Office Location

8048 ONE CALAIS AVE SUITE D  
BATON ROUGE, LA 70809

**Regulated by FINRA New Orleans Office**

### Mailing Address

8048 ONE CALAIS AVE SUITE D  
BATON ROUGE, LA 70809

### Business Telephone Number

225-767-7228



## Firm Profile

This section provides information relating to all direct owners and executive officers of the brokerage firm.

### Direct Owners and Executive Officers

**Legal Name & CRD# (if any):** R. L. HARGER & ASSOCIATES, INC.

**Is this a domestic or foreign entity or an individual?** Domestic Entity

**Position** HOLDING COMPANY

**Position Start Date** 01/1994

**Percentage of Ownership** 75% or more

**Does this owner direct the management or policies of the firm?** No

**Is this a public reporting company?** No

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**Legal Name & CRD# (if any):** DOWDEN, CHRISTOPHER MICHAEL  
4089978

**Is this a domestic or foreign entity or an individual?** Individual

**Position** VP OPERATIONS/CCO/FINOP

**Position Start Date** 01/2009

**Percentage of Ownership** Less than 5%

**Does this owner direct the management or policies of the firm?** Yes

**Is this a public reporting company?** No

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**Legal Name & CRD# (if any):** HARGER, MATTHEW BENNETT  
3021341

**Is this a domestic or foreign entity or an individual?** Individual

**Position** PRESIDENT

**Position Start Date** 06/2019

Firm Profile



Direct Owners and Executive Officers (continued)

Percentage of Ownership      Less than 5%

Does this owner direct the management or policies of the firm?      Yes

Is this a public reporting company?      No

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## Firm Profile

This section provides information relating to any indirect owners of the brokerage firm.



### Indirect Owners

Legal Name & CRD# (if any):	HARGER, MATTHEW BENNETT 3021341
Is this a domestic or foreign entity or an individual?	Individual
Company through which indirect ownership is established	R. L. HARGER & ASSOCIATES, INC.
Relationship to Direct Owner	SHAREHOLDER
Relationship Established	03/1997
Percentage of Ownership	75% or more
Does this owner direct the management or policies of the firm?	No
Is this a public reporting company?	No

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## Firm History

This section provides information relating to any successions (e.g., mergers, acquisitions) involving the firm.

No information reported.







Firm Operations

Registrations

This section provides information about the regulators (Securities and Exchange Commission (SEC), self-regulatory organizations (SROs), and U.S. states and territories) with which the brokerage firm is currently registered and licensed, the date the license became effective, and certain information about the firm's SEC registration.

**This firm is currently registered with the SEC, 1 SRO and 20 U.S. states and territories.**

Federal Regulator	Status	Date Effective
SEC	Approved	02/04/1982

SEC Registration Questions

This firm is registered with the SEC as:

A broker-dealer:    Yes

A broker-dealer and government securities broker or dealer:    No

A government securities broker or dealer only:    No

This firm has ceased activity as a government securities broker or dealer:    No

Self-Regulatory Organization	Status	Date Effective
FINRA	Approved	03/12/1982



## Firm Operations

### Registrations (continued)

U.S. States & Territories	Status	Date Effective
Alabama	Approved	06/23/2014
Arizona	Approved	02/02/2022
Arkansas	Approved	09/15/2022
California	Approved	08/17/2023
Colorado	Approved	10/02/2020
Florida	Approved	01/24/2024
Georgia	Approved	06/25/2004
Idaho	Approved	08/26/2020
Indiana	Approved	03/12/2024
Kentucky	Approved	07/14/2020
Louisiana	Approved	01/04/1996
Maryland	Approved	03/05/2012
Mississippi	Approved	09/09/1982
New Jersey	Approved	09/09/2020
New Mexico	Approved	11/28/2018
Oregon	Approved	09/21/2022
South Carolina	Approved	06/26/2023
Texas	Approved	07/01/1996
Virginia	Approved	09/16/2020
Washington	Approved	01/10/2022



Firm Operations

Types of Business

This section provides the types of business, including non-securities business, the brokerage firm is engaged in or expects to be engaged in.

**This firm currently conducts 7 types of businesses.**

Types of Business

Broker or dealer retailing corporate equity securities over-the-counter
Broker or dealer selling corporate debt securities
Mutual fund retailer
Municipal securities broker
Broker or dealer selling variable life insurance or annuities
Solicitor of time deposits in a financial institution
Investment advisory services

Other Types of Business

This firm does not effect transactions in commodities, commodity futures, or commodity options.  
This firm does engage in other non-securities business.

Non-Securities Business Description: HARGER & COMPANY IS A SUBSIDIARY OF R.L. HARGER AND ASSOCIATES. ALL REGISTERED REPS OF HARGER & CO. ARE LICENSED INSURANCE AGENTS OF HARGER AND CO..

Firm Operations



Clearing Arrangements

This firm does not hold or maintain funds or securities or provide clearing services for other broker-dealer(s).

Introducing Arrangements

This firm does refer or introduce customers to other brokers and dealers.

Name:	RBC CAPITAL MARKETS, LLC
CRD #:	31194
Business Address:	510 MARQUETTE AVE MINNEAPOLIS, MN 55402
Effective Date:	07/11/2000
Description:	HARGER AND COMPANY, INC. IS AN INTRODUCING BROKER/DEALER CLEARING THROUGH RBC CAPITAL MARKETS, LLC.

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## Firm Operations

### Industry Arrangements



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**This firm does have books or records maintained by a third party.**

**Name:** RBC CAPITAL MARKETS, LLC  
**CRD #:** 31194  
**Business Address:** 510 MARQUETTE AVE  
MINNEAPOLIS, MN 55402  
**Effective Date:** 07/11/2000  
**Description:** HARGER AND COMPANY, INC. IS AN INTRODUCING BROKER/DEALER  
CLEARING THROUGH RBC CAPITAL MARKETS, LLC.

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**This firm does have accounts, funds, or securities maintained by a third party.**

**Name:** RBC CAPITAL MARKETS, LLC  
**CRD #:** 31194  
**Business Address:** 510 MARQUETTE AVE  
MINNEAPOLIS, MN 55402  
**Effective Date:** 07/11/2000  
**Description:** HARGER AND COMPANY, INC. IS AN INTRODUCING BROKER/DEALER  
CLEARING THROUGH RBC CAPITAL MARKETS, LLC.

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**This firm does have customer accounts, funds, or securities maintained by a third party.**

**Name:** RBC CAPITAL MARKETS, LLC  
**CRD #:** 31194  
**Business Address:** 510 MARQUETTE AVE  
MINNEAPOLIS, MN 55402  
**Effective Date:** 07/11/2000  
**Description:** HARGER AND COMPANY, INC. IS AN INTRODUCING BROKER/DEALER  
CLEARING THROUGH RBC CAPITAL MARKETS, LLC.

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**Control Persons/Financing**

**This firm does not have individuals who control its management or policies through agreement.**

**This firm does not have individuals who wholly or partly finance the firm's business.**

## Firm Operations



### Organization Affiliates

This section provides information on control relationships the firm has with other firms in the securities, investment advisory, or banking business.

**This firm is not, directly or indirectly:**

- in control of
  - controlled by
  - or under common control with
- the following partnerships, corporations, or other organizations engaged in the securities or investment advisory business.**

**This firm is not directly or indirectly, controlled by the following:**

- bank holding company
- national bank
- state member bank of the Federal Reserve System
- state non-member bank
- savings bank or association
- credit union
- or foreign bank



Disclosure Events

All firms registered to sell securities or provide investment advice are required to disclose regulatory actions, criminal or civil judicial proceedings, and certain financial matters in which the firm or one of its control affiliates has been involved. For your convenience, below is a matrix of the number and status of disclosure events involving this brokerage firm or one of its control affiliates. Further information regarding these events can be found in the subsequent pages of this report.

	Pending	Final	On Appeal
Regulatory Event	0	1	0



## Disclosure Event Details

### What you should know about reported disclosure events:

1. **BrokerCheck provides details for any disclosure event that was reported in CRD. It also includes summary information regarding FINRA arbitration awards in cases where the brokerage firm was named as a respondent.**
2. **Certain thresholds must be met before an event is reported to CRD, for example:**
  - A law enforcement agency must file formal charges before a brokerage firm is required to disclose a particular criminal event.
3. **Disclosure events in BrokerCheck reports come from different sources:**
  - Disclosure events for this brokerage firm were reported by the firm and/or regulators. When the firm and a regulator report information for the same event, both versions of the event will appear in the BrokerCheck report. The different versions will be separated by a solid line with the reporting source labeled.
4. **There are different statuses and dispositions for disclosure events:**
  - A disclosure event may have a status of *pending*, *on appeal*, or *final*.
    - A "pending" event involves allegations that have not been proven or formally adjudicated.
    - An event that is "on appeal" involves allegations that have been adjudicated but are currently being appealed.
    - A "final" event has been concluded and its resolution is not subject to change.
  - A final 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 involves an agreement by the parties to resolve the matter. Please note that firms may choose to settle customer disputes or regulatory matters for business or other reasons.
    - A "resolved" matter usually involves no payment to the customer and no finding of wrongdoing on the part of the individual broker. Such matters generally involve customer disputes.
5. **You may wish to contact the brokerage firm to obtain further information regarding any of the disclosure events contained in this BrokerCheck report.**

### Regulatory - Final

This type of disclosure event involves (1) a final, formal proceeding initiated by a regulatory authority (e.g., a state securities agency, self-regulatory organization, federal regulator such as the U.S. Securities and Exchange Commission, foreign financial regulatory body) for a violation of investment-related rules or regulations; or (2) a revocation or suspension of the authority of a brokerage firm or its control affiliate to act as an attorney, accountant or federal contractor.

#### Disclosure 1 of 1

**Reporting Source:** Firm

**Current Status:** Final





<b>Allegations:</b>	A REGISTERED REPRESENTATIVE OF HARGER PLACED AN ADVERTISEMENT IN THE PAPER BUT DID NOT FILE IT WITH THE FIRM OR THE NASD. THE FIRM WAS SUSPENDED BY TELEPHONE FOR 45 DAYS. NO WRITTEN CONFIRMATION WAS EVER RECEIVED.
<b>Initiated By:</b>	SECURITIES COMMISSIONER STATE OF LOUISIANA
<b>Date Initiated:</b>	01/03/1984
<b>Docket/Case Number:</b>	NO DOCKET NUMBER
<b>Principal Product Type:</b>	No Product
<b>Other Product Type(s):</b>	
<b>Principal Sanction(s)/Relief Sought:</b>	
<b>Other Sanction(s)/Relief Sought:</b>	
<b>Resolution:</b>	Decision
<b>Resolution Date:</b>	04/15/1984
<b>Sanctions Ordered:</b>	Suspension
<b>Other Sanctions Ordered:</b>	
<b>Sanction Details:</b>	THE SUSPENSION BEGAN ON 02/01/84 AND ENDED 04/15/1984.
<b>Firm Statement</b>	A PROCEEDING WAS NEVER INITIATED. THE COMMISSIONER OF SECURITIES CONTACTED HARGER AND COMPANY BY TELEPHONE TO SUSPEND SECURITY SALES BECAUSE A REGISTERED REPRESENTATIVE PLACED AN UNREGISTERED ADVERTISEMENT IN THE PAPER.

**End of Report**



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