

BrokerCheck Report

Jeffrey Keith Harpel

CRD# 1367784

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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



For additional information about the contents of this report, please refer to the User Guidance or 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.

Jeffrey K. Harpel

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This broker is not currently registered.

Report Summary for this Broker



This report summary provides an overview of the broker's professional background and conduct. Additional information can be found in the detailed report.

Broker Qualifications

This broker is not currently registered.

This broker has passed:

- 1 Principal/Supervisory Exam
- 2 General Industry/Product Exams
- 0 State Securities Law Exams

Registration History

This broker was previously registered with the following securities firm(s):

- B GLOBAL ATLANTIC DISTRIBUTORS, LLC**
CRD# 8326
HARTFORD, CT
01/2013 - 08/2025
- B ONECHRONOS**
CRD# 286322
New York, NY
07/2018 - 07/2025
- B BUTLER CAPITAL PARTNERS**
CRD# 114242
OYSTER BAY, NY
06/2011 - 04/2025

Disclosure Events

All individuals registered to sell securities or provide investment advice are required to disclose customer complaints and arbitrations, regulatory actions, employment terminations, bankruptcy filings, and criminal or civil judicial proceedings.

Are there events disclosed about this broker? **No**

Broker Qualifications



Registrations

This section provides the self-regulatory organizations (SROs) and U.S. states/territories the broker is currently registered and licensed with, the category of each license, and the date on which it became effective. This section also provides, for every brokerage firm with which the broker is currently employed, the address of each branch where the broker works.

This broker is not currently registered.



Broker Qualifications

Industry Exams this Broker has Passed

This section includes all securities industry exams that the broker has passed. Under limited circumstances, a broker may attain a registration after receiving an exam waiver based on exams the broker has passed and/or qualifying work experience. Any exam waivers that the broker has received are not included below. A passed exam or exam waiver does not permit a broker to do business without an active SRO or state registration.

This individual has passed 1 principal/supervisory exam, 2 general industry/product exams, and 0 state securities law exams.

Principal/Supervisory Exams

Exam	Category	Date
B Financial and Operations Principal Examination	Series 27	06/27/1989

General Industry/Product Exams

Exam	Category	Date
B Operations Professional Examination	Series 99TO	01/02/2023
B Securities Industry Essentials Examination	SIE	01/02/2023

State Securities Law Exams

Exam	Category	Date
No information reported.		

Additional information about the above exams or other exams FINRA administers to brokers and other securities professionals can be found at www.finra.org/brokerqualifications/registeredrep/.

Broker Qualifications



Professional Designations

This section details that the representative has reported **0** professional designation(s).

No information reported.

Registration and Employment History



Registration History

The broker previously was registered with the following firms:

Registration Dates	Firm Name	CRD#	Branch Location
B 01/2013 - 08/2025	GLOBAL ATLANTIC DISTRIBUTORS, LLC	8326	HARTFORD, CT
B 07/2018 - 07/2025	ONECHRONOS	286322	New York, NY
B 06/2011 - 04/2025	BUTLER CAPITAL PARTNERS	114242	OYSTER BAY, NY
B 05/2011 - 04/2025	MCDERMOTT INVESTMENT SERVICES, LLC	154926	BETHLEHEM, PA
B 05/2019 - 04/2025	LAZEAR CAPITAL SECURITIES, LLC	298578	Columbus, OH
B 05/2010 - 04/2025	MCMG CAPITAL ADVISORS, INC.	103871	RICHMOND, VA
B 03/2023 - 03/2025	FIDELITY & GUARANTY SECURITIES, LLC	315720	Des Moines, IA
B 03/2019 - 08/2024	ACERVUS SECURITIES, INC.	298058	New York, NY
B 06/2022 - 05/2024	EXOS SECURITIES LLC	298276	NEW YORK, NY
B 06/2019 - 05/2024	AKUNA SECURITIES LLC	159041	CHICAGO, IL
B 08/2022 - 04/2024	CASH APP INVESTING LLC	144076	PORTLAND, OR
B 02/2021 - 04/2024	EXCELSIOR EQUITIES	309158	DENVER, MN
B 11/2010 - 04/2024	AGECROFT PARTNERS, LLC	139227	RICHMOND, VA
B 09/2021 - 02/2022	CASH APP INVESTING LLC	144076	PORTLAND, OR
B 09/2016 - 06/2021	SECURITIZE MARKETS, LLC	283256	MIAMI, FL
B 04/2018 - 01/2020	REDTAIL CAPITAL MARKETS, LLC	169781	WEST BLOOMFIELD, MI
B 11/2017 - 02/2019	INTEGRAL EQUITIES RESEARCH LLC	285224	CHICAGO, IL
B 06/2010 - 10/2018	ENVERRA CAPITAL LLC	129103	WASHINGTON, DC
B 04/2018 - 09/2018	GAGE-WILEY & CO., INC.	344	NORTHAMPTON, MA
B 09/2015 - 07/2017	COLLINGWOOD CAPITAL ADVISORS, LLC	216511	Washington, DC
B 05/2015 - 02/2017	KSBD, LLC	169363	GLEN ALLEN, VA
B 11/2013 - 03/2016	EPOCH SECURITIES, INC.	103899	NEW YORK, NY



Registration and Employment History

Registration History, continued

The broker previously was registered with the following firms:

Registration Dates	Firm Name	CRD#	Branch Location
B 06/2013 - 02/2016	MEDALIST SECURITIES INC.	136356	RICHMOND, VA
B 01/2012 - 09/2013	SAMMONS FINANCIAL NETWORK, LLC	158538	WEST DES MOINES, IA
B 09/2010 - 06/2013	SIP NORDIC AMERICA LLC	153094	STAMFORD, CT
B 03/2010 - 07/2012	MARRIOTT SECURITIES, LLC	149323	RICHMOND, VA
B 03/2006 - 01/2009	WACHOVIA SECURITIES FINANCIAL NETWORK, LLC	11025	ST. LOUIS, MO
B 03/2006 - 01/2009	WACHOVIA SECURITIES, LLC	19616	ST. LOUIS, MO
B 05/2003 - 01/2009	FIRST CLEARING, LLC	17344	GLEN ALLEN, VA
B 10/1998 - 04/2003	FIRST CLEARING CORPORATION	17344	ST. LOUIS, MO
B 01/1991 - 01/1999	WHEAT, FIRST SECURITIES, INC.	6124	CHARLOTTE, NC
B 05/1980 - 01/1991	BUTCHER & SINGER INC.	6517	

Employment History

This section provides up to 10 years of an individual broker's employment history as reported by the individual broker on the most recently filed Form U4.

Please note that the broker is required to provide this information only while registered with FINRA or a national securities exchange and the information is not updated via Form U4 after the broker ceases to be registered. Therefore, an employment end date of "Present" may not reflect the broker's current employment status.

Employment	Employer Name	Position	Investment Related	Employer Location
03/2023 - Present	FIDELITY & GUARANTY SECURITIES LLC	FINOP	Y	Des Moines, IA, United States
10/2018 - Present	LAZEAR CAPITAL SECURITIES, LLC	FINOP	Y	COLUMBUS, OH, United States
04/2017 - Present	OneChronos Markets LLC	FINOP	Y	New York, NY, United States
01/2013 - Present	GLOBAL ATLANTIC DISTRIBUTORS, LLC (FORMERLY - FORETHOUGHT DISTR)	FINOP	Y	Hartford, CT, United States



Registration and Employment History

Employment History, continued

Employment	Employer Name	Position	Investment Related	Employer Location
06/2011 - Present	BUTLER CAPITAL INVESTMENTS, LLC- DBA BUTLER CAPITAL PARTNERS	FINOP	Y	CHARLOTTESVILLE, VA, United States
05/2011 - Present	MCDERMOTT INVESTMENT SERVICES, LLC	FINOP	Y	BETHLEHEM, PA, United States
05/2010 - Present	MCMG Capital Advisors, Inc.	FINOP	Y	RICHMOND, VA, United States
06/2009 - Present	OYSTER CONSULTING, LLC	DIRECTOR	N	GLEN ALLEN, VA, United States
10/2018 - 08/2024	ACERVUS SECURITIES, INC	FINOP	Y	NEW YORK, NY, United States
06/2019 - 05/2024	Akuna Securities LLC	FINOP	N	Chicago, IL, United States
08/2022 - 04/2024	Block, Inc.	Contractor	N	San Francisco, CA, United States
08/2022 - 04/2024	Cash App Investing LLC	FINOP	Y	San Francisco, CA, United States
06/2022 - 04/2024	Exos Securities LLC	FINOP	Y	New York, NY, United States
02/2021 - 04/2024	Excelsior Equities LLC	FINOP	Y	Denver, CO, United States
11/2010 - 04/2024	AGECROFT PARTNERS, LLC	FINOP	Y	RICHMOND, VA, United States
09/2021 - 02/2022	Cash App Investing LLC	Interim FINOP	Y	San Francisco, CA, United States
09/2021 - 02/2022	Square, Inc.	Contractor	N	San Francisco, CA, United States
03/2021 - 01/2022	AKUNA DIGITAL SECURITIES LLC	FINOP	Y	CHICAGO, IL, United States
03/2016 - 06/2021	Securitize Markets, LLC	FINOP	Y	New York, NY, United States
12/2018 - 11/2019	ABE AMERICAS LLC	FINOP	Y	NEW YORK, NY, United States
04/2018 - 11/2019	REDTAIL CAPITAL MARKETS, LLC	FINOP	Y	NEW YORK, NY, United States
03/2017 - 04/2019	INTEGRAL EQUITIES RESEARCH LLC	FINOP	Y	CHICAGO, IL, United States
06/2010 - 10/2018	Enverra Capital, LLC	FINOP	Y	Washington, DC, United States



Registration and Employment History

Employment History, continued

Employment	Employer Name	Position	Investment Related	Employer Location
04/2018 - 09/2018	Gage Wiley and Company	FINOP	Y	Northampton, MA, United States
05/2015 - 07/2017	Collingwood Capital Advisors LLC	FINOP	Y	Washington, DC, United States
05/2015 - 02/2017	KSBD LLC	FINOP	Y	GLEN ALLEN, VA, United States
11/2013 - 03/2016	EPOCH SECURITIES, INC	FINOP	Y	SOUTHBOROUGH, MA, United States
06/2013 - 02/2016	MEDALIST SECURITIES	FINOP	Y	RICHMOND, VA, United States

Other Business Activities

This section includes information, if any, as provided by the broker regarding other business activities the broker 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.

I am a Director with Oyster Consulting, LLC, 4128 Innslake Drive, Glen Allen, VA 23060. In this capacity, I provide FINOP and consulting services to my clients. I work with Butler Capital Investments at 151 Post Rd, Titus House, Old Westbury, NY, 11568 for 4-8 hours a month, all of which are market hours. I work with MCMG Capital Advisors, Inc. AT 1021 East Cary Street, Suite 1150, Richmond, VA 23219 for 4-8 hours a month, all of which are market hours. I work with MCDERMOTT INVESTMENT SERVICES AT 44 East Broad St, 2nd fl. Bethlehem PA, 18018 for 9-15 hours a month, all of which are market hours. I work with GLOBAL ATLANTIC DISTRIBUTORS, LLC at One Financial Plaza, 755 Main Street, 24th Floor, Hartford, CT 06103 for 5-8 hours per month, all of which are market hours. I work with One Chronos Markets, LLC, 433 Broadway, Suite 211, NY, NY 10013, providing FINOP services for 5-8 hours per month, all of which are market hours. I work with Lazear Capital Securities providing FINOP services for 5-8 hours per month, all of which are market hours. I work with Fidelity & Guaranty Securities LLC providing FINOP services for 5-10 hours per month, all of which are market hours.

End of Report



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