

## BrokerCheck Report

**GLEN CHARLES MISHLER**

CRD# 336714

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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).

**GLEN C. MISHLER**

CRD# 336714

**Currently employed by and registered with the following Firm(s):**

**IA AURORA PRIVATE WEALTH, INC.**  
 8100 EAST 22ND STREET, BLDG 100-8  
 Wichita, KS 67226  
 CRD# 281604  
 Registered with this firm since: 04/29/2019

**B APW CAPITAL, INC.**  
 8100 EAST 22ND STREET, BLDG 100-8  
 WICHITA, KS 67226  
 CRD# 43814  
 Registered with this firm since: 07/23/2010

**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 registered with:**

- 1 Self-Regulatory Organization
- 1 U.S. state or territory

**This broker has passed:**

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

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

- IA PLANNED PROFESSIONAL ADVISORY**  
 CRD# 116152  
 WICHITA, KS  
 10/1990 - 10/2019
- B NATIONAL PLANNING CORPORATION**  
 CRD# 29604  
 WICHITA, KS  
 11/2009 - 07/2010
- B MAIN STREET SECURITIES, LLC**  
 CRD# 47127  
 WICHITA, KS  
 07/2006 - 11/2009

**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? **Yes**

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

Type	Count
Regulatory Event	1
Criminal	1



## 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 individual is currently registered with 1 SRO and is licensed in 1 U.S. state or territory through his or her employer.**

### Employment 1 of 2

Firm Name: **APW CAPITAL, INC.**

Main Office Address: **100 ENTERPRISE DRIVE, SUITE 504  
ROCKAWAY, NJ 07866**

Firm CRD#: **43814**

	SRO	Category	Status	Date
B	FINRA	General Securities Principal	Approved	07/23/2010
B	FINRA	General Securities Representative	Approved	07/23/2010

	U.S. State/ Territory	Category	Status	Date
B	Kansas	Agent	Approved	07/26/2010

### Branch Office Locations

**APW CAPITAL, INC.**

8100 EAST 22ND STREET, BLDG 100-8  
WICHITA, KS 67226

### Employment 2 of 2

Firm Name: **AURORA PRIVATE WEALTH, INC.**

Main Office Address: **100 ENTERPRISE DRIVE  
SUITE 504  
ROCKAWAY, NJ 07866**

Firm CRD#: **281604**

Broker Qualifications



Employment 2 of 2, continued

U.S. State/ Territory		Category	Status	Date
IA	Kansas	Investment Adviser Representative	Approved	04/29/2019

Branch Office Locations

8100 EAST 22ND STREET, BLDG 100-8  
Wichita, KS 67226

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## 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, 3 general industry/product exams, and 1 state securities law exam.**

### Principal/Supervisory Exams

Exam	Category	Date
<b>B</b> General Securities Principal Examination	Series 24	05/15/1992

### General Industry/Product Exams

Exam	Category	Date
<b>B</b> Securities Industry Essentials Examination	SIE	10/01/2018
<b>B</b> General Securities Representative Examination	Series 7	11/16/1985
<b>B</b> Registered Representative Examination	Series 1	01/07/1972

### State Securities Law Exams

Exam	Category	Date
<b>B</b> Uniform Securities Agent State Law Examination	Series 63	12/26/1985

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/](http://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>IA</b> 10/1990 - 10/2019	PLANNED PROFESSIONAL ADVISORY	116152	WICHITA, KS
<b>B</b> 11/2009 - 07/2010	NATIONAL PLANNING CORPORATION	29604	WICHITA, KS
<b>B</b> 07/2006 - 11/2009	MAIN STREET SECURITIES, LLC	47127	WICHITA, KS
<b>B</b> 08/2003 - 07/2006	NATIONS FINANCIAL GROUP, INC.	44181	WICHITA, KS
<b>B</b> 09/2002 - 08/2003	DIVERSIFIED GLOBAL CAPITAL GROUP, INC.	120283	NEWPORT BEACH, CA
<b>IA</b> 10/1990 - 12/2002	PLANNED PROFESSIONAL ADVISORY	116152	WICHITA, KS
<b>B</b> 03/2002 - 09/2002	ROYAL ALLIANCE ASSOCIATES, INC.	23131	SCOTTSDALE, AZ
<b>B</b> 02/1992 - 03/2002	PIM FINANCIAL SERVICES, INC.	10547	SAN MARCOS, CA
<b>B</b> 04/1987 - 01/1992	PRIMELINE SECURITIES CORP.	15896	WICHITA, KS

### 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
07/2010 - Present	COMPREHENSIVE ASSET MANAGEMENT & SERVICING, INC.	REGISTERED REP	Y	PARSIPPANY, NJ, United States
08/1990 - Present	PLANNED PROFESSIONAL ADVISORY	OWNER-ADVISOR	Y	WICHITA, KS, United States
01/1990 - Present	PLANNED PROFESSIONAL SERVICES, INC	PRESIDENT-TAX PREPARER	N	WICHITA, KS, United States





## Registration and Employment History

### 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.

1-GLEN C MISHLER; WICHITA, KS; RIA; SVC. DESCRIPTION: INVESTMENT MGMT./FINANCIAL PLANNING; DBA NAME: PLANNED PROFESSIONAL ADVISORY; TITLE: OWNER; START DATE: 6/1/1989; SOLE PROPRIETORSHIP; DUTIES: MANAGE CLIENT'S INVESTMENT ACCOUNTS AND PROVIDE FINANCIAL PLANNING; 80% TIME SPENT.

2-GLEN C MISHLER; WICHITA, KS; FIXED INSURANCE/EXCLUDES EQUITY INDEXES; SVC. DESCRIPTION: FIXED INSURANCE PRODUCTS; START DATE: 8/1/1965; SOLE PROPRIETORSHIP; TITLE: OWNER; DUTIES: SELLING FIXED INSURANCE; 5% TIME SPENT.

3-PPS, INC.; WICHITA, KS; TAX PREPARATION; SVC. DESCRIPTION: TAX PREPARATION; CORPORATION; START DATE: 3/1/1982; TITLE: PRESIDENT; DUTIES: PREPARE TAX RETURNS; 10% TIME SPENT.

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## Disclosure Events



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

1. 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.
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 broker is required to disclose a particular criminal event.
  - A customer dispute must involve allegations that a broker engaged in activity that violates certain rules or conduct governing the industry and that the activity resulted in damages of at least \$5,000.
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3. **Disclosure events in BrokerCheck reports come from different sources:**
  - As mentioned at the beginning of this report, information contained in BrokerCheck comes from brokers, brokerage 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 BrokerCheck report. The different versions will be separated by a solid line with the reporting source labeled.
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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 brokers and brokerage 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.

For your convenience, below is a matrix of the number and status of disclosure events involving this broker. Further information regarding these events can be found in the subsequent pages of this report. You also may wish to contact the broker to obtain further information regarding these events.

	Pending	Final	On Appeal
Regulatory Event	0	1	0
Criminal	0	1	0



## Disclosure Event Details

When evaluating this information, please keep in mind that a disclosure event may be pending or involve allegations that are contested and have not been resolved or proven. The matter may, in the end, be withdrawn, dismissed, resolved in favor of the broker, or concluded through a negotiated settlement for certain business reasons (e.g., to maintain customer relationships or to limit the litigation costs associated with disputing the allegations) with no admission or finding of wrongdoing.

This report provides the information exactly as it was reported to CRD and therefore some of the specific data fields contained in the report may be blank if the information was not provided to CRD.

### Regulatory - Final

This type of disclosure event may involve (1) a final, formal proceeding initiated by a regulatory authority (e.g., a state securities agency, self-regulatory organization, federal regulatory such as the Securities and Exchange Commission, foreign financial regulatory body) for a violation of investment-related rules or regulations; or (2) a revocation or suspension of a broker'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>	KANSAS SECURITIES COMMISSIONER
<b>Sanction(s) Sought:</b>	
<b>Other Sanction(s) Sought:</b>	
<b>Date Initiated:</b>	09/07/1990
<b>Docket/Case Number:</b>	90E026/KSC 91-1790
<b>Employing firm when activity occurred which led to the regulatory action:</b>	
<b>Product Type:</b>	
<b>Other Product Type(s):</b>	
<b>Allegations:</b>	RESPONDENT MISHLER ENGAGED IN ACTIVITIES AS AN INVESTMENT ADVISOR WHILE UNREGISTERED IN THE STATE.
<b>Current Status:</b>	Final
<b>Resolution:</b>	Consent
<b>Resolution Date:</b>	09/07/1990
<b>Sanctions Ordered:</b>	Cease and Desist/Injunction

**Other Sanctions Ordered:**

**Sanction Details:** ON 9/7/90 RESPONDENT MISHLER ENTERED INTO A  
 CONSENT ORDER AGREEING TO CEASE AND DESIST FROM VIOLATING  
 THE  
 REGISTRATION PROVISIONS OF THE KANSAS SECURITIES ACT.

**Regulator Statement** Not Provided

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**Reporting Source:** Broker

**Regulatory Action Initiated By:** KANSAS SECURITIES COMMISSION

**Sanction(s) Sought:**

**Other Sanction(s) Sought:**

**Date Initiated:** 09/07/1990

**Docket/Case Number:** 90E026/KSC 91-1790

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

**Product Type:** No Product

**Other Product Type(s):**

**Allegations:** THAT G. CHARLES MISHLER BECOME REGISTERED AS  
 A REGISTERED INVESTMENT ADVISOR AS HE HAD BEEN TRANSACTING  
 BUSINESS UNREGISTERED

**Current Status:** Final

**Resolution:** Consent

**Resolution Date:** 09/07/1990

**Sanctions Ordered:** Cease and Desist/Injunction

**Other Sanctions Ordered:**

**Sanction Details:** G. CHARLES MISHLER WAS SUBSEQUENTLY REGISTERED  
 DBA PLANNED PROFESSIONAL ADVISOR ON 10-4-90 WITH SEC AND  
 10-17-90 WITH KANSAS SECURITIES. ALL INFORMATION ABOVE INCLUDED  
 IN ADV II ON FILE WITH SEC AND KANSAS SECURITIES COMMISSION.

**Broker Statement** MR MISHLER WAS REGISTERED AS INVESTMENT ADVISOR



WITH PRIMELINE ADVISORY INC (PAI) UNTIL DECEMBER 1988. IN DECEMBER 1988, HIS REGISTRATION WITH PAI WAS TERMINATED AS OPERATION OF PLANNED PROFESSIONAL ADVISORY WAS FUNCTIONAL. MISHLER DID NOT IMMEDIATELY REREGISTER WITH THE SEC OR KSC BASED ON THE INVESTMENT ADVISORS ACT REGULATION WHICH EXEMPTS INVESTMENT ADVISORS FROM REGISTRATION IF THEY HAVE FEWER THAN 15 CLIENTS IN PREVIOUS 12 MONTHS, MR MISHLER WAS IN THIS CATEGORY BUT WAS UNAWARE KANSAS HAD NO SUCH EXEMPTION. HE WAS SUBSEQUENTLY REGISTERED AS ABOVE.



## Criminal - Final Disposition

This type of disclosure event involves a criminal charge against the broker that has resulted in a conviction, acquittal, dismissal, or plea. The criminal matter may pertain to any felony or certain misdemeanor offenses, including bribery, perjury, forgery, counterfeiting, extortion, fraud, and wrongful taking of property.

### Disclosure 1 of 1

<b>Reporting Source:</b>	Broker
<b>Court Details:</b>	WICHITA POLICE DEPT EXACT DATE UNAVAILABLE
<b>Charge Date:</b>	12/02/1983
<b>Charge Details:</b>	PETTY LARCENY. CHRISTMAS TREES WERE TAKEN FROM TREE LOT TO GIVE TO PEOPLE WHO COULDN'T AFFORD THEM. ALL CHARGES WERE DROPPED
<b>Felony?</b>	No
<b>Current Status:</b>	Final
<b>Status Date:</b>	12/20/1983
<b>Disposition Details:</b>	ALL CHARGES DROPPED AND DISMISSED ALL ABOVE WAS REPORTED ON PREVIOUS U-4 ON 11-26-85 AND IS A MATTER OF PREVIOUS RECORD. THE WICHITA MUNICIPAL COURTS ONLY KEEP RECORDS ON THIS TYPE OF EVENT FOR 5YRS; THEREFORE, THEY HAVE PURGED THIS FROM THEIR FILES
<b>Broker Statement</b>	TOOK SOME X-MAS TREE FROM X-MAS TREE LOT TO GIVE TO POOR WHO COULD NOT FAFFORD A TREE

## End of Report



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