

BrokerCheck Report

MICHAEL JAMES HENLEY

CRD# 5768690

<u>Section Title</u>	<u>Page(s)</u>
Report Summary	1
Broker Qualifications	2 - 3
Registration and Employment History	5 - 6



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:
 - o 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
 - o 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.

MICHAEL J. HENLEY

CRD# 5768690

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:

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

Registration History

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

- B** **PURSHE KAPLAN STERLING INVESTMENTS**
CRD# 35747
Kennett Square, PA
07/2018 - 12/2024
- B** **MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED**
CRD# 7691
WILMINGTON, DE
05/2010 - 07/2018

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**

Investment Adviser Representative Information

The information below represents the individual's record as a broker. For details on this individual's record as an investment adviser representative, visit the SEC's Investment Adviser Public Disclosure website at

<https://www.adviserinfo.sec.gov>

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 0 principal/supervisory exams, 3 general industry/product exams, and 1 state securities law exam.

Principal/Supervisory Exams

Exam	Category	Date
No information reported.		

General Industry/Product Exams

Exam	Category	Date
B Operations Professional Examination	Series 99TO	01/02/2023
B Securities Industry Essentials Examination	SIE	10/01/2018
B General Securities Representative Examination	Series 7	05/13/2010

State Securities Law Exams

Exam	Category	Date
B IA Uniform Combined State Law Examination	Series 66	06/04/2010

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 **1** professional designation(s).

Certified Financial Planner

Only professional designations listed in Question 8 of the Form U4 will appear in this section if the appropriate box is checked and verified by the issuing organization at the time of the filing. Learn more about eligible designations at [IARD](#) and [NASAA](#).



Registration and Employment History

Registration History

The broker previously was registered with the following firms:

Registration Dates	Firm Name	CRD#	Branch Location
B 07/2018 - 12/2024	PURSHE KAPLAN STERLING INVESTMENTS	35747	Kennett Square, PA
B 05/2010 - 07/2018	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	7691	WILMINGTON, DE

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
10/2018 - Present	Brandywine Oak Private Wealth	Investment Adviser Representative	Y	Kennett Square, PA, United States
07/2018 - 12/2024	Purshe Kaplan Sterling Investments	Registered Representative	Y	Albany, NY, United States
07/2018 - 10/2018	WYETH PRIVATE WEALTH, LLC	INVESTMENT ADVISER REPRESENTATIVE	Y	CHADDS FORD, PA, United States
07/2007 - 07/2018	BANK OF AMERICA/MERRILL LYNCH	FINANCIAL ADVISOR	N	WILMINGTON, DE, 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.

1. Brandywine Oak Private Wealth. Investment Related. 500 Old Forge Lane, Suite 501, Kennett Square PA 19348. RIA. Advisor. 07/2018. 160 hrs/mo. 7 during trading hours. Provide financial planning and investment advice to individuals and families.
2. Fixed Annuity Business. Investment Related. 500 Old Forge Lane Suite 501, Kennett Square, PA 19348. Fixed Annuity Business. Agent. 07/27/2018. 160 hours per month. 7 during trading hours. Providing financial planning and investment advice to families and individuals.
3. Brandywine Oak Private Tax Advisory. Not investment related. 500 Old Forge Lane Suite 501, Kennett Square, PA 19348. Owner / CEO; start



Registration and Employment History

Other Business Activities, continued

date: August 2021; Approximate number of hours devoted to this business: Less than 10 hours per month; zero hours during securities trading hours; I provide general operational support, introduction of tax practice to clients, continued collaboration with tax professionals.

4. Michael J. Henley serves as a trust protector for certain trust relationships, some of which are clients of BOPW. In this capacity Mr. Henley oversees the appointed trustees' actions while preserving the best interest of the trust beneficiaries. Mr. Henley cannot appoint himself as trustee and has no ability to access client funds or securities. Mr. Henley is compensated for the role of trust protector and spends a non-material amount of time in this capacity. Mr. Henley is a fiduciary and will always act in the best interest of our clients.

5. Board Member for the United Way of Southern Chester County.

6. Abdominal Cancers Alliance - Board Member; Not Investment Related; 10 E Lee St. #1901 Baltimore MD 21202; Description: Abdominal Cancers Alliance is an initiative of Partners for Cancer Care and Prevention, a 501(c)(3) nonprofit organization; Start date: 2025-08-11; 0 Hour per month devoted to business during trading hours; 1 Hour per month devoted to business outside trading hours; 0 Percent of total yearly compensation expected to be derived from the business; Contact person: Bo Platz / Dr. Armando Sardi; Website address: <https://www.abdominalcancers.org/>.

End of Report



This page is intentionally left blank.