

## BrokerCheck Report

### CHARLES JOSEPH NOBLE III

CRD# 715430

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Please be aware that fraudsters may link to BrokerCheck from phishing and similar scam websites, trying to steal your personal information or your money. Make sure you know who you're dealing with when investing, and contact FINRA with any concerns.

For more information read our [investor alert](#) on imposters.

## 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)



## CHARLES J. NOBLE III

CRD# 715430

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

**B JANNEY MONTGOMERY SCOTT LLC**  
 321 WHITNEY AVENUE  
 NEW HAVEN, CT 06511  
 CRD# 463  
 Registered with this firm since: 12/09/2010

**IA JANNEY MONTGOMERY SCOTT LLC**  
 2385 NW Executive Center Drive  
 Boca Raton, FL 33431  
 CRD# 463  
 Registered with this firm since: 12/10/2010

## 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:

- 3 Self-Regulatory Organizations
- 38 U.S. states and territories

#### This broker has passed:

- 3 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):

**IA STEPHENS**  
 CRD# 3496  
 LITTLE ROCK, AR  
 01/2006 - 12/2010

**B STEPHENS**  
 CRD# 3496  
 NEW HAVEN, CT  
 01/2006 - 12/2010

**IA LEGG MASON WOOD WALKER INC**  
 CRD# 6555  
 BALTIMORE, MD  
 05/1991 - 02/2006

### 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



## 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 3 SROs and is licensed in 38 U.S. states and territories through his or her employer.**

### Employment 1 of 1

Firm Name: **JANNEY MONTGOMERY SCOTT LLC**

Main Office Address: **1717 ARCH STREET  
PHILADELPHIA, PA 19103**

Firm CRD#: **463**

	<b>SRO</b>	<b>Category</b>	<b>Status</b>	<b>Date</b>
<b>B</b>	FINRA	General Securities Representative	Approved	12/09/2010
<b>B</b>	FINRA	General Securities Sales Supervisor	Approved	12/09/2010
<b>B</b>	Nasdaq Stock Market	General Securities Representative	Approved	12/09/2010
<b>B</b>	Nasdaq Stock Market	General Securities Sales Supervisor	Approved	12/09/2010
<b>B</b>	New York Stock Exchange	General Securities Representative	Approved	12/09/2010
<b>B</b>	New York Stock Exchange	General Securities Sales Supervisor	Approved	10/01/2018

	<b>U.S. State/ Territory</b>	<b>Category</b>	<b>Status</b>	<b>Date</b>
<b>B</b>	Alabama	Agent	Approved	09/23/2022
<b>B</b>	Alaska	Agent	Approved	05/14/2014
<b>B</b>	Arizona	Agent	Approved	12/09/2010
<b>B</b>	California	Agent	Approved	12/09/2010
<b>IA</b>	California	Investment Adviser Representative	Approved	12/10/2010
<b>B</b>	Colorado	Agent	Approved	12/09/2010
<b>B</b>	Connecticut	Agent	Approved	12/10/2010



## Broker Qualifications

### Employment 1 of 1, continued

	U.S. State/ Territory	Category	Status	Date
IA	Connecticut	Investment Adviser Representative	Approved	12/10/2010
B	District of Columbia	Agent	Approved	12/09/2010
IA	District of Columbia	Investment Adviser Representative	Approved	03/03/2011
B	Florida	Agent	Approved	12/09/2010
IA	Florida	Investment Adviser Representative	Approved	03/01/2016
B	Georgia	Agent	Approved	12/09/2010
B	Hawaii	Agent	Approved	12/09/2010
B	Illinois	Agent	Approved	12/09/2010
B	Kansas	Agent	Approved	12/22/2016
B	Kentucky	Agent	Approved	01/22/2018
B	Maine	Agent	Approved	12/09/2010
B	Maryland	Agent	Approved	12/09/2010
B	Massachusetts	Agent	Approved	12/09/2010
B	Michigan	Agent	Approved	12/09/2010
B	Minnesota	Agent	Approved	03/22/2021
B	Mississippi	Agent	Approved	05/02/2014
B	Missouri	Agent	Approved	12/09/2010
B	Montana	Agent	Approved	12/09/2010
B	Nevada	Agent	Approved	01/19/2022
B	New Hampshire	Agent	Approved	12/09/2010
B	New Jersey	Agent	Approved	12/09/2010



## Broker Qualifications

### Employment 1 of 1, continued

	U.S. State/ Territory	Category	Status	Date
IA	New Jersey	Investment Adviser Representative	Approved	12/17/2010
B	New York	Agent	Approved	12/09/2010
B	North Carolina	Agent	Approved	12/09/2010
IA	North Carolina	Investment Adviser Representative	Approved	04/15/2011
B	Ohio	Agent	Approved	12/09/2010
IA	Ohio	Investment Adviser Representative	Approved	03/16/2011
B	Oregon	Agent	Approved	05/21/2012
B	Pennsylvania	Agent	Approved	12/09/2010
B	Rhode Island	Agent	Approved	12/09/2010
B	South Carolina	Agent	Approved	12/09/2010
B	Tennessee	Agent	Approved	12/09/2010
B	Texas	Agent	Approved	12/21/2012
IA	Texas	Investment Adviser Representative	Restricted Approval	01/03/2013
B	Utah	Agent	Approved	11/29/2017
B	Vermont	Agent	Approved	12/17/2010
B	Virginia	Agent	Approved	12/09/2010
B	Washington	Agent	Approved	12/09/2010
B	Wisconsin	Agent	Approved	09/16/2015

### Branch Office Locations

**JANNEY MONTGOMERY SCOTT LLC**  
321 WHITNEY AVENUE

## Broker Qualifications



### **Employment 1 of 1, continued**

NEW HAVEN, CT 06511

### **JANNEY MONTGOMERY SCOTT LLC**

2385 NW Executive Center Drive

Suite 200

Boca Raton, FL 33431

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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.

**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
<b>B</b> General Securities Sales Supervisor - Options Module Examination	Series 9	01/02/2023
<b>B</b> General Securities Sales Supervisor - General Module Examination	Series 10	01/02/2023
<b>B</b> General Securities Sales Supervisor Examination (Options Module & General Module)	Series 8	12/19/1989

### General Industry/Product Exams

Exam	Category	Date
<b>B</b> Securities Industry Essentials Examination	SIE	10/01/2018
<b>B</b> Interest Rate Options Examination	Series 5	11/18/1981
<b>B</b> General Securities Representative Examination	Series 7	09/20/1980

### State Securities Law Exams

Exam	Category	Date
<b>B</b> Uniform Securities Agent State Law Examination	Series 63	03/28/1989

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>B</b> 01/2006 - 12/2010	STEPHENS	3496	NEW HAVEN, CT
<b>IA</b> 01/2006 - 12/2010	STEPHENS	3496	NEW HAVEN, CT
<b>IA</b> 05/1991 - 02/2006	LEGG MASON WOOD WALKER INC	6555	NEW HAVEN, CT
<b>B</b> 11/1987 - 02/2006	LEGG MASON WOOD WALKER, INCORPORATED	6555	BALTIMORE, MD
<b>B</b> 10/1987 - 11/1987	LEGG MASON MASTEN INC.	2	
<b>B</b> 07/1987 - 10/1987	LEGG MASON WOOD WALKER, INCORPORATED	6555	
<b>B</b> 09/1980 - 07/1987	MOSELEY SECURITIES CORPORATION	7908	

### 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
12/2010 - Present	JANNEY MONTGOMERY SCOTT LLC	EXECUTIVE VICE PRESIDENT/BRANCH MANAGER	Y	NEW HAVEN, CT, 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: LAKEHOUSE LLC -Hamden/New Haven, CT - INVESTMENT RELATED - Nature: COMMERCIAL REAL ESTATE (Retail shops - Book Store and Wine Shop); Title/Position: Sole owner, sole member LLC; Duties: collect rents, pay bills, occasional supervision of repairs - 2006 - Devotes 2 hours/month; Compensated - Rental Income.

## Registration and Employment History



### Other Business Activities, continued

#2: Anne Gunderson Foundation; Investment Related; Nature: Trust/Foundation; Title/Position: Co-Trustee; Duties: oversee investments and disbursement of funds, vet potential donor recipients and distributing assets according to terms of the trust; 25 hrs/yr; compensated.

#3. Ecochlor Inc.; Not Investment Related; Nature: Global Sales and Service of Equipment to the Maritime Industry; Title/Position: Chairman of the Board of Directors; Duties not yet assigned - Elected to the Board in April 2022; Devotes 8 hours/month; Not compensated.

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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



## 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>	STATE OF CONNECTICUT DEPT. OF BANKING
<b>Sanction(s) Sought:</b>	Civil and Administrative Penalt(ies) /Fine(s)
<b>Other Sanction(s) Sought:</b>	
<b>Date Initiated:</b>	06/19/2001
<b>Docket/Case Number:</b>	CO-01-6256-S
<b>Employing firm when activity occurred which led to the regulatory action:</b>	LEGG MASON WOOD WALKER, INC.
<b>Product Type:</b>	No Product
<b>Other Product Type(s):</b>	
<b>Allegations:</b>	AT VARIOUS TIMES BETWEEN 8/1999 AND 2/2001, RESPONDENT ALLEGEDLY VIOLATED SECTION 36B-31-14F(B)(3)OF THE REGULATIONS UNDER THE CONNECTICUT UNIFORM SECURITIES ACT BY FAILING TO MAKE FIRM RECORDS AVAILABLE TO THE AGENCY IN A TIMELY MANNER.
<b>Current Status:</b>	Final
<b>Resolution:</b>	Consent



**Resolution Date:** 06/19/2001

**Sanctions Ordered:** Cease and Desist/Injunction  
Censure  
Monetary/Fine \$10,000.00

**Other Sanctions Ordered:** 6/19/2001 CONSENT ORDER CENSURED RESPONDENT, DIRECTED HIM TO CEASE AND DESIST FROM VIOLATING THOSE REGULATORY PROVISIONS GOVERNING AGENCY EXAMINATIONS AND FINED HIM \$10,000.

**Sanction Details:** SEE ABOVE.

**Regulator Statement** SEE ABOVE FOR RESOLUTION DETAILS.

**Reporting Source:** Broker

**Regulatory Action Initiated By:** STATE OF CONNECTICUT DEPARTMENT OF BANKING

**Sanction(s) Sought:** Civil and Administrative Penalt(ies) /Fine(s)

**Other Sanction(s) Sought:**

**Date Initiated:** 06/19/2001

**Docket/Case Number:** CO-01-6256-S

**Employing firm when activity occurred which led to the regulatory action:** LEGG MASON WOOD WALKER, INC.

**Product Type:** No Product

**Other Product Type(s):**

**Allegations:** AT VARIOUS TIME BETWEEN 8/1999 AND 2/2001 RESPONDENT ALLEGEDLY VIOLATED SECTION 36B-21-14F(B)(3) OF THE REGULATIONS UNDER THE CONNECTICUT UNIFORM SECURITIES ACT BY FAILING TO MAKE FIRM RECORDS AVAILABLE TO THE AGENCY IN A TIMELY MANNER.

**Current Status:** Final

**Resolution:** Consent

**Resolution Date:** 06/19/2001

**Sanctions Ordered:** Cease and Desist/Injunction  
Censure  
Monetary/Fine \$10,000.00



<b>Other Sanctions Ordered:</b>	ON 6/19/2001 MR. NOBLE, LEGG MASON WOOD WALKER, INC. ENTERED INTO A CONSENT ORDER WITH THE STATE OF CONNECTICUT, WHICH CENSURED MR. NOBLE, DIRECTED HIM TO CEASE AND DESIST INTER ALIA FROM VIOLATING REGULATORY PROVISIONS GOVERNING AGENCY EXAMINATIONS, AND FINED HIM \$10,000.
<b>Sanction Details:</b>	SEE ABOVE
<b>Broker Statement</b>	SEE ABOVE

## End of Report



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