

BrokerCheck Report

JOHN E SWEGLES III

CRD# 1034058

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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.



JOHN E. SWEGLES III

CRD# 1034058

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

IA NFSG CORPORATION
GROSSE POINTE PARK, MI
CRD# 130814
Registered with this firm since: 05/15/2024

B NEWBRIDGE SECURITIES CORPORATION
1200 NORTH FEDERAL HIGHWAY
SUITE 400
BOCA RATON, FL 33432
CRD# 104065
Registered with this firm since: 05/13/2024

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:

- 2 Self-Regulatory Organizations
- 2 U.S. states and territories

This broker has passed:

- 4 Principal/Supervisory Exams
- 5 General Industry/Product Exams
- 2 State Securities Law Exams

Registration History

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

- IA WELLS FARGO CLEARING SERVICES, LLC**
CRD# 19616
ST. LOUIS, MO
03/2016 - 12/2023
- B WELLS FARGO CLEARING SERVICES, LLC**
CRD# 19616
GROSSE POINTE WOODS, MI
02/2016 - 12/2023
- B MORGAN STANLEY**
CRD# 149777
GROSSE POINTE FARMS, MI
06/2009 - 03/2016

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
Customer Dispute	2
Termination	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 2 SROs and is licensed in 2 U.S. states and territories through his or her employer.

Employment 1 of 2

Firm Name: **NEWBRIDGE SECURITIES CORPORATION**

Main Office Address: **1200 NORTH FEDERAL HIGHWAY
SUITE 400
BOCA RATON, FL 33432**

Firm CRD#: **104065**

	SRO	Category	Status	Date
B	FINRA	General Securities Principal	Approved	05/13/2024
B	FINRA	General Securities Representative	Approved	05/13/2024
B	FINRA	General Securities Sales Supervisor	Approved	05/13/2024
B	Nasdaq Stock Market	General Securities Principal	Approved	05/13/2024
B	Nasdaq Stock Market	General Securities Representative	Approved	05/13/2024
B	Nasdaq Stock Market	General Securities Sales Supervisor	Approved	05/13/2024

	U.S. State/ Territory	Category	Status	Date
B	Idaho	Agent	Approved	06/24/2024
B	Michigan	Agent	Approved	05/15/2024

Branch Office Locations

NEWBRIDGE SECURITIES CORPORATION
1200 NORTH FEDERAL HIGHWAY
SUITE 400
BOCA RATON, FL 33432



Broker Qualifications

Employment 2 of 2

Firm Name: **NFSG CORPORATION**
Main Office Address: **1200 NORTH FEDERAL HIGHWAY
SUITE 400
BOCA RATON, FL 33432**
Firm CRD#: **130814**

	U.S. State/ Territory	Category	Status	Date
IA	Michigan	Investment Adviser Representative	Approved	05/15/2024

Branch Office Locations

1200 NORTH FEDERAL HIGHWAY
SUITE 400
BOCA RATON, FL 33432

GROSSE POINTE PARK, MI



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 4 principal/supervisory exams, 5 general industry/product exams, and 2 state securities law exams.

Principal/Supervisory Exams

Exam	Category	Date
B General Securities Sales Supervisor - General Module Examination	Series 10	01/02/2023
B General Securities Sales Supervisor - Options Module Examination	Series 9	01/02/2023
B General Securities Sales Supervisor Examination (Options Module & General Module)	Series 8	07/25/1994
B General Securities Principal Examination	Series 24	04/05/1994

General Industry/Product Exams

Exam	Category	Date
B Securities Industry Essentials Examination	SIE	10/01/2018
B Futures Managed Funds Examination	Series 31	06/12/2009
B General Securities Representative Examination	Series 7	09/17/1983
B Direct Participation Programs Representative Examination	Series 22	03/17/1983
B Investment Company Products/Variable Contracts Representative Examination	Series 6	03/10/1982

State Securities Law Exams

Exam	Category	Date
IA Uniform Investment Adviser Law Examination	Series 65	07/30/1993
B Uniform Securities Agent State Law Examination	Series 63	03/15/1982

Additional information about the above exams or other exams FINRA administers to brokers and other securities professionals can be found at

Broker Qualifications



Industry Exams this Broker has Passed, continued

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
IA 03/2016 - 12/2023	WELLS FARGO CLEARING SERVICES, LLC	19616	GROSSE POINTE WOODS, MI
B 02/2016 - 12/2023	WELLS FARGO CLEARING SERVICES, LLC	19616	GROSSE POINTE WOODS, MI
B 06/2009 - 03/2016	MORGAN STANLEY	149777	GROSSE POINTE FARMS, MI
IA 06/2009 - 03/2016	MORGAN STANLEY	149777	GROSSE POINTE FARMS, MI
IA 03/2008 - 06/2009	MORGAN STANLEY & CO. INCORPORATED	8209	GROSSE POINTE FARMS, MI
B 02/2008 - 06/2009	MORGAN STANLEY & CO. INCORPORATED	8209	GROSSE POINTE FARMS, MI
B 08/2001 - 03/2008	UBS FINANCIAL SERVICES INC.	8174	GROSSE POINTE FARMS, MI
B 06/1998 - 09/2001	RAYMOND JAMES & ASSOCIATES, INC.	705	ST. PETERSBURG, FL
B 05/1998 - 09/1999	RONEY & CO.	45091	DETROIT, MI
B 05/1987 - 05/1998	RONEY & CO. L.L.C.	900	DETROIT, MI
B 07/1984 - 05/1987	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	7691	
B 08/1983 - 07/1984	E. F. HUTTON & COMPANY INC	235	
B 03/1982 - 08/1983	IDS LIFE INSURANCE COMPANY	6321	
B 03/1982 - 08/1983	IDS MARKETING CORPORATION	6363	
B 03/1982 - 08/1983	INVESTORS DIVERSIFIED SERVICES, INC.	6320	

Employment History



Registration and Employment History

Employment History, continued

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
05/2024 - Present	NEWBRIDGE FINANCIAL SERVICES GROUP, INC	INVESTMENT ADVISOR	Y	BOCA RATON, FL, United States
05/2024 - Present	NEWBRIDGE SECURITIES CORPORATION	REGISTERED REPRESENTATIVE	Y	BOCA RATON, FL, United States
11/2023 - 05/2024	UNEMPLOYED	UNEMPLOYED	N	GROSSE POINTE PARK, MI, United States
11/2016 - 11/2023	WELLS FARGO CLEARING SERVICES, LLC	Registered Rep	Y	Grosse Pointe Woods, MI, United States
02/2016 - 11/2016	Wells Fargo Advisors, LLC	Registered Rep	Y	Grosse Pointe Woods, MI, United States
01/2015 - 02/2016	MORGAN STANLEY PRIVATE BANK, NATIONAL ASSOCIATION	FINANCIAL ADVISOR	Y	NEW YORK, NY, United States
06/2009 - 02/2016	MORGAN STANLEY SMITH BARNEY	Mass Transfer	Y	GROSSE POINTE FARMS, MI, United States
02/2008 - 02/2016	MORGAN STANLEY & CO., INCORPORATED	FINANCIAL ADVISOR	Y	BIRMINGHAM, MI, 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) JOHN SWEGLES INSURANCE - 01/1982 - MICHAGAN - ONGOING

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
Customer Dispute	0	2	N/A
Termination	N/A	1	N/A



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.

Customer Dispute - Award / Judgment

This type of disclosure event involves a final, consumer-initiated, investment-related arbitration or civil suit containing allegations of sales practice violations against the broker that resulted in an arbitration award or civil judgment for the customer.

Disclosure 1 of 1

Reporting Source:	Regulator
Employing firm when activities occurred which led to the complaint:	UBS FINANCIAL SERVICES, INC.
Allegations:	ACCOUNT RELATED ERRORS AND CHARGES, NEGLIGENCE, FAILURE TO EXECUTE, AND UNAUTHORIZED TRADING, TRANSFER, AND SELL OUTS
Product Type:	Mutual Fund
Alleged Damages:	\$6,000.00

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.:	FINRA - CASE #11-02312
Date Notice/Process Served:	06/06/2011
Arbitration Pending?	No
Disposition:	Award
Disposition Date:	11/15/2011
Disposition Detail:	SWEGLES IS LIABLE FOR AND SHALL PAY TO CLAIMANT COMPENSATORY DAMAGES IN THE AMOUNT OF \$2,000.00.

Reporting Source:	Firm
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Employing firm when activities occurred which led to the complaint:	UBS FINANCIAL SERVICES INC.
Allegations:	CLAIMANT ALLEGES THAT IN 2008, FA ENGAGED IN UNAUTHORIZED MUTUAL FUND TRANSACTION.
Product Type:	Mutual Fund
Alleged Damages:	\$6,000.00
Is this an oral complaint?	No
Is this a written complaint?	Yes
Is this an arbitration/CFTC reparation or civil litigation?	No

Customer Complaint Information

Date Complaint Received:	09/24/2008
Complaint Pending?	No
Status:	Evolved into Arbitration/CFTC reparation (the individual is a named party)
Status Date:	11/06/2008
Settlement Amount:	\$0.00
Individual Contribution Amount:	\$0.00

Arbitration Information

Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.):	FINRA
Docket/Case #:	11-02312
Date Notice/Process Served:	06/17/2011
Arbitration Pending?	No
Disposition:	Award to Customer
Disposition Date:	11/15/2011
Monetary Compensation Amount:	\$2,000.00
Individual Contribution Amount:	\$0.00



Reporting Source: Broker

Employing firm when activities occurred which led to the complaint: UBS FINANCIAL SERVICES INC.

Allegations: CLAIMANT ALLEGES THAT IN 2008, FA ENGAGED IN UNAUTHORIZED MUTUAL FUND TRANSACTION.

Product Type: Mutual Fund

Alleged Damages: \$6,000.00

Is this an oral complaint? No

Is this a written complaint? Yes

Is this an arbitration/CFTC reparation or civil litigation? Yes

Arbitration/Reparation forum or court name and location: FINRA

Docket/Case #: 11-02312

Filing date of arbitration/CFTC reparation or civil litigation: 06/17/2011

Customer Complaint Information

Date Complaint Received: 09/24/2008

Complaint Pending? No

Status: Closed/No Action

Status Date: 06/17/2011

Settlement Amount:

Individual Contribution Amount:

Arbitration Information

Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.): FINRA



Docket/Case #: 11/02312

Date Notice/Process Served: 06/17/2011

Arbitration Pending? No

Disposition: Award to Customer

Disposition Date: 11/15/2011

Monetary Compensation Amount: \$2,000.00

Individual Contribution Amount: \$2,000.00

Broker Statement

PER THE FA, "CLIENT INVESTED \$5,000 TO PURCHASE ING PRINCIPAL PROTECTION FUND IN JANUARY 2003. ON JANUARY 25, 2008 THE CLIENT PLACED AN ORDER TO SELL THIS FUND. THE ORDER WAS ENTERED AND THE TRANSACTION OCCURRED ON JANUARY 29, 2008, THE FIRST DATE HIS FUND COULD BE SOLD DUE TO BEING IN CONVERSION AT THE FUND COMPANY FOR THE 5 YEAR CONVERSION PER PROSPECTUS. THIS TIME DIFFERENCE OF 4 DAYS CREATED A GAIN OF \$69.87 FOR THE CLIENT. CLIENT THEN AUTHORIZED THE PROCEEDS TO BE DEPOSITED TO THE IVY GLOBAL NATURAL RESOURCES FUND. CLIENT OBJECTS TO \$224.60 ACCUMULATED FEES FOR THE FIVE YEAR PERIOD, WHICH WERE DISCLOSED IN HIS ACCOUNT OPENING APPLICATION, AND POSTED TO FOR 5 YEARS OF STATEMENTS. THESE ARE FIRM FEES AND NOT CREDITED IN ANY WAY TO THE FINANCIAL ADVISOR."



Customer Dispute - Closed-No Action / Withdrawn / Dismissed / Denied

This type of disclosure event involves (1) a consumer-initiated, investment-related arbitration or civil suit containing allegations of sales practice violations against the individual broker that was dismissed, withdrawn, or denied; or (2) a consumer-initiated, investment-related written complaint containing allegations that the broker engaged in sales practice violations resulting in compensatory damages of at least \$5,000, forgery, theft, or misappropriation, or conversion of funds or securities, which was closed without action, withdrawn, or denied.

Disclosure 1 of 1

Reporting Source: Broker

Employing firm when activities occurred which led to the complaint: RAYMOND JAMES & ASSOCIATES, INC.

Allegations: FAILURE TO FOLLOW INSTRUCTIONS; CLIENT ALLEGES HE TOLD THE FA TO DO A SWITCH IN HIS SISTER & MOTHER'S ACCOUNT & IT WAS ONLY DONE FOR THE MOTHER. EVENTS OCCURRED JANUARY 2000.

Product Type: Mutual Fund(s)

Alleged Damages: \$5,000.00

Customer Complaint Information

Date Complaint Received: 08/14/2000

Complaint Pending? No

Status: Denied

Status Date: 10/15/2000

Settlement Amount:

Individual Contribution Amount:

Broker Statement CLIENT ALLEGED HE INSTRUCTED FA TO TRANSFER MUTUAL FUND IN SISTER'S ACCOUNT. HE WAS NOT A REGISTERED OWNER OF RECORD AND HAD NO AUTHORITY OVER THIS ACCOUNT. SISTER WOULD OFTEN INSTRUCT US "I AM NOT AS AGGRESSIVE AS MY BROTHER" SO DON'T EXPECT ME TO DO WHAT HE DOES.



Employment Separation After Allegations

This type of disclosure event involves a situation where the broker voluntarily resigned, was discharged, or was permitted to resign after being accused of (1) violating investment-related statutes, regulations, rules or industry standards of conduct; (2) fraud or the wrongful taking of property; or (3) failure to supervise in connection with investment-related statutes, regulations, rules, or industry standards of conduct.

Disclosure 1 of 1

Reporting Source: Firm

Employer Name: WELLS FARGO CLEARING SERVICES, LLC.

Termination Type: Discharged

Termination Date: 11/15/2023

Allegations: Financial Advisor discharged after allegations he solicited the surrender of variable annuity products without sufficient or accurate documentation of a rationale or client understanding as to why the transaction was in the clients best interest.

Product Type: Annuity-Variable

Reporting Source: Broker

Employer Name: WELLS FARGO CLEARING SERVICES, LLC.

Termination Type: Discharged

Termination Date: 11/15/2023

Allegations: Financial Advisor discharged after allegations he solicited the surrender of variable annuity products without sufficient or accurate documentation of a rationale or client understanding as to why the transaction was in the client's best interest.

Product Type: Annuity-Variable

Broker Statement My client of 30 years needed cash for a pending HOA assessment. Based on the liquid assets he had available, he decided to liquidate his Forethought annuity which was out of the surrender period. In addition to a partial tax write off, the funds were deposited into a money market account with a favorable interest rate, I received no commissions or fees for servicing my client's needs.

End of Report



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