

BrokerCheck Report

JEFFREY LEWIS EGLOW

CRD# 1299960

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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 L. EGLOW**

CRD# 1299960

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

IA NFSG CORPORATION
1200 NORTH FEDERAL HIGHWAY, SUITE 400
BOCA RATON, FL 33432
CRD# 130814
Registered with this firm since: 12/11/2017

B NEWBRIDGE SECURITIES CORPORATION
1200 NORTH FEDERAL HIGHWAY SUITE 400
BOCA RATON, FL 33432
CRD# 104065
Registered with this firm since: 08/31/2017

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
- 7 U.S. states and territories

This broker has passed:

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

Registration History

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

- IA SUNTRUST ADVISORY SERVICES, INC.**
CRD# 283390
ATLANTA, GA
11/2016 - 09/2017
- B SUNTRUST INVESTMENT SERVICES, INC.**
CRD# 17499
DELRAY BEACH, FL
03/2015 - 09/2017
- IA SUNTRUST INVESTMENT SERVICES, INC.**
CRD# 17499
ATLANTA, GA
03/2015 - 12/2016

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
Criminal	1
Customer Dispute	7
Financial	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 7 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 Representative	Approved	08/31/2017
B	Nasdaq Stock Market	General Securities Representative	Approved	08/31/2017

	U.S. State/ Territory	Category	Status	Date
B	Arizona	Agent	Approved	08/05/2025
B	Florida	Agent	Approved	12/11/2017
B	New Jersey	Agent	Approved	01/17/2018
B	New York	Agent	Approved	01/02/2018
B	Tennessee	Agent	Approved	12/19/2017

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	Florida	Investment Adviser Representative	Approved	12/11/2017
IA	Louisiana	Investment Adviser Representative	Approved	03/28/2019
IA	Texas	Investment Adviser Representative	Restricted Approval	04/27/2018

Branch Office Locations

1200 NORTH FEDERAL HIGHWAY
SUITE 400
BOCA RATON, FL 33432

1200 NORTH FEDERAL HIGHWAY, SUITE 400
BOCA RATON, FL 33432



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

Principal/Supervisory Exams

Exam	Category	Date
No information reported.		

General Industry/Product Exams

Exam	Category	Date
B Securities Industry Essentials Examination	SIE	10/01/2018
B Futures Managed Funds Examination	Series 31	08/27/2007
B General Securities Representative Examination	Series 7	07/20/2007
B National Commodity Futures Examination	Series 3	07/15/1986

State Securities Law Exams

Exam	Category	Date
B IA Uniform Combined State Law Examination	Series 66	08/14/2007
B Uniform Securities Agent State Law Examination	Series 63	01/14/1986

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
IA 11/2016 - 09/2017	SUNTRUST ADVISORY SERVICES, INC.	283390	DELRAY BEACH, FL
B 03/2015 - 09/2017	SUNTRUST INVESTMENT SERVICES, INC.	17499	DELRAY BEACH, FL
IA 03/2015 - 12/2016	SUNTRUST INVESTMENT SERVICES, INC.	17499	DELRAY BEACH, FL
IA 01/2012 - 03/2015	WELLS FARGO ADVISORS, LLC	19616	BOCA RATON, FL
B 01/2012 - 03/2015	WELLS FARGO ADVISORS, LLC	19616	BOCA RATON, FL
B 05/2010 - 01/2012	MORGAN KEEGAN & COMPANY, INC.	4161	CORAL SPRINGS, FL
IA 05/2010 - 01/2012	MORGAN KEEGAN & COMPANY, INC.	4161	CORAL SPRINGS, FL
B 06/2009 - 05/2010	MORGAN STANLEY SMITH BARNEY	149777	PALM BEACH, FL
IA 06/2009 - 05/2010	MORGAN STANLEY SMITH BARNEY LLC	149777	PALM BEACH, FL
IA 08/2007 - 06/2009	MORGAN STANLEY & CO. INCORPORATED	8209	PALM BEACH, FL
B 08/2007 - 06/2009	MORGAN STANLEY & CO. INCORPORATED	8209	PALM BEACH, FL
B 01/1994 - 09/1998	FIA CAPITAL GROUP, INC.	19074	SHORT HILLS, NJ
B 12/1991 - 03/1992	FIA CAPITAL GROUP, INC.	19074	SHORT HILLS, NJ
B 01/1990 - 02/1992	CCC ADVISORS, INC.	7379	NEW YORK, NY
B 12/1985 - 01/1990	DREXEL BURNHAM LAMBERT INCORPORATED	7323	

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
08/2017 - Present	Newbridge Securities Corp.	Registered Representative	Y	Boca Raton, FL, United States
08/2016 - 08/2017	SunTrust Advisory Services	Investment Advisory Representative	Y	Atlanta, GA, United States
03/2015 - 08/2017	SUNTRUST INVESTMENT SERVICES, INC.	FINANCIAL ADVISOR	Y	ATLANTA, GA, 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.

INSURANCE LICENSED 02/01/18; 5% OF BUSINESS HOURS

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.
 -
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.
 -
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
Criminal	0	1	0
Customer Dispute	0	7	N/A
Financial	0	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.

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

Reporting Source:	Broker
If charge(s) were brought against an organization over which broker exercised control:	
Organization Name:	
Investment Related Business:	No
Broker's Position:	
Formal Charges were brought in:	MUNICIPAL COURT
Name of Court:	THE MUNICIPAL COURT OF BOROUGH COUNTY
Location of Court:	CHATHAM, NJ
Docket/Case #:	5200428
Charge Date:	10/29/2003
Charge(s) 1 of 1	
Formal Charge(s)/Description:	THEFT OF PROPERTY (NOT INVESTMENT RELATED)
No of Counts:	1



Felony or Misdemeanor:	Felony
Plea for each charge:	GUILTY
Disposition of charge:	Pled guilty
Date of Amended Charge:	05/04/2004
Charge was Amended or reduced to:	CHARGE WAS AMENDED TO MISDEMEANOR OF DEFIANT TRESPASSING.
Amended No of Counts:	1
Amended Charge:	Misdemeanor
Amended Plea:	GUILTY
Disposition of Amended Charge:	Pled guilty
Current Status:	Final
Status Date:	05/04/2004
Disposition Date:	05/04/2004
Sentence/Penalty:	05/04/2004, PENALTY WAS \$300 AND WAS PAID ON 05/04/2004
Broker Statement	<p>IN 2003, I ENTERED A STORAGE UNIT AT CHATHAM STORAGE, CHATHAM NJ, TO RETRIEVE PHARMACEUTICAL SAMPLES FOR PHYSICIAN DISTRIBUTION. THE SAMPLES WERE DISPENSED TO PHYSICIANS I CALLED UPON IN MY CAPACITY AS A PFIZER REPRESENTATIVE. I WAS NOT AUTHORIZED TO ENTER THIS STORAGE UNIT AND PLEAD GUILTY TO A MUNICIPAL COURT PLEA OF PETTY DISORDERLY CONDUCT. PFIZER CONFIRMED WITH THE PHYSICIANS THE SAMPLES I DISTRIBUTED AND THAT NO SAMPLES WERE DIVERTED OR FALSIFIED. I AM ATTACHING VARIOUS REPORTS CONCERNING THIS MATTER.</p>



Customer Dispute - Settled

This type of disclosure event involves a consumer-initiated, investment-related complaint, arbitration proceeding or civil suit containing allegations of sale practice violations against the broker that resulted in a monetary settlement to the customer.

Disclosure 1 of 6

Reporting Source:	Broker
Employing firm when activities occurred which led to the complaint:	NEWBRIDGE SECURITIES CORPORATION
Allegations:	BREACH OF FIDUCIARY DUTY, NEGLIGENCE, AND BREACH OF CONTACT.
Product Type:	Other: ALTERNATIVES
Alleged Damages:	\$0.00
Alleged Damages Amount Explanation (if amount not exact):	UNSPECIFIED
Is this an oral complaint?	No
Is this a written complaint?	No
Is this an arbitration/CFTC reparation or civil litigation?	Yes
Arbitration/Reparation forum or court name and location:	FINRA
Docket/Case #:	24-02419
Filing date of arbitration/CFTC reparation or civil litigation:	11/11/2024

Customer Complaint Information

Date Complaint Received:	11/12/2024
Complaint Pending?	No
Status:	Settled
Status Date:	06/25/2025
Settlement Amount:	\$80,000.00
Individual Contribution Amount:	\$0.00



Disclosure 2 of 6

Reporting Source:	Broker
Employing firm when activities occurred which led to the complaint:	NEWBRIDGE SECURITIES CORPORATION
Allegations:	Breach of Contract & Warranties, Promissory Estoppel, Negligence, Breach of Fiduciary Duty, Negligent Supervision, Violation of State Securities Statutes.
Product Type:	Other: ALTERNATIVE INVESTMENTS
Alleged Damages:	\$125,000.00
Is this an oral complaint?	No
Is this a written complaint?	No
Is this an arbitration/CFTC reparation or civil litigation?	Yes
Arbitration/Reparation forum or court name and location:	FINRA
Docket/Case #:	22-01036
Filing date of arbitration/CFTC reparation or civil litigation:	05/12/2022

Customer Complaint Information

Date Complaint Received:	06/22/2022
Complaint Pending?	No
Status:	Settled
Status Date:	05/30/2023
Settlement Amount:	\$55,000.00
Individual Contribution Amount:	\$50,000.00
Broker Statement	"I deny all allegations as both clients indicated they were fully aware of all risks and signed papers attesting to that."

Disclosure 3 of 6



Reporting Source: Broker

Employing firm when activities occurred which led to the complaint: NEWBRIDGE SECURITIES CORPORATION

Allegations: Negligence, Breach of Fiduciary Duty

Product Type: Other: ALTERNATIVES INVESTMENTS

Alleged Damages: \$250,000.00

Is this an oral complaint? No

Is this a written complaint? No

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

Arbitration/Reparation forum or court name and location: FINRA

Docket/Case #: 22-01136

Filing date of arbitration/CFTC reparation or civil litigation: 05/24/2022

Customer Complaint Information

Date Complaint Received: 05/31/2022

Complaint Pending? No

Status: Settled

Status Date: 11/03/2023

Settlement Amount: \$117,500.00

Individual Contribution Amount: \$0.00

Broker Statement I deny all allegations as the client reviewed the prospectus with her outside counsel and they both approved the purchase and understood the risk of these securities, and the client later wanted to purchase more of these securities but was unable to do as it would have exceeded the Newbridge guidelines.

Disclosure 4 of 6

Reporting Source: Broker



Employing firm when activities occurred which led to the complaint:	SunTrust Investment Services, Inc.
Allegations:	Client stated she was overcharged for trades and is seeking a refund of fees.
Product Type:	Debt-Municipal
Alleged Damages:	\$48,758.00
Alleged Damages Amount Explanation (if amount not exact):	After reviewing client's account this is the amount the firm determined to be client damages.
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:	05/19/2017
Complaint Pending?	No
Status:	Settled
Status Date:	06/12/2017
Settlement Amount:	\$48,758.00
Individual Contribution Amount:	\$48,758.00
Broker Statement	SUNTRUST INVESTMENT SERVICES IS STATING A CONTRIBUTION AMOUNT ON THIS DISCLOSURE. TO THE BEST OF MY KNOWLEDGE I WAS NEVER ASKED TO PARTICIPATE IN ANY COMPENSATION OF THIS SETTLEMENT.

Disclosure 5 of 6

Reporting Source:	Firm
Employing firm when activities occurred which led to the complaint:	Suntrust Investment Services, Inc and Wells Fargo Advisors, LLC
Allegations:	Claimant alleges unsuitable investment recommendations were made in accounts opened in or around 2011.



Product Type: Unit Investment Trust

Alleged Damages: \$0.00

Alleged Damages Amount Explanation (if amount not exact): Approximately \$1,000,000.00

Arbitration Information

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

FINRA

Docket/Case #: 16-01962

Date Notice/Process Served: 07/22/2016

Arbitration Pending? No

Disposition: Settled

Disposition Date: 03/28/2017

Monetary Compensation Amount: \$25,000.00

Individual Contribution Amount: \$0.00

Firm Statement Without admitting any liability, the decision was made to settle the matter for \$25,000 solely as a business decision to avoid the cost and time of an arbitration.

Reporting Source: Broker

Employing firm when activities occurred which led to the complaint: SunTrust Investment Services, Inc.

Allegations: The client alleged over-concentration in UITs and energy securities and holding leveraged ETF positions as long positions, resulting in unrealized losses.

Product Type: Unit Investment Trust
Other: Exchange-Trade Funds

Alleged Damages: \$1,000,000.00

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 Arbitration #16-01962

Docket/Case #: 16-01962

Filing date of arbitration/CFTC reparation or civil litigation: 07/08/2016

Customer Complaint Information

Date Complaint Received: 07/25/2016

Complaint Pending? No

Status: Settled

Status Date: 03/28/2017

Settlement Amount: \$115,000.00

Individual Contribution Amount: \$0.00

Arbitration Information

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

Docket/Case #: 16-01962

Date Notice/Process Served: 07/08/2016

Arbitration Pending? No

Disposition: Settled

Disposition Date: 03/28/2017

Monetary Compensation Amount: \$115,000.00

Individual Contribution Amount: \$0.00

Broker Statement I categorically deny the allegations as the client is a sophisticated investor with a high degree risk tolerance. The firm settled solely to avoid the costs and uncertainties of arbitration and did not require or request that Mr. Eglow contribute to the settlement payment.



Disclosure 6 of 6

Reporting Source:	Firm
Employing firm when activities occurred which led to the complaint:	WELLS FARGO ADVISORS, LLC
Allegations:	CLIENT ALLEGES THAT TERMS AND PROVISIONS OF TWO VARIABLE ANNUITIES WERE MISREPRESENTED, INCLUDING CHANGES IN THE VALUE OF THE DEATH BENEFIT. (02/06/2014)
Product Type:	Annuity-Variable
Alleged Damages:	\$0.00
Alleged Damages Amount Explanation (if amount not exact):	DAMAGES ARE NOT SPECIFIED BUT ARE BELIEVED TO EXCEED \$5,000.
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:	03/30/2015
Complaint Pending?	No
Status:	Settled
Status Date:	05/28/2015
Settlement Amount:	\$3,205.73
Individual Contribution Amount:	\$0.00

Reporting Source:	Broker
Employing firm when activities occurred which led to the complaint:	WELLS FARGO ADVISORS, LLC
Allegations:	CLIENT ALLEGES THAT TERMS AND PROVISIONS OF TWO VARIABLE



ANNUITIES WERE MISREPRESENTED, INCLUDING CHANGES IN THE VALUE OF THE DEATH BENEFIT.(02/06/2014)

Product Type: Annuity-Variable

Alleged Damages: \$0.00

Alleged Damages Amount Explanation (if amount not exact): DAMAGES ARE NOT SPECIFIED BUT ARE BELIEVED TO EXCEED \$5000

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: 03/30/2015

Complaint Pending? No

Status: Settled

Status Date: 05/28/2015

Settlement Amount: \$3,205.73

Individual Contribution Amount: \$0.00

Broker Statement THE ALLEGATIONS BY [CUSTOMER] ARE UNFOUNDED AND I DENY THESE ALLEGATIONS.



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:	SunTrust Investment Services, Inc. (STIS)
Allegations:	The clients consolidated their variable annuities (purchased at another firm and not purchased through Mr. Eglow) into annuities at STIS. They allege they were not aware of some of these annuity transfers. They are also upset over a rider fee imposed by one of the annuities when they surrendered it.
Product Type:	Annuity-Variable
Alleged Damages:	\$14,133.00
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:	09/04/2015
Complaint Pending?	No
Status:	Denied
Status Date:	09/18/2015
Settlement Amount:	
Individual Contribution Amount:	
Broker Statement	I categorically deny the allegations set forth as the clients agreed to execute this 1035 exchange on numerous occasions and signed the 1035 exchange forms on 2 separate occasions and were fully aware of all details. There is no monetary loss as any changes in the contract values are due to changes in market conditions and the rider fee charge has been charged annually from date of purchase.

**Financial - Final**

This type of disclosure event involves a bankruptcy, compromise with one or more creditors, or Securities Investor Protection Corporation liquidation involving the broker or an organization/brokerage firm the broker controlled that occurred within the last 10 years.

Disclosure 1 of 1

Reporting Source:	Broker
Action Type:	Bankruptcy
Bankruptcy:	Chapter 7
Action Date:	05/24/2019
Organization Investment-Related?	
Type of Court:	Federal Court
Name of Court:	UNITED STATES BANKRUPTCY COURT
Location of Court:	SOUTHERN DISTRICT OF FLORIDA
Docket/Case #:	19-16881
Action Pending?	No
Disposition:	Discharged
Disposition Date:	06/24/2020

End of Report



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