

BrokerCheck Report

PHILIP FRANK RUTIGLIANO

CRD# 2136509

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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.

**PHILIP F. RUTIGLIANO**

CRD# 2136509

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

IA NFSG CORPORATION
 135 CHESTNUT RIDGE ROAD
 SUITE 200
 MONTVALE, NJ 07645
 CRD# 130814
 Registered with this firm since: 06/08/2023

B NEWBRIDGE SECURITIES CORPORATION
 135 CHESTNUT RIDGE ROAD, SUITE 200
 MONTVALE, NJ 07645
 CRD# 104065
 Registered with this firm since: 04/25/2023

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
- 3 U.S. states and territories

This broker has passed:

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

Registration History

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

- B AURORA CAPITAL LLC**
 CRD# 37924
 CHESTNUT RIDGE, NY
 07/2014 - 04/2021
- B BIC DISTRIBUTORS, LLC**
 CRD# 152860
 PHOENIX, AZ
 08/2013 - 05/2014
- IA PNC INVESTMENTS**
 CRD# 129052
 PITTSBURGH, PA
 08/2011 - 05/2013

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 3 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	04/25/2023
B	FINRA	General Securities Representative	Approved	04/25/2023
B	FINRA	Limited Representative-Prvt Scrts Ofngs	Approved	04/25/2023
B	FINRA	Private Securities Offerings Principal	Approved	04/25/2023
B	Nasdaq Stock Market	General Securities Principal	Approved	04/25/2023
B	Nasdaq Stock Market	General Securities Representative	Approved	04/25/2023

	U.S. State/ Territory	Category	Status	Date
B	Connecticut	Agent	Approved	01/08/2024
B	New Jersey	Agent	Approved	04/25/2023
B	New York	Agent	Approved	10/05/2023

Branch Office Locations

NEWBRIDGE SECURITIES CORPORATION
135 CHESTNUT RIDGE ROAD, SUITE 200
MONTVALE, NJ 07645



Broker Qualifications

Employment 1 of 2, continued

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 New Jersey	Investment Adviser Representative	Approved	06/08/2023

Branch Office Locations

1200 NORTH FEDERAL HIGHWAY
SUITE 400
BOCA RATON, FL 33432

135 CHESTNUT RIDGE ROAD
SUITE 200
MONTVALE, NJ 07645



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

Principal/Supervisory Exams

Exam	Category	Date
B General Securities Principal Examination	Series 24	10/08/1999

General Industry/Product Exams

Exam	Category	Date
B Limited Representative-Private Securities Offerings	Series 82TO	04/25/2023
B Securities Industry Essentials Examination	SIE	10/01/2018
B General Securities Representative Examination	Series 7	01/31/1994
B Investment Company Products/Variable Contracts Representative Examination	Series 6	05/09/1991

State Securities Law Exams

Exam	Category	Date
B Uniform Securities Agent State Law Examination	Series 63	10/20/2009
IA Uniform Investment Adviser Law Examination	Series 65	10/16/1997

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

This representative holds or did hold **1** professional designation(s) that may have been used to qualify as an Investment Advisor representative. Please check with the appropriate designation authority for verification that the designation is still in effect. The contact information for these professional designation authorities can be found on the website for the North American Securities Administrators Association at <http://www.nasaa.org>



Registration and Employment History

Registration History

The broker previously was registered with the following firms:

Registration Dates	Firm Name	CRD#	Branch Location
B 07/2014 - 04/2021	AURORA CAPITAL LLC	37924	CHESTNUT RIDGE, NY
B 08/2013 - 05/2014	BIC DISTRIBUTORS, LLC	152860	PHOENIX, AZ
IA 08/2011 - 05/2013	PNC INVESTMENTS	129052	RIVER VALE, NJ
B 07/2011 - 05/2013	PNC INVESTMENTS	129052	RIVER VALE, NJ
B 05/2011 - 06/2011	VALIC FINANCIAL ADVISORS, INC.	42803	LATHAM, NY
B 05/2011 - 05/2011	PNC INVESTMENTS	129052	WASHINGTON TWP., NJ
IA 05/2011 - 05/2011	PNC INVESTMENTS	129052	WASHINGTON TWP., NJ
B 09/2009 - 04/2011	FIFTH THIRD SECURITIES, INC.	628	RALEIGH, NC
IA 09/2009 - 04/2011	FIFTH THIRD SECURITIES, INC.	628	RALEIGH, NC
B 05/2008 - 09/2008	NATIONAL SECURITIES CORPORATION	7569	STATEN ISLAND, NY
B 04/2006 - 06/2006	HSBC SECURITIES (USA) INC.	19585	PELHAM, NY
IA 07/1998 - 04/2006	CHASE INVESTMENT SERVICES CORP.	25574	BRONX, NY
B 09/1996 - 04/2006	CHASE INVESTMENT SERVICES CORP.	25574	CHICAGO, IL
B 08/1994 - 09/1996	CHEMICAL INVESTMENT SERVICES CORP.	36312	
B 11/1993 - 08/1994	LIBERTY SECURITIES CORPORATION	14416	PURCHASE, NY
B 05/1991 - 11/1993	METLIFE SECURITIES INC.	14251	SPRINGFIELD, MA
B 05/1991 - 11/1993	METROPOLITAN LIFE INSURANCE COMPANY	4095	NEW YORK, NY

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
06/2023 - Present	NEWBRIDGE FINANCIAL SERVICES GROUP	INVESTMENT ADVISOR REPRESENTATIVE	Y	BOCA RATON, FL, United States
04/2023 - Present	NEWBRIDGE SECURITIES CORPORATION	REGISTERED REPRESENTATIVE	Y	BOCA RATON, FL, United States
04/2021 - 02/2023	KNIGHTS OF COLUMBUS	AGENT	N	FLANDERS, NJ, United States
07/2014 - 04/2021	AURORA CAPITAL LLC	REGISTERED REPRESENTATIVE	Y	NEW YORK, NY, 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)MAHONEY ASSET MANAGEMENT - CORP (DBA): 5/2023, NEW YORK, INVESTMENT RELATED, FINANCIAL ADVISOR, INSURANCE AGENT - PROVIDE FINANCIAL AND INSURANCE SERVICES. ONGOING, ASSIT CLIENTS WITH PLANNING, TIME SPENT MORE THAN 25% DURING SECURITIES TRADING HOURS.

2)ON OCCASION I WILL CONSULT (NON-PROFIT AND FOR PROFIT) COMPANIES LOOKING TO IMPROVE THEIR SALES PROCESS. ZERO HOURS CURRENTLY

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 - 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 1

Reporting Source:	Firm
Employing firm when activities occurred which led to the complaint:	NATIONAL SECURITIES CORP
Allegations:	SELLING AWAY
Product Type:	Other: HEDGE FUND
Alleged Damages:	\$582,000.00
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 #:	12-02277
Filing date of arbitration/CFTC reparation or civil litigation:	06/26/2012

Customer Complaint Information

Date Complaint Received:	06/28/2012
Complaint Pending?	No



Status: Settled
Status Date: 03/19/2014
Settlement Amount: \$60,000.00
Individual Contribution Amount: \$0.00

Reporting Source: Broker
Employing firm when activities occurred which led to the complaint: NATIONAL SECURITIES CORP
Allegations: SELLING AWAY
Product Type: Other: HEDGE FUND
Alleged Damages: \$582,000.00
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 #: 12-02277
Filing date of arbitration/CFTC reparation or civil litigation: 06/26/2012

Customer Complaint Information

Date Complaint Received: 04/21/2014
Complaint Pending? No
Status: Settled
Status Date: 03/19/2014
Settlement Amount: \$60,000.00
Individual Contribution Amount: \$0.00



Broker Statement

BIC DISTRIBUTORS, LLC WAS NOT AWARE OF THIS MATTER UNTIL APRIL 21, 2014. THIS IS THE DATE THAT THE MATTER WAS BROUGHT TO OUR ATTENTION.



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:	CHASE INVESTMENT SERVICES CORP.
Allegations:	CUSTOMER'S ATTORNEY CLAIMS UNSUITABLE & UNAUTHORIZED MUTUAL FUND INVESTMENT.
Product Type:	Mutual Fund(s)
Alleged Damages:	\$21,750.00

Customer Complaint Information

Date Complaint Received:	11/25/2003
Complaint Pending?	No
Status:	Denied
Status Date:	01/07/2004
Settlement Amount:	
Individual Contribution Amount:	
Broker Statement	CUSTOMERS COMPLAINT DENIED IN ITS ENTIRETY.



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: PNC INVESTMENTS

Termination Type: Discharged

Termination Date: 04/29/2013

Allegations: PHILIP RUTILGLIANO WAS TERMINATED FOR VIOLATION OF FIRM POLICY, THEREBY VIOLATING HIS HEIGHTENED SUPERVISION PLAN. SPECIFICALLY, MR. RUTIGLIANO TOOK DISCRETION IN A CLIENT'S ACCOUNT. BY PURCHASING SECURITIES WITHOUT FIRST OBTAINING CLIENT AUTHORIZATION.

Product Type: Mutual Fund

Reporting Source: Broker

Employer Name: PNC INVESTMENTS

Termination Type: Discharged

Termination Date: 04/29/2013

Allegations: PHILIP RUTIGLIANO WASN TERMINATED FOR VIOLATION OF FIRM POLICY. SPECIFICALLY, IT WAS ALLEGED THAT MR. RUTIGLIANO TOOK DISCRETION IN A CLIENT'S ACCOUNT BY ALLEGEDLY PURCHASING SECURITIES WITHOUT FIRST OBTAINING CLIENT AUTHORIZATION.

Product Type: Mutual Fund

Broker Statement IN A LETTER FROM MR. RUTIGLIANO'S ATTORNEY (LAX & NEVILLE, LLP) DATED 6/13/2013 RE: STAR# 20130370428, MR. RUTIGLIANO DENIES THE ABOVE REFERENCED ALLEGATIONS. THE MATTER IS STILL OUTSTANDING AND HAS NOT BEEN RESOLVED BY FINRA AS OF THIS FILING.

End of Report



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