

BrokerCheck Report

JOHN DAVID BERGIN

CRD# 4097897

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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 D. BERGIN**

CRD# 4097897

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

- B COVA CAPITAL PARTNERS LLC**
 6851 JERICHO TPKE
 SUITE 205
 SYOSSET, NY 11791
 CRD# 109761
 Registered with this firm since: 07/11/2018

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:

- 1 Self-Regulatory Organization
- 0 U.S. states and territories

This broker has passed:

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

Registration History

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

- B COVA CAPITAL PARTNERS LLC**
 CRD# 109761
 SYOSSET, NY
 08/2015 - 04/2016
- B NMS FINANCIAL SERVICES, LLC**
 CRD# 140356
 CORAL SPRINGS, FL
 10/2012 - 01/2013
- B BROOKVILLE CAPITAL PARTNERS LLC.**
 CRD# 102380
 WELLINGTON, FL
 03/2010 - 10/2010

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	3
Termination	1
Financial	1
Judgment/Lien	5



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 1 SRO and is licensed in 0 U.S. states and territories through his or her employer.

Employment 1 of 1

Firm Name: **COVA CAPITAL PARTNERS LLC**
Main Office Address: **6851 JERICHO TPKE
SUITE 205
SYOSSET, NY 11791**
Firm CRD#: **109761**

SRO	Category	Status	Date
<div>B</div> FINRA	Corporate Securities Represent	Approved	07/11/2018

Branch Office Locations

COVA CAPITAL PARTNERS LLC
6851 JERICHO TPKE
SUITE 205
SYOSSET, NY 11791



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, 2 general industry/product exams, and 1 state securities law exam.

Principal/Supervisory Exams

Exam	Category	Date
No information reported.		

General Industry/Product Exams

Exam	Category	Date
B Securities Industry Essentials Examination	SIE	10/01/2018
B Corporate Securities Limited Representative Examination	Series 62	12/16/2000

State Securities Law Exams

Exam	Category	Date
B Uniform Securities Agent State Law Examination	Series 63	01/06/2001

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
B 08/2015 - 04/2016	COVA CAPITAL PARTNERS LLC	109761	SYOSSET, NY
B 10/2012 - 01/2013	NMS FINANCIAL SERVICES, LLC	140356	CORAL SPRINGS, FL
B 03/2010 - 10/2010	BROOKVILLE CAPITAL PARTNERS LLC.	102380	WELLINGTON, FL
B 09/2009 - 12/2009	PEAK SECURITIES CORPORATION	107907	WELLINGTON, FL
B 02/2007 - 12/2008	BROOKSTONE SECURITIES, INC.	13366	BOCA RATON, FL
B 05/2006 - 02/2007	NEWBRIDGE SECURITIES CORPORATION	104065	WEST PALM BEACH, FL
B 05/2005 - 05/2006	DAWSON JAMES SECURITIES, INC.	130645	BOCA RATON, FL
B 08/2004 - 04/2005	J.P. TURNER & COMPANY, L.L.C.	43177	ATLANTA, GA
B 02/2004 - 09/2004	GUNNALLEN FINANCIAL, INC	17609	TAMPA, FL
B 11/2002 - 02/2004	NATIONAL SECURITIES CORPORATION	7569	BOCA RATON, FL
B 01/2004 - 01/2004	GRANITE ASSOCIATES, INC	46682	DELRAY BEACH, FL
B 07/2001 - 12/2002	CONTINENTAL BROKER-DEALER CORP.	14048	CARLE PLACE, NY
B 02/2001 - 07/2001	JOSEPH STEVENS & COMPANY, INC.	35459	BROOKLYN, NY
B 01/2001 - 01/2001	GLOBAL CAPITAL SECURITIES CORPORATION	16184	ENGLEWOOD, CO
B 12/2000 - 01/2001	GLOBAL CAPITAL MARKETS, LLC	16191	MELVILLE, 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
04/2018 - Present	Cova Capital Partners LLC	REGISTERED REP	Y	Syosset, NY, United States
04/2016 - Present	Self Employed Consultant	self employed	N	Wellington, FL, United States
01/2015 - 04/2016	COVA CAPITAL PARTNERS LLC	REGISTERED REPRESENTATIVE	Y	GLEN HEAD, 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.

Self-employed business consultant, on as needed basis

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.
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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
Criminal	0	1	0
Customer Dispute	0	3	N/A
Termination	N/A	1	N/A
Financial	1	0	N/A
Judgment/Lien	5	N/A	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:	State Court
Name of Court:	STATE OF FLORIDA
Location of Court:	W PALM BEACH,FLORIDA
Docket/Case #:	502007CF009502
Charge Date:	08/20/2007
Charge(s) 1 of 1	
Formal Charge(s)/Description:	GRAND THEFT AUTO
No of Counts:	1



Felony or Misdemeanor:	Felony
Plea for each charge:	NOT GUILTY
Disposition of charge:	Dismissed
Current Status:	Final
Status Date:	11/28/2007
Disposition Date:	11/28/2007
Sentence/Penalty:	CASE DISMISSED, CHARGES DROPPED 11/28/2007. "NO PROS"
Broker Statement	<p>RENTED CAR THROUGH HERTZ, PROGRESSIVE INSURANCE COMPANY WAS TO HAVE PAYED FOR RENTAL. INSURANCE COMPANY NEGLECTED TO INFORM HERTZ RENTALS OF THIS AND MAKE PAYMENT. HERTZ REPORTED CAR STOLEN UNBEKNOWNST TO MR. BERGIN. CAR WAS RETURNED TO HERTZ WITHOUT INCIDENT. MONTHS LATER ARRESTED FOR GRAND THEFT AUTO. CHARGES WERE DROPPED AND CASE DISMISSED AFTER PROGRESSIVE INSURANCE INFORMED DA OF MISTAKE.</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 2

Reporting Source:	Broker
Employing firm when activities occurred which led to the complaint:	J.P. TURNER & COMPANY
Allegations:	CLIENT ALLEGES REPRESENTATIVE MISREPRESENTED STOCK LOSSES
Product Type:	Equity - OTC
Alleged Damages:	\$12,000.00

Customer Complaint Information

Date Complaint Received:	03/16/2005
Complaint Pending?	No
Status:	Settled
Status Date:	04/05/2005
Settlement Amount:	\$6,000.00
Individual Contribution Amount:	\$0.00

Disclosure 2 of 2

Reporting Source:	Firm
Employing firm when activities occurred which led to the complaint:	GUNNALLEN FINANCIAL INC.
Allegations:	CLIENT ALLEGED AN OVER PURCHASE OF STOCK WITH MARGIN ACCOUNT AFTER RR LEFT THE FIRM
Product Type:	Equity - OTC
Alleged Damages:	\$14,000.00

Customer Complaint Information

Date Complaint Received:	10/06/2004
Complaint Pending?	No



Status: Settled
Status Date: 12/14/2004
Settlement Amount: \$6,937.00
Individual Contribution Amount: \$0.00

Reporting Source: Broker
Employing firm when activities occurred which led to the complaint: GUNALLEN FINANCIAL INC.

Allegations: CLIENT ALLEGED AN OVER PURCHASE OF STOCK WITH MARGIN ACCOUNT AFTER REP LEFT FIRM

Product Type: Equity - OTC

Alleged Damages: \$14,000.00

Customer Complaint Information

Date Complaint Received: 11/17/2004

Complaint Pending? No

Status: Settled

Status Date: 12/14/2004

Settlement Amount: \$6,937.00

Individual Contribution Amount: \$0.00



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:	J.P. TURNER & COMPANY
Allegations:	CLIENT ALLEGES EXCESSIVE MARGIN TRADING IN HIS ACCOUNT
Product Type:	Equity - OTC
Alleged Damages:	\$11,749.00

Customer Complaint Information

Date Complaint Received:	03/18/2005
Complaint Pending?	No
Status:	Denied
Status Date:	04/05/2005
Settlement Amount:	
Individual Contribution Amount:	



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: J.P.TURNER & COMPANY L.L.C.
Termination Type: Discharged
Termination Date: 03/31/2005
Allegations: ALLEGATIONS OF MISREPRESENTATION AND EXCESSIVE TRADING
Product Type: Equity - OTC
Other Product Types:

Reporting Source: Broker
Employer Name: JP TURNER & COMPANY
Termination Type: Discharged
Termination Date: 03/31/2005
Allegations: SUSPICION SALES PRACTICE VIOLATIONS
Product Type: Equity - OTC
Other Product Types:

Broker Statement I FEEL THAT JP TURNER DISCHARGED ME IN AN EFFORT TO CONSOLIDATE OFFICES AND USED THESE TWO GRIEVANCES ALREADY REPORTED ON MY U-4 AS AN EXCUSE TO LET ME GO. I CONTINUE TO DENY THE ALLEGATIONS IN THESE TWO COMPLAINTS, OF WHICH JP TURNER DENIED ONE AND DECIDED TO SETTLE THE OTHER WITHOUT CONFERRING WITH ME.

**Financial - Pending**

This type of disclosure event involves a pending 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: Settlement

Action Date: 03/31/2016

Organization Investment-Related? No

Action Pending? Yes

If a compromise with creditor, provide:

Name of Creditor: IRS

Original Amount Owed: \$30,000.00

Terms Reached with Creditor: TBD

Broker Statement Working with accountant to structure settlement



Judgment / Lien

This type of disclosure event involves an unsatisfied and outstanding judgments or liens against the broker.

Disclosure 1 of 5

Reporting Source:	Broker
Judgment/Lien Holder:	IRS
Judgment/Lien Amount:	\$2,919.00
Judgment/Lien Type:	Tax
Date Filed with Court:	04/15/2016
Date Individual Learned:	01/04/2020
Type of Court:	State Court
Name of Court:	Palm Beach County
Location of Court:	Palm Beach County
Judgment/Lien Outstanding?	Yes
Broker Statement	Currently on a payment Plan

Disclosure 2 of 5

Reporting Source:	Broker
Judgment/Lien Holder:	IRS
Judgment/Lien Amount:	\$8,523.17
Judgment/Lien Type:	Tax
Date Filed with Court:	06/17/2016
Date Individual Learned:	01/04/2020
Type of Court:	State Court
Name of Court:	Palm beach County
Location of Court:	PalmBeach County
Docket/Case #:	20160216350
Judgment/Lien Outstanding?	Yes
Broker Statement	Currently on a payment plan



Disclosure 3 of 5

Reporting Source: Broker
Judgment/Lien Holder: CACH LLC
Judgment/Lien Amount: \$2,376.00
Judgment/Lien Type: Civil
Date Filed with Court: 08/28/2012
Date Individual Learned: 04/11/2018
Type of Court: State Court
Name of Court: Palm Beach County
Location of Court: Palm Beach County Florida
Docket/Case #: 12SC003333
Judgment/Lien Outstanding? Yes
Broker Statement I have just recently been made aware of this issue. It is concerning my son. I will resolve as soon as possible.

Disclosure 4 of 5

Reporting Source: Broker
Judgment/Lien Holder: IRS
Judgment/Lien Amount: \$16,581.87
Judgment/Lien Type: Tax
Date Filed with Court: 03/24/2016
Date Individual Learned: 04/11/2018
Type of Court: State Court
Name of Court: Palm Beach County
Location of Court: Palm Beach County Florida
Docket/Case #: 20160100301
Judgment/Lien Outstanding? Yes
Broker Statement working with accountant to resolve matter with a payment plan

**Disclosure 5 of 5**

Reporting Source:	Broker
Judgment/Lien Holder:	IRS
Judgment/Lien Amount:	\$23,816.00
Judgment/Lien Type:	Tax
Date Filed with Court:	02/02/2014
Date Individual Learned:	04/11/2018
Type of Court:	State Court
Name of Court:	Palm Beach County
Location of Court:	Palm Beach County Florida
Docket/Case #:	2010041638
Judgment/Lien Outstanding?	Yes
Broker Statement	Working with accountant to resolve matter with a payment plan

End of Report



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