

BrokerCheck Report

Brian Joseph Condo

CRD# 4173619

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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.

Brian J. Condo

CRD# 4173619

This broker is not currently registered.

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 not currently registered.

This broker has passed:

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

Registration History

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

- B JCC CAPITAL MARKETS, LLC**
CRD# 146776
LAGUNA NIGUEL, CA
05/2023 - 09/2024
- B EMERSON EQUITY LLC**
CRD# 130032
SAN MATEO, CA
04/2023 - 05/2023
- B INTERNATIONAL ASSETS ADVISORY, LLC**
CRD# 10645
ORLANDO, FL
10/2022 - 11/2022

Disclosure Events

All individuals registered to sell securities or provide investment advice are required to disclose customer complaints and arbitrations, regulatory actions, employment terminations, bankruptcy filings, and criminal or civil judicial proceedings.

Are there events disclosed about this broker? **Yes**

The following types of disclosures have been reported:

Type	Count
Regulatory Event	1
Criminal	1

Investment Adviser Representative Information

The information below represents the individual's record as a broker. For details on this individual's record as an investment adviser representative, visit the SEC's Investment Adviser Public Disclosure website at

<https://www.adviserinfo.sec.gov>

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 broker is not currently registered.



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 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 General Securities Representative Examination	Series 7	06/30/2000

State Securities Law Exams

Exam	Category	Date
IA Uniform Investment Adviser Law Examination	Series 65	04/22/2013
B Uniform Securities Agent State Law Examination	Series 63	07/26/2000

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 05/2023 - 09/2024	JCC CAPITAL MARKETS, LLC	146776	LAGUNA NIGUEL, CA
B 04/2023 - 05/2023	EMERSON EQUITY LLC	130032	SAN MATEO, CA
B 10/2022 - 11/2022	INTERNATIONAL ASSETS ADVISORY, LLC	10645	ORLANDO, FL
B 05/2021 - 06/2021	CABOT LODGE SECURITIES LLC	159712	SCHAUMBURG, IL
B 05/2016 - 08/2019	TAYLOR CAPITAL MANAGEMENT INC.	43559	WOODSTOCK, GA
B 09/2006 - 04/2014	JACKSON NATIONAL LIFE DISTRIBUTORS LLC	40178	DENVER, CO
B 10/2003 - 09/2006	WM FINANCIAL SERVICES, INC.	599	WEST PALM BEACH, FL
B 05/2003 - 10/2003	RIGGS SECURITIES INC.	46202	WASHINGTON, DC
B 12/2001 - 05/2003	WM FINANCIAL SERVICES, INC.	599	IRVINE, CA
B 07/2000 - 10/2001	MORGAN STANLEY DW INC.	7556	PURCHASE, NY

Employment History

This section provides up to 10 years of an individual broker's employment history as reported by the individual broker on the most recently filed Form U4.

Please note that the broker is required to provide this information only while registered with FINRA or a national securities exchange and the information is not updated via Form U4 after the broker ceases to be registered. Therefore, an employment end date of "Present" may not reflect the broker's current employment status.

Employment	Employer Name	Position	Investment Related	Employer Location
01/2024 - Present	Intense Wear, DBA Sofibella	Sales Consultant	N	N Palm Beach, FL, United States
05/2023 - Present	JCC Capital Markets, LLC	Registered Representative	Y	Laguna Niguel, CA, United States
03/2023 - Present	Seedbrite Ventures, LLC	Vice President Sales	Y	Buffalo, NY, United States
04/2023 - 05/2023	Emerson Equity LLC	Registered Representative	Y	San Mateo, CA, United States



Registration and Employment History

Employment History, continued

Employment	Employer Name	Position	Investment Related	Employer Location
11/2022 - 03/2023	Self Employed	Sales Consultant	N	N Palm Beach, FL, United States
10/2022 - 11/2022	International Assets Advisory, LLC	Wholesaler	Y	Orlando, FL, United States
07/2021 - 09/2022	Unemployed	N/A	N	N/A, FL, United States
03/2021 - 07/2021	Wentworth Management Services	Wholesaler	Y	Riviera Beach, FL, United States
04/2021 - 06/2021	Cabot Lodge Securities LLC	Wholesaler	Y	New York, NY, United States
07/2018 - 04/2021	Triumph Wealth Advisors, Inc.	Registered Investment Advisor	Y	Woodstock, GA, United States
03/2016 - 08/2019	Taylor Capital Management Inc.	Registered Representative	Y	Woodstock, GA, United States
03/2016 - 10/2016	Zega Financial, LLC	Sales Director	Y	West Palm Beach, FL, United States
04/2014 - 03/2016	Shoreline Financial Group	VP of Distribution	Y	West Palm Beach, FL, 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.

Seedbrite Ventures, LLC since 03/2023; Investment related; 651 Delaware Ave. Ste 210 Buffalo NY 14202; Venture Capital Investment Product Sponsor; Vice President Sales, Sales and Marketing of Seedbrite offerings to financial services professionals; 130-150 hrs/month during securities trading hours.

All securities activity mentioned above offered through and supervised by JCC Capital Markets, LLC Member Finra

Instense Wear, DBA Sofibella; Sales Consultant for apparel manufacturing company; from 1/2024; Drive sales and set appointments for sales team; non investment related.

Disclosure Events



What you should know about reported disclosure events:

1. All individuals registered to sell securities or provide investment advice are required to disclose customer complaints and arbitrations, regulatory actions, employment terminations, bankruptcy filings, and criminal or civil judicial proceedings.
2. **Certain thresholds must be met before an event is reported to CRD, for example:**
 - A law enforcement agency must file formal charges before a broker is required to disclose a particular criminal event.
 - A customer dispute must involve allegations that a broker engaged in activity that violates certain rules or conduct governing the industry and that the activity resulted in damages of at least \$5,000.
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3. **Disclosure events in BrokerCheck reports come from different sources:**
 - As mentioned at the beginning of this report, information contained in BrokerCheck comes from brokers, brokerage firms and regulators. When more than one of these sources reports information for the same disclosure event, all versions of the event will appear in the BrokerCheck report. The different versions will be separated by a solid line with the reporting source labeled.
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4. **There are different statuses and dispositions for disclosure events:**
 - A disclosure event may have a status of *pending*, *on appeal*, or *final*.
 - A "pending" event involves allegations that have not been proven or formally adjudicated.
 - An event that is "on appeal" involves allegations that have been adjudicated but are currently being appealed.
 - A "final" event has been concluded and its resolution is not subject to change.
 - A final event generally has a disposition of *adjudicated*, *settled* or *otherwise resolved*.
 - An "adjudicated" matter includes a disposition by (1) a court of law in a criminal or civil matter, or (2) an administrative panel in an action brought by a regulator that is contested by the party charged with some alleged wrongdoing.
 - A "settled" matter generally involves an agreement by the parties to resolve the matter. Please note that brokers and brokerage firms may choose to settle customer disputes or regulatory matters for business or other reasons.
 - A "resolved" matter usually involves no payment to the customer and no finding of wrongdoing on the part of the individual broker. Such matters generally involve customer disputes.

For your convenience, below is a matrix of the number and status of disclosure events involving this broker. Further information regarding these events can be found in the subsequent pages of this report. You also may wish to contact the broker to obtain further information regarding these events.

	Pending	Final	On Appeal
Regulatory Event	0	1	0
Criminal	0	1	0



Disclosure Event Details

When evaluating this information, please keep in mind that a disclosure event may be pending or involve allegations that are contested and have not been resolved or proven. The matter may, in the end, be withdrawn, dismissed, resolved in favor of the broker, or concluded through a negotiated settlement for certain business reasons (e.g., to maintain customer relationships or to limit the litigation costs associated with disputing the allegations) with no admission or finding of wrongdoing.

This report provides the information exactly as it was reported to CRD and therefore some of the specific data fields contained in the report may be blank if the information was not provided to CRD.

Regulatory - Final

This type of disclosure event may involve (1) a final, formal proceeding initiated by a regulatory authority (e.g., a state securities agency, self-regulatory organization, federal regulatory such as the Securities and Exchange Commission, foreign financial regulatory body) for a violation of investment-related rules or regulations; or (2) a revocation or suspension of a broker's authority to act as an attorney, accountant, or federal contractor.

Disclosure 1 of 1

Reporting Source:	Regulator
Regulatory Action Initiated By:	FLORIDA OFFICE OF FINANCIAL REGULATION
Sanction(s) Sought:	Denial
Date Initiated:	08/21/2013
Docket/Case Number:	0274-SR-08/13
URL for Regulatory Action:	
Employing firm when activity occurred which led to the regulatory action:	CURIAN CAPITAL, LLC
Product Type:	No Product
Allegations:	MAKING A MATERIAL FALSE STATEMENT ON THE APPLICATION FOR REGISTRATION
Current Status:	Final
Resolution:	Order



Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct? No

Resolution Date: 10/25/2013

Sanctions Ordered: Denial

Regulator Statement ON 10/25/2013, THE OFFICE OF FINANCIAL REGULATION ENTERED A FINAL ORDER ADOPTING THE STIPULATION AND CONSENT AGREEMENT IN THE MATTER OF BRIAN J. CONDO. MR. CONDO NEITHER ADMITTED NOR DENIED THE FINDINGS BUT CONSENTED TO THE ENTRY OF FINDINGS BY THE OFFICE. THE OFFICE FOUND THAT MR. CONDO MADE A MATERIAL MISSTATEMENT ON THE APPLICATION FOR REGISTRATION. PURSUANT TO THE ORDER, MR. CONDO'S APPLICATION FOR REGISTRATION AS AN ASSOCIATED PERSON (RA) OF CURIAN CAPITAL, LLC IS DENIED WITHOUT PREJUDICE TO REAPPLY.

Reporting Source: Broker

Regulatory Action Initiated By: FLORIDA OFFICE OF FINANCIAL REGULATION

Sanction(s) Sought: Denial

Date Initiated: 08/21/2013

Docket/Case Number: 0274-SR-08/13

Employing firm when activity occurred which led to the regulatory action: CURIAN CAPITAL, LLC

Product Type: No Product

Allegations: MAKING A MATERIAL FALSE STATEMENT ON THE APPLICATION FOR REGISTRATION

Current Status: Final

Resolution: Order



Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct?

No

Resolution Date: 10/25/2013

Sanctions Ordered: Denial



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
Formal Charges were brought in:	COUNTY COURT
Name of Court:	VOLUSIA COUNTY COURT
Location of Court:	VOLUSIA COUNTY, FL
Docket/Case #:	1989 007873 MMAES
Charge Date:	03/22/1989
Charge(s) 1 of 1	
Formal Charge(s)/Description:	PETTY THEFT
No of Counts:	1
Felony or Misdemeanor:	Misdemeanor
Plea for each charge:	NOT APPLICABLE, NONE
Disposition of charge:	NOLLE PROSEQUI; CASE CLOSED
Current Status:	Final
Status Date:	12/29/1993
Disposition Date:	12/29/1993
Sentence/Penalty:	NOT APPLICABLE, NONE
Broker Statement	THIS 25 YEAR OLD INCIDENT RESULTED FROM A WRONGFUL ACCUSATION AND I WAS NEVER NOTIFIED OF ANY OFFICIAL CHARGE OR COURT PROCEEDING. AS SUCH, I WAS NOT AWARE THIS MISDEMEANOR CHARGE EXISTED UNTIL MONTHS AGO. I ALSO LEARNED THIS WAS JUSTLY DROPPED. I RESPECTFULLY TRUST THESE FACTS WILL SUPPORT MY GOOD STANDING.

End of Report



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