

BrokerCheck Report

CURTIS C RANDLE EL

CRD# 4877870

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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.

**CURTIS C. RANDLE EL**

CRD# 4877870

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

IA NFSG CORPORATION
 1712 MOUNT NEBO ROAD
 SEWICKLEY, PA 15143
 CRD# 130814
 Registered with this firm since: 06/06/2018

B NEWBRIDGE SECURITIES CORPORATION
 1712 MOUNT NEBO ROAD
 SEWICKLEY, PA 15143
 CRD# 104065
 Registered with this firm since: 05/22/2018

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:

- 2 Self-Regulatory Organizations
- 6 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):

- IA INTERNATIONAL ASSETS INVESTMENT MANAGEMENT, LLC**
 CRD# 144426
 ORLANDO, FL
 01/2016 - 02/2018
- B INTERNATIONAL ASSETS ADVISORY, LLC**
 CRD# 10645
 PITTSBURGH, PA
 12/2015 - 02/2018
- IA INTERNATIONAL ASSETS INVESTMENT MANAGEMENT, LLC**
 CRD# 144426
 ORLANDO, FL
 12/2015 - 12/2015

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
Customer Dispute	1
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 6 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	05/22/2018
B	Nasdaq Stock Market	General Securities Representative	Approved	05/22/2018

	U.S. State/ Territory	Category	Status	Date
B	Indiana	Agent	Approved	06/11/2018
B	Maryland	Agent	Approved	06/06/2018
B	Michigan	Agent	Approved	06/17/2019
B	Ohio	Agent	Approved	06/04/2018
B	Pennsylvania	Agent	Approved	06/01/2018
B	Texas	Agent	Approved	03/14/2024

Branch Office Locations

NEWBRIDGE SECURITIES CORPORATION
1712 MOUNT NEBO ROAD
SEWICKLEY, PA 15143



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	Pennsylvania	Investment Adviser Representative	Approved	06/06/2018

Branch Office Locations

1200 NORTH FEDERAL HIGHWAY
SUITE 400
BOCA RATON, FL 33432

1712 MOUNT NEBO ROAD
SEWICKLEY, PA 15143



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 General Securities Representative Examination	Series 7	03/11/2005

State Securities Law Exams

Exam	Category	Date
B IA Uniform Combined State Law Examination	Series 66	09/09/2005

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 01/2016 - 02/2018	INTERNATIONAL ASSETS INVESTMENT MANAGEMENT, LLC	144426	Pittsburg, PA
B 12/2015 - 02/2018	INTERNATIONAL ASSETS ADVISORY, LLC	10645	PITTSBURGH, PA
IA 12/2015 - 12/2015	INTERNATIONAL ASSETS INVESTMENT MANAGEMENT, LLC	144426	PITTSBURGH, PA
B 12/2014 - 12/2015	COASTAL EQUITIES, INC.	23769	PITTSBURGH, PA
IA 12/2014 - 12/2015	COASTAL INVESTMENT ADVISORS	134952	PITTSBURGH, PA
B 11/2014 - 12/2014	CETERA ADVISORS LLC	10299	PITTSBURGH, PA
IA 11/2014 - 12/2014	CETERA ADVISORS LLC	10299	PITTSBURGH, PA
IA 11/2011 - 11/2014	CAMBRIDGE INVESTMENT RESEARCH ADVISORS, INC.	134139	PITTSBURGH, PA
B 11/2011 - 11/2014	CAMBRIDGE INVESTMENT RESEARCH, INC.	39543	PITTSBURGH, PA
B 03/2009 - 06/2011	PNC INVESTMENTS	129052	PITTSBURGH, PA
IA 03/2009 - 06/2011	PNC INVESTMENTS	129052	PITTSBURGH, PA
IA 11/2005 - 12/2008	HEFREN-TILLOTSON, INC.	53	WEXFORD, PA
B 06/2005 - 12/2008	HEFREN-TILLOTSON, INC.	53	WEXFORD, PA

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
10/2024 - Present	NEWBRIDGE SECURITIES CORPORATION	REGISTERED REPRESENTATIVE	Y	SEWICKLEY, PA, United States
05/2018 - 10/2024	NEWBRIDGE SECURITIES CORPORATION	REGISTERED REP	Y	Pittsburgh, PA, United States
12/2015 - 02/2018	INTERNATIONAL ASSETS ADVISORY, LLC	REGISTERED REP	Y	PITTSBURGH, PA, United States
12/2014 - 12/2015	COASTAL EQUITIES, INC.	RR	Y	WILMINGTON, DE, United States
12/2014 - 12/2015	COASTAL INVESTMENT ADVISORS	IAR	Y	WILMINGTON, DE, 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) RANDLE EL WEALTH ADVISORS, LLC - 1712 MOUNT NEBO ROAD - SEWICKLEY, PA 15143 - dba FOR FINANCIAL AND INSURANCE SERVICES - 100% OWNER SINCE 10/2011 - APPROX 40 HRS/MO - COMMISSIONS/FEES

2) INDEPENDENT FIXED INSURANCE AGENT 1712 MOUNT NEBO ROAD - SEWICKLEY, PA 15143 - FIXED INSURANCE PROVIDER - AGENT SINCE 11/2014 - APPROX 40 HRS/MO - COMMISSIONS

3) PITTSBURGH HISTORIC LANDMARKS FOUNDATION AND ENDOWMENT FINANCE COMMITTEE 100 WEST STATION SQUARE PITTSBURGH, PA 15219 - BOARD MEMBER GOVERNING THE ACTIVITIES OF THE PHLF STAFF AND PRESERVING THE ENDOWMENT THROUGH OVERSIGHT OF INVESTMENT CONSULTANT SINCE 01/2008 - APPROX 1 HR/MO - NO COMPENSATION

4) Greater YMCA of Pittsburgh, Volunteer Board member. Since 2018 -3 Hours/MO. -No Compensation

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
Regulatory Event	0	1	0
Customer Dispute	0	1	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.

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: FINRA

Sanction(s) Sought: Other: N/A

Date Initiated: 02/10/2017

Docket/Case Number: [2014043660101](#)

Employing firm when activity occurred which led to the regulatory action: Cambridge Investment Research, Inc.

Product Type: Mutual Fund
Unit Investment Trust

Allegations: Without admitting or denying the findings, Randle EI consented to the sanctions and to the entry of findings that he recommended and effected short-term trades involving Class A mutual fund shares and UITs for the accounts of elderly customers with conservative investment objectives without having a reasonable basis for believing that such transactions were suitable. The findings stated that even though mutual funds and UITs are intended as longer-term investments, Randle EI recommended that the customers sell these products after an average of only 60 days. In addition, some of the transactions involved switching-where Randle EI used the proceeds from the sale of Class A mutual fund shares to purchase other Class A mutual fund shares. As a result of these transactions, the



customers suffered losses of approximately \$33,185.

Current Status:

Final

Resolution:

Acceptance, Waiver & Consent(AWC)

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:

02/10/2017

Sanctions Ordered:

Civil and Administrative Penalty(ies)/Fine(s)
Suspension

If the regulator is the SEC, CFTC, or an SRO, did the action result in a finding of a willful violation or failure to supervise?

No

(1) willfully violated any provision of the Securities Act of 1933, the Securities Exchange Act of 1934, the Investment Advisers Act of 1940, the Investment Company Act of 1940, the Commodity Exchange Act, or any rule or regulation under any of such Acts, or any of the rules of the Municipal Securities Rulemaking Board, or to have been unable to comply with any provision of such Act, rule or regulation?



(2) willfully aided, abetted, counseled, commanded, induced, or procured the violation by any person of any provision of the Securities Act of 1933, the Securities Exchange Act of 1934, the Investment Advisers Act of 1940, the Investment Company Act of 1940, the Commodity Exchange Act, or any rule or regulation under any of such Acts, or any of the rules of the Municipal Securities Rulemaking Board? or

(3) failed reasonably to supervise another person subject to your supervision, with a view to preventing the violation by such person of any provision of the Securities Act of 1933, the Securities Exchange Act of 1934, the Investment Advisers Act of 1940, the Investment Company Act of 1940, the Commodity Exchange Act, or any rule or regulation under any such Acts, or any of the rules of the Municipal Securities Rulemaking Board?

Sanction 1 of 1

Sanction Type:	Suspension
Capacities Affected:	all capacities
Duration:	three months
Start Date:	03/06/2017
End Date:	06/05/2017

**Monetary Sanction 1 of 1****Monetary Related Sanction:** Civil and Administrative Penalty(ies)/Fine(s)**Total Amount:** \$5,000.00**Portion Levied against individual:** \$5,000.00**Payment Plan:****Is Payment Plan Current:****Date Paid by individual:** 11/03/2017**Was any portion of penalty waived?** No**Amount Waived:****Regulator Statement** Fine paid in full on November 3, 2017.**Reporting Source:** Broker**Regulatory Action Initiated By:** FINRA**Sanction(s) Sought:** Other: N/A**Date Initiated:** 02/10/2017**Docket/Case Number:** [2014043660101](#)**Employing firm when activity occurred which led to the regulatory action:** CAMBRIDGE INVESTMENT RESEARCH, INC.**Product Type:** Mutual Fund
Unit Investment Trust**Allegations:** Without admitting or denying the findings, Randle EI consented to the sanctions and to the entry of findings that he recommended and effected short-term trades involving Class A mutual fund shares and UITs for the accounts of elderly customers with conservative investment objectives without having a reasonable basis for believing that such transactions were suitable. The findings stated that even though mutual funds and UITs are intended as longer-term investments, Randle EI recommended that the customers sell these products after an average of only 60 days. In addition, some of the transactions involved switching-where Randle EI used the proceeds from the sale of Class A mutual fund shares to



purchase other Class A mutual fund shares. As a result of these transactions, the customers suffered losses of approximately \$33,185.

Current Status: Final

Resolution: Acceptance, Waiver & Consent(AWC)

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: 02/10/2017

Sanctions Ordered: Civil and Administrative Penalty(ies)/Fine(s)
Suspension

Sanction 1 of 1

Sanction Type: Suspension

Capacities Affected: ALL CAPACITIES

Duration: 3 MONTHS

Start Date: 03/06/2017

End Date: 06/05/2017

Monetary Sanction 1 of 1

Monetary Related Sanction: Civil and Administrative Penalty(ies)/Fine(s)

Total Amount: \$5,000.00

Portion Levied against individual: \$5,000.00

Payment Plan:

Is Payment Plan Current:

Date Paid by individual:

Was any portion of penalty waived? No

Amount Waived:

Broker Statement While, I have acknowledged making unsuitable recommendations to the client, but at the time of the trades the clients authorized the transactions and I believed at



the time that the transactions were in the clients' best interests. At no time did I intentionally make unsuitable recommendations in order to harm the clients or benefit myself. All of the clients involved have been or will be fully restituted.



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:	CARBRIDGE INVESTMENT RESEARCH, INC.
Allegations:	CLIENT ALLEGES RR ENGAGED IN EXCESSIVE TRADING TO GENERATE COMMISSIONS RATHER THAN WORKING IN HER BEST INTEREST.
Product Type:	Annuity-Variable Mutual Fund
Alleged Damages:	\$133,725.42
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:	02/09/2015
Complaint Pending?	No
Status:	Settled
Status Date:	05/04/2015
Settlement Amount:	\$5,411.98
Individual Contribution Amount:	\$0.00

Reporting Source:	Broker
Employing firm when activities occurred which led to the complaint:	CARBRIDGE INVESTMENT RESEARCH, INC.
Allegations:	CLIENT ALLEGES RR ENGAGED IN EXCESSIVE TRADING TO GENERATE COMMISSIONS RATHER THAN WORKING IN HER BEST INTEREST.



Product Type: Annuity-Variable
Mutual Fund

Alleged Damages: \$133,725.42

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: 02/09/2015

Complaint Pending? No

Status: Settled

Status Date: 05/04/2015

Settlement Amount: \$5,411.98

**Individual Contribution
Amount:** \$0.00



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: 06/03/2011

Allegations: ON MAY 20TH, 2011 IT WAS DISCOVERED THAT MR. RANDLE-EL SIGNED THE INITIALS OF A CLIENT ON A FORM IN APRIL 2011, THAT DESIGNATED THE CLIENT'S BENEFICIARY. FOLLOWING AN INVESTIGATION BY PNC IT WAS DETERMINED THAT MR. RANDLE-EL HAD VIOLATED FIRM POLICY BY SIGNING A CLIENTS INITIAL ON A FORM IN ORDER TO EXPEDITE PROCESSING. HE WAS TERMINATED ON JUNE 3, 2011.

Product Type: No Product

Reporting Source: Broker

Employer Name: PNC INVESTMENTS

Termination Type: Discharged

Termination Date: 06/03/2011

Allegations: ON MAY 20TH 2011 IT WAS DISCOVERED THAT MR. RANDLE-EL SIGNED THE INITIALS OF A CLIENT ON A FORM IN APRIL 2011, THAT DESIGNATED THE CLIENTS BENEFICIARY. FOLLOWING AN INVESTIGATION BY PNC IT WAS DETERMINED THAT MR. RANDLE-EL HAD VIOLATED FIRM POLICY BY SIGNING A CLIENTS INITIAL ON A FORM IN ORDER TO EXPEDITE PROCESSING. HE WAS TERMINATED ON JUNE 3, 2011.

Product Type: No Product

Broker Statement I WAS NOT AWARE NOR WAS I TRAINED ON THE BANK AFFILIATES INTERNAL POLICY WHILE GIVEN FULL DISCRETION REGARDING THE PROCESSING OF CLIENT PAPERWORK. NO TRADES WERE MADE NOR WAS ANY CLIENT HARMED.

End of Report



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