

BrokerCheck Report
John Danh Nguyen
 CRD# 4919629

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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. Nguyen

CRD# 4919629

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

IA MONEY CONCEPTS ADVISORY SERVICE
550 W. Orangethorpe Ave.
Suite A
Placentia, CA 92870
CRD# 12963
Registered with this firm since: 01/23/2024

B MONEY CONCEPTS CAPITAL CORP
550 W. Orangethorpe Ave.
Suite A
Placentia, CA 92870
CRD# 12963
Registered with this firm since: 11/03/2023

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:

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

This broker has passed:

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

Registration History

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

- IA CROWN CAPITAL SECURITIES, L.P.**
CRD# 6312
ORANGE, CA
11/2016 - 11/2023
- B CROWN CAPITAL SECURITIES, L.P.**
CRD# 6312
PLACENTIA, CA
11/2016 - 11/2023
- IA FIT STRATEGIC ADVISORS LLC**
CRD# 299702
PLACENTIA, CA
01/2019 - 11/2023

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	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 1 SRO and is licensed in 7 U.S. states and territories through his or her employer.

Employment 1 of 1

Firm Name: **MONEY CONCEPTS CAPITAL CORP**

Main Office Address: **11440 JOG ROAD
PALM BEACH GARDENS, FL 33418**

Firm CRD#: **12963**

	SRO	Category	Status	Date
B	FINRA	General Securities Representative	Approved	11/03/2023
B	FINRA	Invest. Co and Variable Contracts	Approved	11/03/2023
B	FINRA	Investment Co./Variable Contracts Prin	Approved	11/03/2023

	U.S. State/ Territory	Category	Status	Date
B	Alabama	Agent	Approved	11/30/2023
B	Arizona	Agent	Approved	04/04/2025
B	California	Agent	Approved	11/03/2023
IA	California	Investment Adviser Representative	Approved	01/23/2024
B	Florida	Agent	Approved	11/06/2023
B	Nebraska	Agent	Approved	01/16/2024
B	Nevada	Agent	Approved	11/14/2023
B	Texas	Agent	Approved	11/03/2023

Branch Office Locations

MONEY CONCEPTS CAPITAL CORP

Broker Qualifications



Employment 1 of 1, continued

550 W. Orangethorpe Ave.
Suite A
Placentia, CA 92870



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

Principal/Supervisory Exams

Exam	Category	Date
B Investment Company Products/Variable Contracts Principal Examination	Series 26	12/03/2005

General Industry/Product Exams

Exam	Category	Date
B Securities Industry Essentials Examination	SIE	10/01/2018
B General Securities Representative Examination	Series 7	01/11/2011
B Investment Company Products/Variable Contracts Representative Examination	Series 6	05/03/2005

State Securities Law Exams

Exam	Category	Date
IA Uniform Investment Adviser Law Examination	Series 65	05/08/2007
B Uniform Securities Agent State Law Examination	Series 63	04/12/2005

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 11/2016 - 11/2023	CROWN CAPITAL SECURITIES, L.P.	6312	PLACENTIA, CA
B 11/2016 - 11/2023	CROWN CAPITAL SECURITIES, L.P.	6312	PLACENTIA, CA
IA 01/2019 - 11/2023	FIT STRATEGIC ADVISORS LLC	299702	PLACENTIA, CA
IA 06/2007 - 11/2016	SCF INVESTMENT ADVISORS, INC.	123608	FRESNO, CA
B 06/2007 - 11/2016	SCF SECURITIES, INC.	47275	PLACENTIA, CA
B 05/2005 - 07/2007	WORLD GROUP SECURITIES, INC.	114473	DULUTH, GA

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
11/2023 - Present	Money Concepts Capital Corp	Registered Representative	Y	Palm Beach Gardens, FL, United States
09/2018 - Present	FITax Planning, Inc.	PARTNER AND CFO, 50% OWNER	Y	PLACENTIA, CA, United States
04/2005 - Present	J & N Partnership Financial. Inc	Owner and Agent	Y	Placentia, CA, United States
01/2019 - 11/2023	FIT Strategic Advisors LLC	MEMBER	Y	PLACENTIA, CA, United States
11/2016 - 11/2023	Crown Capital Securities, L.P.	Registered Representative/ Investment Adviser Representative	Y	Placentia, CA, United States
09/2014 - 09/2020	HT REALTY INC.	REAL ESTATE AGENT	N	PLACENTIA, CA, United States
06/2007 - 11/2016	SCF INVESTMENT ADVISORS, INC.	INVESTMENT ADVISOR REP	Y	FRESNO, CA, United States



Registration and Employment History

Employment History, continued

Employment	Employer Name	Position	Investment Related	Employer Location
06/2007 - 11/2016	SCF SECURITIES, INC.	REGISTERED REP	Y	FRESNO, CA, 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) 88 PROPERTY, LLC, START DATE 9/2016, Real Estate, Rental Property, Investment related, 1-10% time spent on activity during securities hrs.

(2) J & N PARTNERSHIP FINANCIAL DBA FIT PLANNING GROUP/FINANCIAL INSURANCE & Tax Planning Group DBA "LIFE INSURANCE REVIEW" START 9/1/2007, PRESIDENT & CEO, Life Insurance, Fixed Insurance, non-variable products, Tax Planning, Non-investment related, 60% time spent on activity during securities hrs.

(3) FINANCIAL INSIGHT TAX PLANNING, START DATE 9/1/2016, CFO, CPA, Tax Services, Non-investment related, 20% time spent on activity during securities hrs.

(4) Youth Leadership American DBA YLA, START 8/1/2003, Board Member, Non-Profit, Leadership program. Non-investment related, 1-10% time spent on activity during non-securities hrs.

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
Customer Dispute	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.

Customer Dispute - Award / Judgment

This type of disclosure event involves a final, consumer-initiated, investment-related arbitration or civil suit containing allegations of sales practice violations against the broker that resulted in an arbitration award or civil judgment for the customer.

Disclosure 1 of 1

Reporting Source:	Regulator
Employing firm when activities occurred which led to the complaint:	SCF Securities, Inc.; Crown Capital Securities, L.P.
Allegations:	Nguyen was named in a customer complaint that asserted the following causes of action: breach of contract and warranties, promissory estoppel; violation of the California Securities Act; violation of the California Consumer Legal Remedies Act; claims under common law; and vicarious liability.
Product Type:	Other: Unspecified Securities
Alleged Damages:	\$5,000,000.00

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: [FINRA - CASE #21-00320](#)

Date Notice/Process Served: 02/05/2021

Arbitration Pending? No

Disposition: Award

Disposition Date: 05/05/2023

Disposition Detail: Nguyen is jointly and severally liable for and shall pay to Claimants the sum of \$780,220.00 in compensatory damages, and is jointly and severally liable for and shall pay to Claimants interest on the aforementioned sum.



Reporting Source:	Firm
Employing firm when activities occurred which led to the complaint:	SCF Securities, Inc.
Allegations:	Over-concentrations, misrepresentations, omissions, unsuitable recommendations. Dates between 04/2013 & 06/2016.
Product Type:	Annuity-Fixed Direct Investment-DPP & LP Interests
Alleged Damages:	\$5,000,000.00
Alleged Damages Amount Explanation (if amount not exact):	Per Statement of Claim: Compensatory damages in the amount of \$1,000,000 to \$5,000,000.
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
Docket/Case #:	21-00320
Filing date of arbitration/CFTC reparation or civil litigation:	02/11/2021

Customer Complaint Information

Date Complaint Received:	02/15/2021
Complaint Pending?	No
Status:	Arbitration Award/Monetary Judgment (for claimants/plaintiffs)
Status Date:	06/07/2022
Settlement Amount:	\$90,000.00
Individual Contribution Amount:	\$0.00

Arbitration Information



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

FINRA

Docket/Case #:

[21-00320](#)

Date Notice/Process Served:

02/15/2021

Arbitration Pending?

No

Disposition:

Award to Customer

Disposition Date:

06/07/2022

Monetary Compensation Amount:

\$90,000.00

Individual Contribution Amount:

\$0.00

Firm Statement

Rep is a named respondent. Details were entered in section 7-11 by mistake. Arbitration is pending against the rep only. Firm settled for \$90,000.00 only on the firms behalf. SCF Securities, Inc. entered into a settlement agreement with the claimants and has been dismissed from the arbitration proceeding. This U5 amendment is being submitted to disclose and communicate SCF's settlement with the claimants. The arbitration proceeding remains active with respect to other respondents, including Mr. Nguyen who is a named party in the arbitration.

DRP is being updated to show the individual was a named party to this event. SCF settled this matter. An award was rendered to the customer.

Reporting Source:

Broker

Employing firm when activities occurred which led to the complaint:

SCF SECURITIES, INC.; CROWN CAPITAL SECURITIES, L.P.

Allegations:

Customer alleges over-concentration, misrepresentations, omissions, and unsuitable recommendations in regards to the purchase of alternative and annuity investments.

Product Type:

Annuity-Fixed
Direct Investment-DPP & LP Interests

Alleged Damages:

\$5,000,000.00

Alleged Damages Amount Explanation (if amount not exact):

Per Statement of Claim: Compensatory damages in the amount of \$1,000,000 to \$5,000,000.



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

Docket/Case #: 21-00320

Filing date of arbitration/CFTC reparation or civil litigation: 02/05/2021

Customer Complaint Information

Date Complaint Received: 02/13/2021

Complaint Pending? No

Status: Evolved into Arbitration/CFTC reparation (the individual is a named party)

Status Date: 05/05/2023

Settlement Amount: \$870,220.00

Individual Contribution Amount: \$25,000.00

Arbitration Information

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

Docket/Case #: [21-00320](#)

Date Notice/Process Served: 02/05/2021

Arbitration Pending? No

Disposition: Award to Customer

Disposition Date: 05/05/2023

Monetary Compensation Amount: \$870,220.00

Individual Contribution Amount: \$25,000.00



Broker Statement

SCF SECURITIES, INC ENTERED INTO A SETTLEMENT FOR \$90,000.00. IN AN ARBITRATION HEARING CLAIMANTS RECEIVED AN AWARD JOINTLY & SEVERALLY AGAINST CROWN CAPITAL SECURITIES, LP & JOHN NGUYEN FOR \$782,220.00 IN COMPENSATORY DAMAGES.

End of Report



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