

## BrokerCheck Report

**ROBERT VAUGHN WHITAKER**

CRD# 6768021

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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](http://brokercheck.finra.org)



For additional information about the contents of this report, please refer to the User Guidance or [www.finra.org/brokercheck](http://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](http://www.finra.org).

**ROBERT V. WHITAKER**

CRD# 6768021

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

**IA NFSG CORPORATION**  
 3251 WEDGEWOOD LANE  
 THE VILLAGES, FL 32162  
 CRD# 130814  
 Registered with this firm since: 09/28/2023

**B NEWBRIDGE SECURITIES CORPORATION**  
 3251 WEDGEWOOD LANE  
 THE VILLAGES, FL 32162  
 CRD# 104065  
 Registered with this firm since: 06/19/2022

**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):**

No information reported.

**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
Financial	1
Judgment/Lien	3



## 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	06/21/2022
B	Nasdaq Stock Market	General Securities Representative	Approved	06/19/2022

	U.S. State/ Territory	Category	Status	Date
B	Florida	Agent	Approved	07/05/2022
B	Georgia	Agent	Approved	03/06/2024
B	Indiana	Agent	Approved	03/07/2025
B	New York	Agent	Approved	05/22/2025
B	North Carolina	Agent	Approved	01/13/2025
B	Virginia	Agent	Approved	02/04/2025

### Branch Office Locations

**NEWBRIDGE SECURITIES CORPORATION**  
3251 WEDGEWOOD LANE  
THE VILLAGES, FL 32162



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	Florida	Investment Adviser Representative	Approved	09/28/2023

Branch Office Locations

1200 NORTH FEDERAL HIGHWAY  
SUITE 400  
BOCA RATON, FL 33432

3251 WEDGEWOOD LANE  
THE VILLAGES, FL 32162



## 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>B</b> General Securities Representative Examination	Series 7TO	06/18/2022
<b>B</b> Securities Industry Essentials Examination	SIE	08/24/2020

### State Securities Law Exams

Exam	Category	Date
<b>B IA</b> Uniform Combined State Law Examination	Series 66	09/09/2023

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/](http://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
No information reported.			

### 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
03/2017 - Present	NEWBRIDGE SECURITIES CORPORATION	Independent Insurance Sales	Y	THE VILLAGES, FL, United States
12/2016 - 03/2017	Unemployed	Moved to Florida. I had to release my residence insurance license in Kentucky in order to activate my Florida Residence insurance License.	N	Louisville, KY, United States
08/2012 - 12/2016	Independent Insurance Agent	Independent Insurance Agent	Y	Louisville, KY, United States
11/2012 - 11/2016	Macys	Sales/ Men's Suits	N	Louisville, KY, 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) MICHAEL WHITAKER AND ASSOCIATES (DBA): 3251 WEDGEWOOD LANE, THE VILLAGES, FLORIDA; 5/2022; REGISTERED REPRESENTATIVE/LICENSED INSURANCE AGENT; INVESTMENT RELATED; TME SPENT ON THIS ACTIVITY DURING REGULAR BUSINESS HOURS IS 100%.

(2) INSURANCE: 3251 WEDGEWOOD LANE, THE VILLAGES, FLORIDA; 2/2017; INSURANCE AGENT; PROVIDING INSURANCE SALES FOR LIFE, HEALTH AND FIXED ANNUITIES, RECOMMEND INSURANCE PRODUCTS THAT FIT THEIR NEEDS, INVESTMENT RELATED, TIME SPENT ON THIS ACTIVITY DURING REGULAR BUSINESS HOURS IS 100%.



## Registration and Employment History



### Other Business Activities, continued

(3) WHITAKER WEALTH FINANCIAL SERVICES LLC: (DBA): 3251 WEDGEWOOD LANE, THE VILLAGES, FLORIDA, 9/2020; PRESIDENT; INSURANCE SALES; INVESTMENT RELATED; TIME SPENT ON THIS ACTIVITY DURING REGULAR BUSINESS HOURS IS 100%.

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## 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
Financial	0	1	N/A
Judgment/Lien	3	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

<b>Reporting Source:</b>	Broker
<b>Formal Charges were brought in:</b>	CIRCUIT COURT OF BREVARD COUNTY
<b>Name of Court:</b>	CIRCUIT COURT OF BREVARD COUNTY
<b>Location of Court:</b>	BREVARD COUNTY, FLORIDA
<b>Docket/Case #:</b>	85-2521-CFA
<b>Charge Date:</b>	06/04/1985
<b>Charge(s) 1 of 1</b>	
<b>Formal Charge(s)/Description:</b>	POSSESSION OF A WEAPON - SHORT BARREL SHOTGUN
<b>No of Counts:</b>	1
<b>Felony or Misdemeanor:</b>	Felony
<b>Plea for each charge:</b>	NOT GUILTY
<b>Disposition of charge:</b>	Reduced
<b>Date of Amended Charge:</b>	07/24/1985
<b>Charge was Amended or reduced to:</b>	REDUCED TO ATTEMPTED POSSESSION OF A SHORT BARRELED SHOTGUN CONTRARY TO SECTIONS 790.221 AND 777.04(1) ON 777.04(4)(D) FLORIDA STATUTES
<b>Amended No of Counts:</b>	1



<b>Amended Charge:</b>	Misdemeanor
<b>Amended Plea:</b>	ENTERED A PLEA OF NOLO CONTENDERE
<b>Disposition of Amended Charge:</b>	SELF-PROBATION FOR A PERIOD OF 12 MONTHS
<b>Current Status:</b>	Final
<b>Status Date:</b>	07/24/1986
<b>Disposition Date:</b>	07/24/1986
<b>Sentence/Penalty:</b>	JUDGMENT OF GUILT AND PLACED ON SELF PROBATION FOR 12 MONTHS, PROBATION SATISFED ON 7/24/1986, ADJUDICATION WAS WITHHELD, PAID \$20.00 TO VICTIMS CRIME COMPENSATION TRUST FUND, \$2.00 COURT COST SECTION 943.25 F.S. AND \$50.00 MANDATORY FINE FOR COURT COSTS.



## Financial - Final

This type of disclosure event involves a 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

<b>Reporting Source:</b>	Broker
<b>Action Type:</b>	Compromise
<b>Action Date:</b>	10/29/2021
<b>Organization Investment-Related?</b>	
<b>Type of Court:</b>	Circuit Court Broward County Florida
<b>Name of Court:</b>	Circuit Court of the Seventeenth Judicial Circuit in and for Broward County, Florida
<b>Location of Court:</b>	Broward County,Florida
<b>Docket/Case #:</b>	CACE09061437 (05)
<b>Action Pending?</b>	No
<b>Disposition:</b>	Satisfied/Released
<b>Disposition Date:</b>	10/29/2021
<b>If a compromise with creditor, provide:</b>	
<b>Name of Creditor:</b>	Helene Gumora
<b>Original Amount Owed:</b>	\$41,480.00
<b>Terms Reached with Creditor:</b>	Paid \$9,054 thru garnishments prior to settlement. Paid \$28,000 as full and final settlement and satisfaction of the Judgement entered 01/01/2010.
<b>Broker Statement</b>	I am trying to pay off all creditors.



## Judgment / Lien

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

### Disclosure 1 of 3

<b>Reporting Source:</b>	Broker
<b>Judgment/Lien Holder:</b>	INTERNAL REVENUE SERVICE
<b>Judgment/Lien Amount:</b>	\$8,036.00
<b>Judgment/Lien Type:</b>	Tax
<b>Date Filed with Court:</b>	10/25/2018
<b>Date Individual Learned:</b>	10/30/2018
<b>Type of Court:</b>	LAKE CITY CIRCUIT COURT
<b>Name of Court:</b>	LAKE CITY CIRCUIT COURT
<b>Location of Court:</b>	LAKE CITY, FLORIDA
<b>Docket/Case #:</b>	2018125494
<b>Judgment/Lien Outstanding?</b>	Yes
<b>Broker Statement</b>	I am working on paying off this amount.

### Disclosure 2 of 3

<b>Reporting Source:</b>	Broker
<b>Judgment/Lien Holder:</b>	TWG CAPITAL INC
<b>Judgment/Lien Amount:</b>	\$70,879.00
<b>Judgment/Lien Type:</b>	Civil
<b>Date Filed with Court:</b>	05/09/2011
<b>Date Individual Learned:</b>	05/30/2011
<b>Type of Court:</b>	MARION COUNTY SUPERIOR COURT
<b>Name of Court:</b>	MARION COUNTY SUPERIOR COURT
<b>Location of Court:</b>	MARION COUNTY, INDIANA
<b>Docket/Case #:</b>	49D071001PL001120
<b>Judgment/Lien Outstanding?</b>	Yes
<b>Broker Statement</b>	This was a business loan



**Disclosure 3 of 3**

<b>Reporting Source:</b>	Broker
<b>Judgment/Lien Holder:</b>	Amex
<b>Judgment/Lien Amount:</b>	\$48,857.00
<b>Judgment/Lien Type:</b>	Civil
<b>Date Filed with Court:</b>	10/22/2009
<b>Date Individual Learned:</b>	01/28/2010
<b>Type of Court:</b>	Circuit Court
<b>Name of Court:</b>	Circuit court
<b>Location of Court:</b>	Broward County, Florida
<b>Judgment/Lien Outstanding?</b>	Yes
<b>Broker Statement</b>	Business related expenses

## End of Report



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