IAPD Report

JOHN E SWEGLES III

CRD# 1034058

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IAPD Information About Representatives

IAPD offers information on all current-and many former representatives. Investors are strongly encouraged to use IAPD to check the background of representatives before deciding to conduct, or continue to conduct, business with them.

What is included in a IAPD report?

IAPD reports for individual representatives include information such as employment history, professional qualifications, disciplinary actions, criminal convictions, civil judgments and arbitration awards.

It is important to note that the information contained in an IAPD 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 representative, or concluded through a negotiated settlement with no admission or finding of wrongdoing.

Where did this information come from?

The information contained in IAPD comes from the Investment Adviser Registration Depository (IARD) and FINRA's Central Registration Depository, or CRD, (see more on CRD below) and is a combination of:

- information the states require representatives and firms to submit as part of the registration and licensing process, and
- information that state regulators report regarding disciplinary actions or allegations against representatives.

How current is this information?

Generally, representatives are required to update their professional and disciplinary information in IARD within 30 days.

Need help interpreting this report?

For help understanding how to read this report, please consult NASAA's IAPD Tips page http://www.nasaa.org/IAPD/IARReports.cfm

What if I want to check the background of an Individual Broker or Brokerage Firm?

To check the background of an Individual Broker or Brokerage firm, you can search for the firm or individual in IAPD. If your search is successful, click on the link provided to view the available licensing and registration information in FINRA's BrokerCheck website.

Are there other resources I can use to check the background of investment professionals?

It is recommended that you learn as much as possible about an individual representative or Investment Adviser firm before deciding to work with them. Your state securities regulator can help you research individuals and certain firms doing business in your state. The contact information for state securities regulators can be found on the website of the North American Securities Administrators Association http://www.nasaa.org

Report Summary

JOHN E SWEGLES III (CRD# 1034058)

The report summary provides an overview of the representative's professional background and conduct. The information contained in this report has been provided by the representative, investment adviser and/or securities firms, and/or securities regulators as part of the states' investment adviser registration and licensing process. The information contained in this report was last updated by the representative, a previous employing firm, or a securities regulator on **05/18/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
IA	NFSG CORPORATION	CRD# 130814	05/15/2024

QUALIFICATIONS

This representative is currently registered in **0** SRO(s) and **1** jurisdiction(s).

Is this representative currently Inactive or Suspended with any regulator? **No**

Note: Not all jurisdictions require IAR registration or may have an exemption from registration.
Additional information including this individual's qualification examinations and professional designations is available in the Detailed Report.

REGISTRATION HISTORY

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

	FIRM	CRD#	LOCATION	REGISTRATION DATES
B	NEWBRIDGE SECURITIES CORPORATION	104065	BOCA RATON, FL	05/13/2024 - 05/18/2026
IA	WELLS FARGO CLEARING SERVICES, LLC	19616	GROSSE POINTE WOODS, MI	03/01/2016 - 12/13/2023
B	WELLS FARGO CLEARING SERVICES, LLC	19616	GROSSE POINTE WOODS, MI	02/26/2016 - 12/13/2023

For additional registration and employment history details as reported by the individual, refer to the Registration and Employment History section of the Detailed Report.

DISCLOSURE INFORMATION

Disclosure events include certain criminal charges and convictions, formal investigations and disciplinary actions initiated by regulators, customer disputes and arbitrations, and financial disclosures such as bankruptcies and unpaid judgments or liens.

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

The following types of events are disclosed about this representative:

Type	Count
Customer Dispute	2
Termination	1

Qualifications

REGISTRATIONS

This section provides the SRO, states and U.S. territories in which the representative is currently registered and licensed, the category of each registration, and the date on which the registration becomes effective. This section also provides, for each firm with which the representative is currently employed, the address of each location where the representative works.
This individual is currently registered with **1** jurisdiction(s) and **0** SRO(s) through his or her employer(s).

Employment 1 of 1

Firm Name: **NFSG CORPORATION**

Main Address: 1200 NORTH FEDERAL HIGHWAY
SUITE 400
BOCA RATON, FL 33432

Firm ID#: 130814

	Regulator	Registration	Status	Date
IA	Michigan	Investment Adviser Representative	Approved	05/15/2024

Branch Office Locations

NFSG CORPORATION
GROSSE POINTE PARK, MI

Qualifications

PASSED INDUSTRY EXAMS

This section includes all industry exams that the representative has passed. Under limited circumstances, a representative may attain registration after receiving an exam waiver based on a combination of exams the representative has passed and qualifying work experience. Likewise a new exam requirement may be grandfathered based on a representative's specific qualifying work experience. Exam waivers and grandfathering are not included below.

This individual has passed 4 principal/supervisory exams, 5 general industry/product exams, and 2 state securities law exams.

Principal/Supervisory Exams

	Exam	Category	Date
B	General Securities Sales Supervisor - General Module Examination (S10)	Series 10	01/02/2023
B	General Securities Sales Supervisor - Options Module Examination (S9)	Series 9	01/02/2023
B	General Securities Sales Supervisor Examination (Options Module & General Module) (S8)	Series 8	07/25/1994
B	General Securities Principal Examination (S24)	Series 24	04/05/1994

General Industry/Product Exams

	Exam	Category	Date
B	Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
B	Futures Managed Funds Examination (S31)	Series 31	06/12/2009
B	General Securities Representative Examination (S7)	Series 7	09/17/1983
B	Direct Participation Programs Representative Examination (S22)	Series 22	03/17/1983
B	Investment Company Products/Variable Contracts Representative Examination (S6)	Series 6	03/10/1982

State Securities Law Exams

	Exam	Category	Date
IA	Uniform Investment Adviser Law Examination (S65)	Series 65	07/30/1993
B	Uniform Securities Agent State Law Examination (S63)	Series 63	03/15/1982

PROFESSIONAL DESIGNATIONS

This section details that the representative has reported **0** professional designation(s).

No information reported.

Only professional designations listed in Question 8 of the Form U4 will appear in this section if the appropriate box is checked and verified by the issuing organization at the time of the filing. Learn more about eligible designations at IARD and NASAA.

Registration & Employment History

PREVIOUSLY REGISTERED WITH THE FOLLOWING FIRMS

This representative held registrations with the following firms:

	Registration Dates	Firm Name	ID#	Branch Location
B	05/13/2024 - 05/18/2026	NEWBRIDGE SECURITIES CORPORATION	CRD# 104065	BOCA RATON, FL
IA	03/01/2016 - 12/13/2023	WELLS FARGO CLEARING SERVICES, LLC	CRD# 19616	GROSSE POINTE WOOI MI
B	02/26/2016 - 12/13/2023	WELLS FARGO CLEARING SERVICES, LLC	CRD# 19616	GROSSE POINTE WOOI MI
B	06/01/2009 - 03/11/2016	MORGAN STANLEY	CRD# 149777	GROSSE POINTE FARM
IA	06/01/2009 - 03/11/2016	MORGAN STANLEY	CRD# 149777	GROSSE POINTE FARM
IA	03/05/2008 - 06/01/2009	MORGAN STANLEY & CO. INCORPORATED	CRD# 8209	GROSSE POINTE FARM
B	02/22/2008 - 06/01/2009	MORGAN STANLEY & CO. INCORPORATED	CRD# 8209	GROSSE POINTE FARM
B	08/10/2001 - 03/03/2008	UBS FINANCIAL SERVICES INC.	CRD# 8174	GROSSE POINTE FARM
B	06/17/1998 - 09/06/2001	RAYMOND JAMES & ASSOCIATES, INC.	CRD# 705	ST. PETERSBURG, FL
B	05/11/1998 - 09/25/1999	RONEY & CO.	CRD# 45091	DETROIT, MI
B	05/26/1987 - 05/11/1998	RONEY & CO. L.L.C.	CRD# 900	DETROIT, MI
B	07/19/1984 - 05/21/1987	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	CRD# 7691	
B	08/16/1983 - 07/19/1984	E. F. HUTTON & COMPANY INC	CRD# 235	
B	03/16/1982 - 08/12/1983	IDS LIFE INSURANCE COMPANY	CRD# 6321	
B	03/16/1982 - 08/12/1983	IDS MARKETING CORPORATION	CRD# 6363	
B	03/16/1982 - 08/12/1983	INVESTORS DIVERSIFIED SERVICES, INC.	CRD# 6320	

Registration & Employment History

EMPLOYMENT HISTORY

Below is the representative's employment history for up to the last 10 years.

Employment Dates	Employer Name	Position	Investment Related	Employer Location
05/2024 - Present	NEWBRIDGE FINANCIAL SERVICES GROUP, INC	INVESTMENT ADVISOR	Y	BOCA RATON, FL, United States
05/2024 - Present	NEWBRIDGE SECURITIES CORPORATION	REGISTERED REPRESENTATIVE	Y	BOCA RATON, FL, United States
11/2023 - 05/2024	UNEMPLOYED	UNEMPLOYED	N	GROSSE POINTE PARK, MI, United States
11/2016 - 11/2023	WELLS FARGO CLEARING SERVICES, LLC	Registered Rep	Y	Grosse Pointe Woods, MI, United States
02/2016 - 11/2016	Wells Fargo Advisors, LLC	Registered Rep	Y	Grosse Pointe Woods, MI, United States

OTHER BUSINESS ACTIVITIES

This section includes information, if any, as provided by the representative regarding other business activities the representative 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) JOHN SWEGLES INSURANCE - 01/1982 - MICHAGAN - ONGOING

Disclosure Summary

Disclosure Information

What you should know about reported disclosure events:

(1) Certain thresholds must be met before an event is reported to IARD, for example:

- A law enforcement agency must file formal charges before an Investment Adviser Representative is required to report a particular criminal event.;
- A customer dispute must involve allegations that an Investment Adviser Representative engaged in activity that violates certain rules or conduct governing the industry and that the activity resulted in damages of at least $5,000.

(2) Disclosure events in IAPD reports come from different sources:

As mentioned in the "About IAPD" section on page 1 of this report, information contained in IAPD comes from Investment Adviser Representatives, 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 IAPD report. The different versions will be separated by a solid line with the reporting source labeled.

(3) There are different statuses and dispositions for disclosure events:

- A disclosure event may have a status of *pending, on appeal,* or *final*.
  - A "pending" disclosure event involves allegations that have not been proven or formally adjudicated.
  - A disclosure event that is "on appeal" involves allegations that have been adjudicated but are currently being appealed.
  - A "final" disclosure event has been concluded and its resolution is not subject to change.
- A final disclosure 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 represents a disposition wherein the parties involved in a dispute reach an agreement to resolve the matter. Please note that Investment Adviser Representatives and firms may choose to settle customer disputes or regulatory matters for business or other reasons.
  - A "resolved" matter usually includes a disposition wherein no payment is made to the customer or there is no finding of wrongdoing on the part of the Investment Adviser Representative. Such matters generally involve customer disputes.

(4) You may wish to contact the Investment Adviser Representatives to obtain further information regarding any of the disclosure events contained in this IAPD report.

DISCLOSURE EVENT DETAILS

When evaluating this information, please keep in mind that some items may involve pending actions or allegations that may be contested and have not been resolved or proven. The event may, in the end, be withdrawn, dismissed, resolved in favor of the Investment Adviser Representative, or concluded through a negotiated settlement with no admission or finding of wrongdoing.

This report provides the information exactly as it was reported to the Investment Adviser Registration Depository. Some of the specific data fields contained in the report may be blank if the information was not provided.

The following types of events are disclosed about this representative:

Type	Count
Customer Dispute	2
Termination	1

Customer Dispute

This section provides information regarding a customer dispute that was reported to the Investment Adviser Registration Depository (IARD) by the Investment Adviser Representative (IAR), an investment adviser and/or securities firm, and/or a securities regulator. The event may include a consumer-initiated, investment-related complaint, arbitration proceeding or civil suit that contains allegations of sales practice violations against the individual.

The customer dispute may be pending or may have resulted in a civil judgment, arbitration award, monetary settlement, closure without action, withdrawal, dismissal, denial, or other outcome.

Disclosure 1 of 2

Reporting Source:	Regulator
Employing firm when activities occurred which led to the complaint:	UBS FINANCIAL SERVICES, INC.
Allegations:	ACCOUNT RELATED ERRORS AND CHARGES, NEGLIGENCE, FAILURE TO EXECUTE, AND UNAUTHORIZED TRADING, TRANSFER, AND SELL OUTS
Product Type:	Mutual Fund
Alleged Damages:	$6,000.00

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.:	FINRA - CASE #11-02312
Date Notice/Process Served:	06/06/2011
Arbitration Pending?	No
Disposition:	Award
Disposition Date:	11/15/2011
Disposition Detail:	SWEGLES IS LIABLE FOR AND SHALL PAY TO CLAIMANT COMPENSATORY DAMAGES IN THE AMOUNT OF $2,000.00.

Reporting Source:	Firm

Employing firm when activities occurred which led to the complaint:	UBS FINANCIAL SERVICES INC.
Allegations:	CLAIMANT ALLEGES THAT IN 2008, FA ENGAGED IN UNAUTHORIZED MUTUAL FUND TRANSACTION.
Product Type:	Mutual Fund
Alleged Damages:	$6,000.00
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:	09/24/2008
Complaint Pending?	No
Status:	Evolved into Arbitration/CFTC reparation (the individual is a named party)
Status Date:	11/06/2008
Settlement Amount:	$0.00
Individual Contribution Amount:	$0.00

Arbitration Information

Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.):	FINRA
Docket/Case #:	11-02312
Date Notice/Process Served:	06/17/2011
Arbitration Pending?	No
Disposition:	Award to Customer
Disposition Date:	11/15/2011
Monetary Compensation Amount:	$2,000.00
Individual Contribution Amount:	$0.00

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	UBS FINANCIAL SERVICES INC.
Allegations:	CLAIMANT ALLEGES THAT IN 2008, FA ENGAGED IN UNAUTHORIZED MUTUAL FUND TRANSACTION.
Product Type:	Mutual Fund
Alleged Damages:	$6,000.00

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 #:	11-02312
Filing date of arbitration/CFTC reparation or civil litigation:	06/17/2011

Customer Complaint Information

Date Complaint Received:	09/24/2008
Complaint Pending?	No
Status:	Closed/No Action
Status Date:	06/17/2011
Settlement Amount:	
Individual Contribution Amount:	

Arbitration Information

Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.):	FINRA
Docket/Case #:	11/02312
Date Notice/Process Served:	06/17/2011
Arbitration Pending?	No
Disposition:	Award to Customer
Disposition Date:	11/15/2011
Monetary Compensation Amount:	$2,000.00
Individual Contribution Amount:	$2,000.00
Broker Statement	PER THE FA, "CLIENT INVESTED $5,000 TO PURCHASE ING PRINCIPAL PROTECTION FUND IN JANUARY 2003. ON JANUARY 25, 2008 THE CLIENT PLACED AN ORDER TO SELL THIS FUND. THE ORDER WAS ENTERED AND THE TRANSACTION OCCURRED ON JANUARY 29, 2008, THE FIRST DATE HIS FUND COULD BE SOLD DUE TO BEING IN CONVERSION AT THE FUND COMPANY FOR THE 5 YEAR CONVERSION PER PROSPECTUS. THIS TIME DIFFERENCE OF 4 DAYS CREATED A GAIN OF $69.87 FOR THE CLIENT. CLIENT THEN AUTHORIZED THE PROCEEDS TO BE DEPOSITED TO THE IVY GLOBAL NATURAL RESOURCES FUND. CLIENT OBJECTS TO $224.60 ACCUMULATED FEES FOR THE FIVE YEAR PERIOD, WHICH WERE DISCLOSED IN HIS ACCOUNT OPENING APPLICATION, AND POSTED TO FOR 5 YEARS OF STATEMENTS. THESE ARE FIRM FEES AND NOT CREDITED IN ANY WAY TO THE FINANCIAL ADVISOR."

Disclosure 2 of 2

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	RAYMOND JAMES & ASSOCIATES, INC.
Allegations:	FAILURE TO FOLLOW INSTRUCTIONS; CLIENT ALLEGES HE TOLD THE FA TO DO A SWITCH IN HIS SISTER & MOTHER'S ACCOUNT & IT WAS ONLY DONE FOR THE MOTHER. EVENTS OCCURRED JANUARY 2000.
Product Type:	Mutual Fund(s)
Alleged Damages:	$5,000.00

Customer Complaint Information

Date Complaint Received:	08/14/2000
Complaint Pending?	No
Status:	Denied
Status Date:	10/15/2000
Settlement Amount:	
Individual Contribution Amount:	
Broker Statement	CLIENT ALLEGED HE INSTRUCTED FA TO TRANSFER MUTUAL FUND IN SISTER'S ACCOUNT. HE WAS NOT A REGISTERED OWNER OF RECORD AND HAD NO AUTHORITY OVER THIS ACCOUNT. SISTER WOULD OFTEN INSTRUCT US "I AM NOT AS AGGRESSIVE AS MY BROTHER" SO DON'T EXPECT ME TO DO WHAT HE DOES.

Termination

This disclosure event involves a situation where the Investment Adviser Representative voluntarily resigned, was discharged or was permitted to resign after allegations were made that accused the Investment Adviser Representative of violating investment-related statutes, regulations, rules or industry standards of conduct; fraud or the wrongful taking of property; or failure to supervise in connection with investment-related statutes, regulations, rules or industry standards of conduct.

Disclosure 1 of 1

Reporting Source:	Firm
Firm Name:	WELLS FARGO CLEARING SERVICES, LLC.
Termination Type:	Discharged
Termination Date:	11/15/2023
Allegations:	Financial Advisor discharged after allegations he solicited the surrender of variable annuity products without sufficient or accurate documentation of a rationale or client understanding as to why the transaction was in the clients best interest.
Product Type:	Annuity-Variable

Reporting Source:	Individual
Firm Name:	WELLS FARGO CLEARING SERVICES, LLC.
Termination Type:	Discharged
Termination Date:	11/15/2023
Allegations:	Financial Advisor discharged after allegations he solicited the surrender of variable annuity products without sufficient or accurate documentation of a rationale or client understanding as to why the transaction was in the client's best interest.
Product Type:	Annuity-Variable
Broker Statement	My client of 30 years needed cash for a pending HOA assessment. Based on the liquid assets he had available, he decided to liquidate his Forethought annuity which was out of the surrender period. In addition to a partial tax write off, the funds were deposited into a money market account with a favorable interest rate, I received no commissions or fees for servicing my client's needs.

End of Report

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