



IAPD Report

JOHN JOSEPH HANLON IV

CRD# 1092690

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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.



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 JOSEPH HANLON IV (CRD# 1092690)

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 **05/12/2025**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
IA	VESTGEN INVESTMENT MANAGEMENT	CRD# 118851	03/21/2003
IA	VESTGEN ADVISORS, LLC	CRD# 318657	12/06/2024
B	PRIVATE CLIENT SERVICES, LLC	CRD# 120222	01/02/2025

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **7** 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	PURSHE KAPLAN STERLING INVESTMENTS	35747	EGG HARBOR TWP., NJ	05/05/2003 - 12/31/2024
IA	VESTBRIDGE ADVISORS, INC	318978	EGG HARBOR TOWNSHIP, NJ	09/06/2022 - 11/23/2024
IA	SENTRA SECURITIES CORP	10249	NORTHFIELD, NJ	03/25/2003 - 05/06/2003

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	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 7 jurisdiction(s) and 1 SRO(s) through his or her employer(s).

Employment 1 of 3

Firm Name: **VESTGEN ADVISORS, LLC**
Main Address: 1605 WEST COLONIAL PARKWAY
INVERNESS, IL 60067
Firm ID#: 318657

	Regulator	Registration	Status	Date
IA	Florida	Investment Adviser Representative	Approved	03/27/2025
IA	New Jersey	Investment Adviser Representative	Approved	12/06/2024
IA	Pennsylvania	Investment Adviser Representative	Approved	12/12/2024

Branch Office Locations

VESTGEN ADVISORS, LLC
3393 Bargaintown Road
Egg Harborn Township, NJ 08234

Employment 2 of 3

Firm Name: **PRIVATE CLIENT SERVICES, LLC**
Main Address: 2225 LEXINGTON ROAD
LOUISVILLE, KY 40206
Firm ID#: 120222

	Regulator	Registration	Status	Date
B	FINRA	General Securities Principal	Approved	01/02/2025
B	FINRA	General Securities Representative	Approved	01/02/2025
B	FINRA	Operations Professional	Approved	01/02/2025
B	California	Agent	Approved	01/02/2025



Qualifications

	Regulator	Registration	Status	Date
B	Florida	Agent	Approved	01/02/2025
B	New Jersey	Agent	Approved	01/02/2025
B	New York	Agent	Approved	01/02/2025
B	North Carolina	Agent	Approved	01/02/2025
B	Pennsylvania	Agent	Approved	01/02/2025
B	South Carolina	Agent	Approved	01/08/2025

Branch Office Locations

PRIVATE CLIENT SERVICES, LLC
North Palm Beach, FL

PRIVATE CLIENT SERVICES, LLC
3393 Bargaintown Rd
Egg Harbor Township, NJ 08234

Employment 3 of 3

Firm Name: **VESTGEN INVESTMENT MANAGEMENT**
Main Address: 3393 BARGAINTOWN ROAD
EGG HARBOR TWP., NJ 08234
Firm ID#: 118851

	Regulator	Registration	Status	Date
IA	New Jersey	Investment Adviser Representative	Approved	03/21/2003
IA	Pennsylvania	Investment Adviser Representative	Approved	01/15/2021

Branch Office Locations

VESTGEN INVESTMENT MANAGEMENT
3393 BARGAINTOWN ROAD
EGG HARBOR TWP, NJ 08234




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 1 principal/supervisory exam, 4 general industry/product exams, and 1 state securities law exam.


Principal/Supervisory Exams

Exam	Category	Date
 General Securities Principal Examination (S24)	Series 24	07/03/1995

General Industry/Product Exams

Exam	Category	Date
 Operations Professional Examination (S99TO)	Series 99TO	01/02/2023
 Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
 Interest Rate Options Examination (S5)	Series 5	03/02/1983
 General Securities Representative Examination (S7)	Series 7	01/15/1983

State Securities Law Exams

Exam	Category	Date
 Uniform Securities Agent State Law Examination (S63)	Series 63	01/31/1983

PROFESSIONAL DESIGNATIONS

This section details that the representative has reported 1 professional designation(s).

Certified Financial Planner

This representative holds or did hold 1 professional designation(s) that may have been used to qualify as an Investment Advisor representative. Please check with the appropriate designation authority for verification that the designation is still in effect. The contact information for these professional designation authorities can be found on the website for the North American Securities Administrators Association at <http://www.nasaa.org>



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	05/05/2003 - 12/31/2024	PURSHE KAPLAN STERLING INVESTMENTS	CRD# 35747	EGG HARBOR TWP., NJ
IA	09/06/2022 - 11/23/2024	VESTBRIDGE ADVISORS, INC	CRD# 318978	EGG HARBOR TOWNSHIP, NJ
IA	03/25/2003 - 05/06/2003	SENTRA SECURITIES CORP	CRD# 10249	NORTHFIELD, NJ
B	03/18/2003 - 05/06/2003	SENTRA SECURITIES CORPORATION	CRD# 10249	PHOENIX, AZ
IA	07/19/2002 - 03/14/2003	SENTRA SECURITIES CORP	CRD# 10249	NORTHFIELD, NJ
B	10/20/1994 - 03/14/2003	SENTRA SECURITIES CORPORATION	CRD# 10249	PHOENIX, AZ
B	07/13/1994 - 11/01/1994	FORESTERS EQUITY SERVICES, INC.	CRD# 18464	SAN DIEGO, CA
B	03/16/1992 - 10/16/1992	BARRON CHASE SECURITIES, INC.	CRD# 18969	BOCA RATON, FL
B	12/09/1985 - 04/02/1992	PAINWEBBER INCORPORATED	CRD# 8174	WEEHAWKEN, NJ
B	01/19/1983 - 12/18/1985	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	CRD# 7691	

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
01/2025 - Present	Private Client Services	Registered Rep	Y	Egg Harbor Township, NJ, United States
12/2024 - Present	VestGen Advisors, LLC	Wealth Advisor	Y	Ch, IL, United States
03/2000 - Present	VestGen Investment Management	CIO	Y	EGG HARBOR TWP, NJ, United States
05/2003 - 12/2024	PURSHE KAPLAN STERLING INVESTMENTS	REGISTERED REPRESENTATIVE	Y	ALBANY, NY, United States



Registration & Employment History



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) Hanlon Mutual Funds. 3393 Bargaintown Road, Egg Harbor Twp., N.J. 08234. Portfolio Manager to Mutual Funds. Portfolio Mgr - Manage staff and participate in investment decisions for account funds. 5 hrs/mo; 5 during trading hrs. Investment related.
- 2) VestGen Advisor, LLC. 1605 West Colonial Parkway, Inverness IL 60067. RIA. 20 hrs/mo; 20 during trading hrs.
- 3) VestGen Investment Management, LLC. 1605 West Colonial Parkway, Inverness IL 60067. 20 hrs/mo; 20 during trading hrs.
- 4) JESC Holdings. 3393 Bargaintown Road, Egg Harbor Twp., N.J. 08234. Property Rental Management Co. Managing Partner. 5 hrs/mo; 1 during trading hrs. Not investment related.
- 5) Serenity Properties Management, L.P. 3393 Bargaintown Road, Egg Harbor Twp., N.J. 08234. Condo Development Project where General Contractor oversees 100% of the construction. Investor overseeing project and activities. 6 hrs/mo; 0 during trading hrs. Not investment related.
- 6) Stevens Institute of Technology. 1 Castle Point Terrace, Hoboken, NJ 07030. Private University in Hoboken, NJ. Chairman of the Advisory Board to the Financial Systems Center. 8 hrs/mo; 1 during trading hrs. Investment related.
- 7) The Sean and Cathy Hanlon Foundation, Inc. 3393 Bargaintown Road, Egg Harbor Twp., N.J. 08234. Charitable Foundation. Trustee over family charitable foundation. 1 hr/mo; 0 during trading hrs. Investment related.
- 8) VestGen Wealth Partners Holdings, LLC. 213 W Union Ave., Wheaton IL 60187. Financial Services Holding Company. Limited Partner, Principal and Founding Member. Investment related.



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	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 1

Reporting Source: Regulator

Employing firm when activities occurred which led to the complaint:

Allegations: ACCOUNT RELATED-NEGLIGENCE;
EXECUTIONS-FAILURE TO EXECUTE; CHURNING; MISREPRESENTATION

Product Type:

Alleged Damages: \$23,785.26

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: [NASD - CASE #90-01829](#)

Date Notice/Process Served: 07/05/1990

Arbitration Pending? No

Disposition: Other

Disposition Date: 04/05/1991

Disposition Detail: AWARD AGAINST PARTY
ACTUAL/COMPENSATORY DAMAGES, RELIEF HAS
BEEN AWARDED (PARTIAL OR FULL), AWARD AMOUNT \$23,785.26 JOINTLY
AND SEVERALL

Reporting Source: Individual



Employing firm when activities occurred which led to the complaint:

PAINE WEBBER

Allegations:

PAINE WEBBER AND KRUPP INSURED REAL ESTATE PARTNERS MISREPRESENTED TO MR. HANLON THE LIQUIDITY OF AN INVESTMENT THAT MR. HANLON RECOMMENDED TO MR. [CUSTOMER], WHO WAS A SOPHISTICATED, WEALTHY REAL ESTATE DEVELOPER. WHEN MR. [CUSTOMER] REQUESTED TO LIQUIDATE THE INVESTMENT, PAINE WEBBER AND KRUPP COULD NOT MEET HIS REQUEST AND THEN MR. [CUSTOMER] ACCUSED PAINE WEBBER AND MR. HANLON OF MISREPRESENTATION, FAILURE TO EXECUTE, AS WELL AS CLAIMS OF CHURNING IN A FEW COMMON STOCKS.

Product Type:

Direct Investment(s) - DPP & LP Interest(s)

Other Product Type(s):

COMMON STOCKS

Alleged Damages:

\$23,785.26

Customer Complaint Information

Date Complaint Received:

08/18/1989

Complaint Pending?

No

Status:

Arbitration/Reparation

Status Date:

04/04/1991

Settlement Amount:

Individual Contribution Amount:

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.:

[NATIONAL ASSOCIATION OF SECURITIES DEALERS, INC.; 90-01829](#)

Date Notice/Process Served:

07/05/1990

Arbitration Pending?

No

Disposition:

Award to Customer

Disposition Date:

04/05/1991

Monetary Compensation Amount:

\$23,785.26

Individual Contribution Amount:



End of Report

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