



## IAPD Report

# JOHN JOSEPH BARTOLETTA

CRD# 1661930

<b><u>Section Title</u></b>	<b><u>Page(s)</u></b>
Report Summary	1
Qualifications	2 - 3
Registration and Employment History	4
Disclosure Information	5

**i** 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 BARTOLETTA (CRD# 1661930)

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 **01/28/2022**.

### CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
IA	HIGHSTREET FINANCIAL, LLC	CRD# 107132	02/25/1997

### QUALIFICATIONS

This representative is currently registered in **0** SRO(s) and **2** 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
No information reported.			

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
Regulatory Event	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 **2** jurisdiction(s) and **0** SRO(s) through his or her employer(s).

#### Employment 1 of 1

Firm Name: **HIGHSTREET FINANCIAL, LLC**  
Main Address: 12802 TAMPA OAKS BLVD, STE 405  
TAMPA, FL 33637  
Firm ID#: 107132

	Regulator	Registration	Status	Date
	Florida	Investment Adviser Representative	Approved	02/25/1997
	Texas	Investment Adviser Representative	Restricted Approval	09/16/2020

#### Branch Office Locations

**HIGHSTREET FINANCIAL, LLC**  
12802 TAMPA OAKS BLVD  
SUITE 405  
TAMPA, FL 33637



## 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.

No information reported.

### PROFESSIONAL DESIGNATIONS

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

No information reported.



## Registration & Employment History

### PREVIOUSLY REGISTERED WITH THE FOLLOWING FIRMS

This representative held registrations with the following firms:

No information reported.

### 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
09/1996 - Present	HIGH STREET FINANCIAL, LLC	CEO/MANAGING MEMBER/CHIEF COMPLIANCE OFFICER	Y	TAMPA, FL, 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.

MANAGING MEMBER OF HIGH STREET GROUP, LLC, AT 12802 TAMPA OAKS BLVD, #405, TAMPA, FL 33637. FORMED IN 1997, IT IS THE HOLDING COMPANY FOR HIGH STREET FINANCIAL, LLC AND HIGH STREET NETWORK, LLC AND THUS CONSIDERED INVESTMENT RELATED. NO TIME IS SPENT ON THE MANAGING OF THIS COMPANY.

FOUNDER AND CEO OF UNATION, INC., LOCATED AT 12802 TAMPA OAKS BLVD, #405, TAMPA, FL 33637. IT IS A NON-INVESTMENT RELATED COMPANY FORMED IN 2010 AND IS A MOBILE APP AND DESKTOP SOCIAL ENGAGEMENT ENGINE THAT ALLOW A BUSINESS/BRAND OR AN INDIVIDUAL TO CREATE MEANINGFUL AND RELEVANT EVENTS. APPROXIMATELY 60 HOURS PER MONTH (OF WHICH 1 HOUR PER DAY DURING TRADING HOURS) IS SPENT DOING BUSINESS DEVELOPMENT FOR THIS VENTURE.

MANAGING MEMBER OF MARQUESAS CAPITAL PARTNERS, LLC AT 12802 TAMPA OAKS BLVD, #405, TAMPA, FL 33637. IT IS A NON-INVESTMENT RELATED HOLDING COMPANY FOR UNATION, INC., FOUNDED IN 2010. NO TIME IS SPENT ON THE MANAGING OF THIS COMPANY.

OWNER/PRESIDENT OF PHIPSON, LTD. AT 12802 TAMPA OAKS BLVD, #405, TAMPA, FL 33637. IT IS A NON-INVESTMENT RELATED HOLDING COMPANY, FOUNDED IN 2014. NO TIME IS SPENT ON THE MANAGING OF THIS COMPANY.

MANAGING MEMBER (THROUGH HIGH STREET GROUP, LLC) OF HIGH STREET NETWORK, LLC AT 12802 TAMPA OAKS BLVD, #405, TAMPA, FL 33637. IT IS AN INVESTMENT RELATED COMPANY RESPONSIBLE FOR MARKETING FOR HIGH STREET FINANCIAL, LLC., FOUNDED IN 2010. APPROXIMATELY 20 HOURS PER MONTH (AND ZERO DURING TRADING HOURS) IS SPENT ON THIS COMPANY.

MANAGING MEMBER (THROUGH HIGH STREET GROUP, LLC) OF HIGH STREET INVESTMENT ADVISORS, LLC AT 12802 TAMPA OAKS BLVD, #405, TAMPA, FL 33637. FOUNDED IN 2012, IT IS CURRENTLY AN INACTIVE COMPANY AND AS SUCH, IS NON-INVESTMENT RELATED AT THIS TIME.



## 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
Regulatory Event	1

### Regulatory Event

This disclosure event may include a final, formal proceeding initiated by a regulatory authority (e.g., a state securities agency, a federal regulator such as the Securities and Exchange Commission or the Commodities Futures Trading Commission, or a foreign financial regulatory body) for a violation of investment-related rules or regulations. This disclosure event may also include a revocation or suspension of an Investment Adviser Representative’s authority to act as an attorney, accountant or federal contractor.

#### Disclosure 1 of 1

<b>Reporting Source:</b>	Regulator
<b>Regulatory Action Initiated By:</b>	Commodity Futures Trading Commission
<b>Sanction(s) Sought:</b>	Other: N/A
<b>Date Initiated:</b>	01/27/2022
<b>Docket/Case Number:</b>	22-10

**Employing firm when activity occurred which led to the regulatory action:** Capital Trading Advisory Group LLC

**Product Type:** Other: commodity pool

**Allegations:** The Commodity Futures Trading Commission (“Commission”) has reason to believe that beginning no later than August 2015 and continuing through at least March 2017 (the “Relevant Period”), Respondent John J. Bartoletta violated Sections 4m(l) and 4k(2) of the Commodity Exchange Act (“Act”), 7 U.S.C. §§ 6m(l) and 6k(2). Therefore, the Commission deems it appropriate and in the public interest that public administrative proceedings be, and hereby are, instituted to determine whether any order should be issued imposing remedial sanctions. The Commission finds that during the Relevant Period, Respondent operated and solicited funds for a commodity pool operated through a now-defunct Florida-registered corporation called the Capital Trading Advisory Group LLC (“CTAG”), referred to herein as the “CTAG pool.” Bartoletta directed trading in the custodial account holding CTAG pool participant funds while not registered as a commodity trading advisor (“CTA”), despite holding himself out as a CTA and furnishing commodity trading advice to more than fifteen CTAG pool participants, in violation of Section 4m(l) of the Act, 7 U.S.C. § 6m(l). Bartoletta also acted as an unregistered Associated Person (“AP”) of CTAG, a formerly registered commodity pool operator (“CPO”) and CTA, by soliciting and collecting funds from prospective



pool participants for the CTAG pool in violation of Section 4k(2) of the Act, 7 U.S.C. § 6k(2).

**Current Status:**

Final

**Resolution:**

Order

**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:**

01/27/2022

**Sanctions Ordered:**

Cease and Desist  
Civil and Administrative Penalty(ies)/Fine(s)  
Undertaking

**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?**

**Monetary Sanction 1 of 1**

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

**Total Amount:** \$280,000.00

**Portion Levied against individual:** \$280,000.00

**Payment Plan:** joint and several

**Is Payment Plan Current:**

**Date Paid by individual:**

**Was any portion of penalty waived?** No

**Amount Waived:**

**Regulator Statement**

In anticipation of the institution of an administrative proceeding, Bartoletta has submitted an Offer of Settlement ("Offer"), which the Commission has determined to accept. Accordingly, it is hereby ordered that Bartoletta shall cease and desist from violating Sections 4m(l) and 4k(2) of the Act, 7 U.S.C. §§ 6m(l) and 6k(2); shall pay, jointly and severally, a Civil Monetary Penalty in the amount of \$280,000; and shall comply with certain conditions and undertakings enumerated in the Offer.



## End of Report

This page is intentionally left blank.