



IAPD Report

MICHAEL LEONARD WHITAKER

CRD# 1739854

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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

MICHAEL LEONARD WHITAKER (CRD# 1739854)

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 **05/27/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	NEWBRIDGE SECURITIES CORPORATION	CRD# 104065	12/01/2009
IA	NFSG CORPORATION	CRD# 130814	03/16/2010

QUALIFICATIONS

This representative is currently registered in **2** SRO(s) and **37** 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	GREAT AMERICAN ADVISORS, INC.	36451	THE VILLAGES, FL	10/31/2007 - 12/10/2009
B	UVEST FINANCIAL SERVICES GROUP, INC.	13787	OCALA, FL	08/25/2006 - 11/06/2007
B	AFS BROKERAGE, INC.	25924	AUSTIN, TX	05/07/2004 - 01/26/2005

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	14



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 **37** jurisdiction(s) and 2 SRO(s) through his or her employer(s).

Employment 1 of 2

Firm Name: **NEWBRIDGE SECURITIES CORPORATION**
Main Address: 1200 NORTH FEDERAL HIGHWAY
SUITE 400
BOCA RATON, FL 33432
Firm ID#: 104065

Regulator	Registration	Status	Date
B FINRA	Invest. Co and Variable Contracts	Approved	12/01/2009
B FINRA	General Securities Representative	Approved	02/02/2010
B Nasdaq Stock Market	General Securities Representative	Approved	09/13/2011
B Alabama	Agent	Approved	06/24/2016
B Arizona	Agent	Approved	08/09/2017
B California	Agent	Approved	10/05/2012
B Colorado	Agent	Approved	04/01/2020
B Connecticut	Agent	Approved	07/24/2017
B Delaware	Agent	Approved	12/07/2018
B District of Columbia	Agent	Approved	02/05/2026
B Florida	Agent	Approved	12/01/2009
B Georgia	Agent	Approved	07/21/2015
B Idaho	Agent	Approved	06/21/2021



Qualifications

Regulator	Registration	Status	Date
B Illinois	Agent	Approved	05/23/2013
B Indiana	Agent	Approved	01/06/2015
B Louisiana	Agent	Approved	04/01/2026
B Maryland	Agent	Approved	09/16/2020
B Massachusetts	Agent	Approved	09/01/2015
B Michigan	Agent	Approved	03/07/2013
B Minnesota	Agent	Approved	09/14/2015
B Mississippi	Agent	Approved	10/07/2022
B Missouri	Agent	Approved	05/28/2020
B Nevada	Agent	Approved	09/04/2018
B New Hampshire	Agent	Approved	06/01/2017
B New Jersey	Agent	Approved	05/17/2010
B New York	Agent	Approved	01/05/2010
B North Carolina	Agent	Approved	03/07/2019
B Ohio	Agent	Approved	01/06/2015
B Oregon	Agent	Approved	06/09/2023
B Pennsylvania	Agent	Approved	01/04/2011
B South Carolina	Agent	Approved	09/12/2014
B Tennessee	Agent	Approved	06/01/2022



Qualifications

Regulator	Registration	Status	Date
B Texas	Agent	Approved	12/23/2013
B Vermont	Agent	Approved	09/28/2021
B Virgin Islands	Agent	Approved	03/31/2015
B Virginia	Agent	Approved	05/03/2013
B Washington	Agent	Approved	03/09/2018
B West Virginia	Agent	Approved	08/07/2017
B Wisconsin	Agent	Approved	01/09/2012
B Wyoming	Agent	Approved	03/19/2015

Branch Office Locations

3251 WEDGEWOOD LANE
THE VILLAGES, FL 32162

Employment 2 of 2

Firm Name: **NFSG CORPORATION**
 Main Address: 1200 NORTH FEDERAL HIGHWAY
 SUITE 400
 BOCA RATON, FL 33432
 Firm ID#: 130814

Regulator	Registration	Status	Date
IA Florida	Investment Adviser Representative	Approved	03/16/2010
IA Texas	Investment Adviser Representative	Approved	01/04/2019

Branch Office Locations

NFSG CORPORATION
3251 WEDGEWOOD LANE
THE VILLAGES, FL 32162



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 0 principal/supervisory exams, 3 general industry/product exams, and 1 state securities law exam.

Principal/Supervisory Exams

Exam	Category	Date
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No information reported.

General Industry/Product Exams

Exam	Category	Date
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Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
General Securities Representative Examination (S7)	Series 7	02/01/2010
Investment Company Products/Variable Contracts Representative Examination (S6)	Series 6	02/11/2003

State Securities Law Exams

Exam	Category	Date
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Uniform Securities Agent State Law Examination (S63)	Series 63	10/04/2004
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PROFESSIONAL DESIGNATIONS

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

Chartered Financial Consultant

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	10/31/2007 - 12/10/2009	GREAT AMERICAN ADVISORS, INC.	CRD# 36451	THE VILLAGES, FL
B	08/25/2006 - 11/06/2007	UVEST FINANCIAL SERVICES GROUP, INC.	CRD# 13787	OCALA, FL
B	05/07/2004 - 01/26/2005	AFS BROKERAGE, INC.	CRD# 25924	AUSTIN, TX
B	02/12/2003 - 09/15/2003	AFS BROKERAGE, INC.	CRD# 25924	AUSTIN, TX
B	10/12/1987 - 01/03/1989	NWNL MANAGEMENT CORPORATION	CRD# 2882	

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
12/2009 - Present	NEWBRIDGE SECURITIES	REGISTERED REPRESENTATIVE	Y	THE VILLAGES, 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.

- 1)MICHAEL L WHITAKER & ASSOC., LLC, (DBA): YES, IT IS INVESTMENT RELATED; THE VILLAGES, FL; INSURANCE, FINANCIAL SERVICES, FINANCIAL PLANNING AND INVESTMENT PRODUCTS; OWNER AND CHARTERED FINANCIAL CONSULTANT; 160 HOURS PER MONTH DEVOTED; STARTED MAY 2009; HOUR OF OPERATION ARE 8:30 AM TO 5:00 PM; SALES, RECRUITING AND MANAGING THE OFFICE.
- 2) HIGH STANDARD, LLC: 1/2015- OCALA, FL, OWNER, BUY/SELL HORSES, TRAIN/SHOW THEM. NOT INVESTMENT RELATED, CORPORATION, TIME SPENT ON THIS DURING REGULAR BUSINESS HOURS IS 0%.
- 3) HIGH STANDARDS 2, LLC; NOT INVESTMENT RELATED, OCALA, FL 34478; STARTED 02/15/2023 ONGOING - OWNER - HORSE BUSINESS AND WILL HOLD THE HORSES THAT I OWN (BUY/SELL); NOT INVOLVED IN DAY-TO-DAY OPERATIONS, GENERALLY DO THIS BUSINESS ON THE WEEKEND, 50% OWNER WITH WIFE SHANNON.
- 4) RENTAL PROPERTY: RESIDENTIAL HOME IN NORTH CAROLINA WILL BE HELD OUT AS RENTAL PROPERTY, HOMEOWNER/2017. NOT INVESTMENT RELATED, TIME SPENT ON THIS DURING REGULAR BUSINESS HOURS IS 5%



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	14

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 14

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	NEWBRIDGE SECURITIES CORPORATION
Allegations:	BREACH OF FIDUCIARY DUTY, NEGLIGENCE AND REG BI
Product Type:	Other: ALTERNATIVE INVESTMENTS - GWG
Alleged Damages:	\$95,000.00
Is this an oral complaint?	No
Is this a written complaint?	No
Is this an arbitration/CFTC reparation or civil litigation?	Yes
Arbitration/Reparation forum or court name and location:	FINRA
Docket/Case #:	26-00993
Filing date of arbitration/CFTC reparation or civil litigation:	04/30/2026

Customer Complaint Information

Date Complaint Received:	05/01/2026
Complaint Pending?	No
Status:	Settled



Status Date: 05/26/2026

Settlement Amount: \$14,999.00

Individual Contribution Amount: \$0.00

Disclosure 2 of 14

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: NEWBRIDGE SECURITIES CORPORATION

Allegations: BREACH OF CONTRACT, BREACH OF FIDUCIARY DUTY, NEGLIGENCE, VIOLATION OF FEDERAL SECURITIES LAWS, MISREPRESENTATIONS, FAILURE TO SUPERVISE.

Product Type: Other: ALTERNATIVES - GWG

Alleged Damages: \$375,000.00

Is this an oral complaint? No

Is this a written complaint? No

Is this an arbitration/CFTC reparation or civil litigation? Yes

Arbitration/Reparation forum or court name and location: FINRA

Docket/Case #: 25-02066

Filing date of arbitration/CFTC reparation or civil litigation: 09/29/2025

Customer Complaint Information

Date Complaint Received: 11/18/2025

Complaint Pending? Yes

Settlement Amount:

Individual Contribution Amount:

Disclosure 3 of 14

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: NEWBRIDGE SECURITIES CORPORATION

Allegations: CLIENTS HAVE ASSERTED THAT THEY SUFFERED FINANCIAL LOSSES RELATED TO INVESTMENT RECOMMENDATIONS.

Product Type: Other: ALTERNATIVES - GWG

Alleged Damages: \$0.00



Alleged Damages Amount Explanation (if amount not exact): INITIAL DATE WAS A VERBAL COMPLAINT AND NO COMPENSATION WAS DETERMINED.

Is this an oral complaint? Yes

Is this a written complaint? No

Is this an arbitration/CFTC reparation or civil litigation? No

Customer Complaint Information

Date Complaint Received: 06/18/2025

Complaint Pending? No

Status: Settled

Status Date: 06/20/2025

Settlement Amount: \$26,000.00

Individual Contribution Amount: \$0.00

Disclosure 4 of 14

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: NEWBRIDGE SECURITIES CORPORATION

Allegations: CLIENT HAS ASSERTED THAT THEY SUFFERED FINANCIAL LOSSES RELATED TO INVESTMENT RECOMMENDATIONS.

Product Type: Other: ALTERNATIVES - GWG

Alleged Damages: \$0.00

Alleged Damages Amount Explanation (if amount not exact): INITIAL DATE WAS A VERBAL COMPLAINT AND NO COMPENSATION WAS DETERMINED.

Is this an oral complaint? Yes

Is this a written complaint? No

Is this an arbitration/CFTC reparation or civil litigation? No

Customer Complaint Information

Date Complaint Received: 05/09/2025

Complaint Pending? No

Status: Settled

Status Date: 05/20/2025

Settlement Amount: \$35,000.00

Individual Contribution Amount: \$0.00



Disclosure 5 of 14

Reporting Source: Individual
Employing firm when activities occurred which led to the complaint: NEWBRIDGE SECURITIES CORPORATION
Allegations: BREACH OF FIDUCIARY DUTY AND NEGLIGENCE.
Product Type: Other: ALTERNATIVES - GWG
Alleged Damages: \$27,000.00
Is this an oral complaint? No
Is this a written complaint? No
Is this an arbitration/CFTC reparation or civil litigation? Yes
Arbitration/Reparation forum or court name and location: FINRA
Docket/Case #: 25-00772
Filing date of arbitration/CFTC reparation or civil litigation: 04/15/2025

Customer Complaint Information

Date Complaint Received: 04/15/2025
Complaint Pending? No
Status: Settled
Status Date: 06/05/2025
Settlement Amount: \$14,999.00
Individual Contribution Amount: \$0.00

Disclosure 6 of 14

Reporting Source: Individual
Employing firm when activities occurred which led to the complaint: NEWBRIDGE SECURITIES CORPORATION
Allegations: BREACH OF FIDUCIARY DUTY AND NEGLIGENCE.
Product Type: Other: ALTERNATIVES - GWG
Alleged Damages: \$35,000.00
Is this an oral complaint? No
Is this a written complaint? No
Is this an arbitration/CFTC reparation or civil litigation? Yes
Arbitration/Reparation forum or court name and location: FINRA



Docket/Case #: 24-02583
Filing date of arbitration/CFTC reparation or civil litigation: 12/06/2024

Customer Complaint Information

Date Complaint Received: 12/09/2024
Complaint Pending? No
Status: Settled
Status Date: 01/03/2025
Settlement Amount: \$21,000.00
Individual Contribution Amount: \$0.00

Disclosure 7 of 14

Reporting Source: Individual
Employing firm when activities occurred which led to the complaint: NEWBRIDGE SECURITIES CORPORATION
Allegations: BREACH OF FIDUCIARY DUTY, BREACH OF CONTRACT, FAILURE TO SUPERVISE, NEGLIGENCE AND REG BI.
Product Type: Other: ALTERNATIVES - GWG
Alleged Damages: \$0.00
Alleged Damages Amount Explanation (if amount not exact): NOT SPECIFIED
Is this an oral complaint? No
Is this a written complaint? No
Is this an arbitration/CFTC reparation or civil litigation? Yes
Arbitration/Reparation forum or court name and location: FINRA

Docket/Case #: 24-01104
Filing date of arbitration/CFTC reparation or civil litigation: 05/21/2024

Customer Complaint Information

Date Complaint Received: 05/21/2024
Complaint Pending? No
Status: Settled
Status Date: 08/07/2024
Settlement Amount: \$14,999.00
Individual Contribution \$0.00

**Amount:****Disclosure 8 of 14**

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: NEWBRIDGE SECURITIES CORPORATION

Allegations: BREACH OF FIDUCIARY DUTY, NEGLIGENCE AND REG BI.

Product Type: Other: ALTERNATIVES - GWG

Alleged Damages: \$40,000.00

Is this an oral complaint? No

Is this a written complaint? No

Is this an arbitration/CFTC reparation or civil litigation? Yes

Arbitration/Reparation forum or court name and location: FINRA

Docket/Case #: 24-00828

Filing date of arbitration/CFTC reparation or civil litigation: 04/17/2024

Customer Complaint Information

Date Complaint Received: 04/18/2024

Complaint Pending? No

Status: Settled

Status Date: 06/10/2024

Settlement Amount: \$17,500.00

Individual Contribution Amount: \$0.00

Disclosure 9 of 14

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: NEWBRIDGE SECURITIES CORPORATION

Allegations: BREACH OF CONTRACT, BREACH OF FIDUCIARY DUTY, NEGLIGENT SUPERVISION.

Product Type: Other: ALTERNATIVES

Alleged Damages: \$400,000.00

Is this an oral complaint? No

Is this a written complaint? No

Is this an arbitration/CFTC reparation or civil litigation? Yes



Arbitration/Reparation forum or court name and location: FINRA

Docket/Case #: 24-00415

Filing date of arbitration/CFTC reparation or civil litigation: 02/22/2024

Customer Complaint Information

Date Complaint Received: 02/23/2024

Complaint Pending? No

Status: Settled

Status Date: 03/11/2025

Settlement Amount: \$62,500.00

Individual Contribution Amount: \$0.00

Disclosure 10 of 14

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: NEWBRIDGE SECURITIES CORPORATION

Allegations: BREACH OF CONTRACT, COMMON LAW FRAUD AND NEGLIGENCE.

Product Type: Other: ALTERNATIVES - GWG

Alleged Damages: \$85,000.00

Is this an oral complaint? No

Is this a written complaint? No

Is this an arbitration/CFTC reparation or civil litigation? Yes

Arbitration/Reparation forum or court name and location: FINRA

Docket/Case #: 24-00203

Filing date of arbitration/CFTC reparation or civil litigation: 01/26/2024

Customer Complaint Information

Date Complaint Received: 02/05/2024

Complaint Pending? No

Status: Settled

Status Date: 09/23/2024

Settlement Amount: \$44,500.00

Individual Contribution Amount: \$0.00

**Disclosure 11 of 14**

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: NEWBRIDGE SECURITIES CORPORATION

Allegations: BREACH OF FIDUCIARY DUTY, BREACH OF CONTRACT, FAILURE TO SUPERVISE AND NEGLIGENCE.

Product Type: Other: ALTERNATIVES

Alleged Damages: \$0.00

Alleged Damages Amount Explanation (if amount not exact): UNSPECIFIED

Is this an oral complaint? No

Is this a written complaint? No

Is this an arbitration/CFTC reparation or civil litigation? Yes

Arbitration/Reparation forum or court name and location: FINRA

Docket/Case #: 23-03344

Filing date of arbitration/CFTC reparation or civil litigation: 11/20/2023

Customer Complaint Information

Date Complaint Received: 11/21/2023

Complaint Pending? No

Status: Withdrawn

Status Date: 11/30/2023

Settlement Amount:

Individual Contribution Amount:

Disclosure 12 of 14

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: NEWBRIDGE SECURITIES CORPORATION

Allegations: NEGLIGENCE, BREACH OF FIDUCIARY DUTY, AND NEGLIGENT SUPERVISION.

Product Type: Other: ALTERNATIVES

Alleged Damages: \$80,000.00

Arbitration Information



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

Docket/Case #: 23-02650

Date Notice/Process Served: 09/28/2023

Arbitration Pending? No

Disposition: Settled

Disposition Date: 08/09/2024

Monetary Compensation Amount: \$30,000.00

Individual Contribution Amount: \$0.00

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Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: NEWBRIDGE SECURITIES CORPORATION

Allegations: Violation of Regulation Best Interest, Breach of Fiduciary Duty, Breach of Contract, Negligence, Negligent Supervision, Violation of the Florida's Securities and Investor Protection Act, Violation of FINRA Rules

Product Type: Other: ALTERNATIVE INVESTMENTS

Alleged Damages: \$70,000.00

Is this an oral complaint? No

Is this a written complaint? No

Is this an arbitration/CFTC reparation or civil litigation? Yes

Arbitration/Reparation forum or court name and location: FINRA

Docket/Case #: 22-02713

Filing date of arbitration/CFTC reparation or civil litigation: 11/28/2022

Customer Complaint Information

Date Complaint Received: 11/29/2022

Complaint Pending? No

Status: Settled

Status Date: 02/14/2024

Settlement Amount: \$42,500.00

Individual Contribution Amount: \$0.00



Disclosure 14 of 14

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: NEWBRIDGE SECURITIES CORPORATION

Allegations: Negligence & Negligence Misrepresentation ,Breach of Fiduciary Duty, Failure to Supervise

Product Type: Other: ALTERNATIVE INVESTMENTS

Alleged Damages: \$0.00

Alleged Damages Amount Explanation (if amount not exact): Unspecified

Is this an oral complaint? No

Is this a written complaint? No

Is this an arbitration/CFTC reparation or civil litigation? Yes

Arbitration/Reparation forum or court name and location: FINRA

Docket/Case #: 22-01447

Filing date of arbitration/CFTC reparation or civil litigation: 06/28/2022

Customer Complaint Information

Date Complaint Received: 06/28/2022

Complaint Pending? No

Status: Settled

Status Date: 03/05/2024

Settlement Amount: \$60,000.00

Individual Contribution Amount: \$0.00



End of Report

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