IAPD Report

THOMAS BARTOLOMEO JR

CRD# 1823924

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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

User Guidance

www.adviserinfo.sec.gov

Report Summary

THOMAS BARTOLOMEO JR (CRD# 1823924)

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 **01/08/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
IA	NEWEDGE ADVISORS	CRD# 171351	05/15/2023

QUALIFICATIONS

This representative is currently registered in **0** SRO(s) and **3** 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
IA	SAVIOR WEALTH	299178	DELRAY BEACH, FL	02/22/2019 - 05/17/2023
B	PURSHE KAPLAN STERLING INVESTMENTS	35747	Boca Raton, FL	03/22/2018 - 03/01/2021
IA	THE HARVEST GROUP	283572	BOCA RATON, FL	10/24/2017 - 06/11/2019

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 **3** jurisdiction(s) and **0** SRO(s) through his or her employer(s).

Employment 1 of 1

Firm Name: **NEWEDGE ADVISORS**

Main Address: 858 CAMP STREET
NEW ORLEANS, LA 70130

Firm ID#: 171351

	Regulator	Registration	Status	Date
IA	Florida	Investment Adviser Representative	Approved	05/17/2023
IA	New Hampshire	Investment Adviser Representative	Approved	01/13/2026
IA	Texas	Investment Adviser Representative	Restricted Approval	05/15/2023

Branch Office Locations

NEWEDGE ADVISORS
1200 North Federal Highway
Suite 300
Boca Raton, FL 33432

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 2 principal/supervisory exams, 4 general industry/product exams, and 2 state securities law exams.

Principal/Supervisory Exams

	Exam	Category	Date
B	General Securities Principal Examination (S24)	Series 24	02/14/2013
B	Investment Company Products/Variable Contracts Principal Examination (S26)	Series 26	07/14/1994

General Industry/Product Exams

	Exam	Category	Date
B	Operations Professional Examination (S99TO)	Series 99TO	01/02/2023
B	Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
B	General Securities Representative Examination (S7)	Series 7	11/09/1999
B	Investment Company Products/Variable Contracts Representative Examination (S6)	Series 6	03/02/1992

State Securities Law Exams

	Exam	Category	Date
IA B	Uniform Combined State Law Examination (S66)	Series 66	04/10/2000
B	Uniform Securities Agent State Law Examination (S63)	Series 63	10/27/1993

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
IA	02/22/2019 - 05/17/2023	SAVIOR WEALTH	CRD# 299178	DELRAY BEACH, FL
B	03/22/2018 - 03/01/2021	PURSHE KAPLAN STERLING INVESTMENTS	CRD# 35747	Boca Raton, FL
IA	10/24/2017 - 06/11/2019	THE HARVEST GROUP	CRD# 283572	BOCA RATON, FL
B	11/16/2012 - 10/24/2017	WELLS FARGO ADVISORS FINANCIAL NETWORK, LLC	CRD# 11025	BOCA RATON, FL
IA	11/16/2012 - 10/24/2017	WELLS FARGO ADVISORS FINANCIAL NETWORK, LLC	CRD# 11025	BOCA RATON, FL
B	06/01/2009 - 11/20/2012	MORGAN STANLEY	CRD# 149777	PROVIDENCE, RI
IA	06/01/2009 - 11/20/2012	MORGAN STANLEY	CRD# 149777	PROVIDENCE, RI
B	11/14/2008 - 06/01/2009	MORGAN STANLEY & CO. INCORPORATED	CRD# 8209	PROVIDENCE, RI
IA	11/14/2008 - 06/01/2009	MORGAN STANLEY & CO. INCORPORATED	CRD# 8209	PROVIDENCE, RI
B	07/01/2003 - 11/14/2008	WACHOVIA SECURITIES, LLC	CRD# 19616	WALTHAM, MA
IA	07/01/2003 - 11/14/2008	WACHOVIA SECURITIES, LLC	CRD# 19616	WALTHAM, MA
IA	04/08/2002 - 07/01/2003	PRUDENTIAL SECURITIES INCORPORATED	CRD# 7471	PROVIDENCE, RI
B	04/05/2002 - 07/01/2003	PRUDENTIAL SECURITIES INCORPORATED	CRD# 7471	NEW YORK, NY
B	03/21/2000 - 04/16/2002	UBS PAINEWEBBER INC.	CRD# 8174	WEEHAWKEN, NJ
B	03/04/1992 - 03/20/2000	METLIFE SECURITIES INC.	CRD# 14251	SPRINGFIELD, MA
B	03/04/1992 - 03/20/2000	METROPOLITAN LIFE INSURANCE COMPANY	CRD# 4095	NEW YORK, NY

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
05/2023 - Present	NewEdge Advisors, LLC.	Investment Advisor Representative	Y	New Orleans, LA, United States
04/2019 - 05/2023	SAVIOR WEALTH, LLC	MANAGING DIRECTOR	Y	Boca Raton, FL, United States
03/2018 - 03/2021	PURSHE KAPLAN STERLING INVESTMENTS, INC	REGISTERED REPRESENTATIVE	Y	Albany, NY, United States
10/2017 - 03/2019	THE HARVEST GROUP WEALTH MANAGEMENT, LLC	INVESTMENT ADVISER REPRESENTATIVE	Y	BOCA RATON, FL, United States
11/2016 - 10/2017	WELLS FARGO ADVISORS FINANCIAL NETWORK, LLC	REGISTERED REPRESENTATIVE AND INVESTMENT ADVISER REPRESENTATIVE	Y	BOCA RATON, FL, United States
11/2012 - 11/2016	WELLS FARGO ADVISORS FINANCIAL NETWORK, LLC	REGISTERED REPRESENTATIVE AND INVESTMENT ADVISER REPRESENTATIVE	Y	PROVIDENCE, RI, 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. RENTAL PROPERTY, Not investment related,47 Marconi St., North Providence, RI, 02984-Owner/Landlord- START: 11/1/2016 2 HOURS PER MONTH/0 DURING TRADING, Rent and maintain one residential unit.
2. Independent insurance agent, 1/26/2017, 1 hour/month, all during securities trading hours; non-investment related.
3. Bartolomeo Capital Group; DBA for RIA NewEdge Advisors, LLC; Investment Related; Investment Advisor Representative; 05/2023; Boca Raton, FL

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

Reporting Source:	Regulator
Regulatory Action Initiated By:	Florida Office of Financial Regulation
Sanction(s) Sought:	Civil and Administrative Penalty(ies)/Fine(s)
Date Initiated:	12/08/2021
Docket/Case Number:	106308-SR
URL for Regulatory Action:	
Employing firm when activity occurred which led to the regulatory action:	Savior LLC
Product Type:	No Product
Allegations:	Conducted investment advisory business from a location within this state without the benefit of lawful registration
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:	12/08/2021
Sanctions Ordered:	Cease and Desist Civil and Administrative Penalty(ies)/Fine(s)

Monetary Sanction 1 of 1

Monetary Related Sanction:	Civil and Administrative Penalty(ies)/Fine(s)
Total Amount:	$15,625.00
Portion Levied against individual:	$15,625.00
Payment Plan:	
Is Payment Plan Current:	No
Date Paid by individual:	12/08/2021
Was any portion of penalty waived?	No
Amount Waived:	
Regulator Statement	On December 8, 2021, the Office of Financial Regulation (Office) entered a Final Order adopting the Stipulation and Consent Agreement in the matter of Thomas Bartolomeo, Jr. (Bartolomeo). Bartolomeo neither admitted nor denied the allegations but consented to the entry of findings by the Office. The Office found that Bartolomeo violated section 517.12(4), Florida Statutes, by rendering investment advice, from a location within Florida, without being registered by the Office. Bartolomeo agreed to Cease and Desist from violations of Chapter 517, Florida Statutes, and the Administrative Rules adopted thereto, and to pay an administrative fine in the amount of $15,625. The Office agreed to approve Bartolomeo's application as an associated person (RA) with Savior LLC effective December 8, 2021.

Reporting Source:	Individual
Regulatory Action Initiated By:	Florida Office of Financial Regulation
Sanction(s) Sought:	Civil and Administrative Penalty(ies)/Fine(s)
Date Initiated:	09/30/2021
Docket/Case Number:	106308-SR
Employing firm when activity occurred which led to the regulatory action:	Savior Wealth
Product Type:	No Product
Allegations:	Without admitting or denying the findings, Mr. Bartolomeo consented to the administrative fine and to the entry of findings that he engaged in providing investment advice from a location within Florida, without being registered by the State of Florida, Office of Financial Regulation. The findings stated that Mr. Bartolomeo had been conducting investment advisory business in Florida since 2019.
Current Status:	Final
Resolution:	Stipulation and Consent

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:	12/08/2021
Sanctions Ordered:	Civil and Administrative Penalty(ies)/Fine(s)
Monetary Sanction 1 of 1	
Monetary Related Sanction:	Civil and Administrative Penalty(ies)/Fine(s)
Total Amount:	$15,625.00
Portion Levied against individual:	$15,625.00
Payment Plan:	none
Is Payment Plan Current:	
Date Paid by individual:	12/03/2021
Was any portion of penalty waived?	No
Amount Waived:	
Broker Statement	Thomas Bartolomeo is an Investment Advisor Representative with Savior, LLC. Savior LLC has been appropriately notice filed in Florida during the time period in question. Savior LLC underwent an organizational change in 2019, where it separated from another registered investment adviser. In connection with this organizational change, Mr. Bartolomeo and Savior, LLC mistakenly presumed that the firm, acting in conjunction with counsel, had filed his investment adviser representative registration. This unintentional and inadvertent mistake came to light in March 2021 when the registrant was amending various registration filings in accordance with a separate matter. Neither Savior, LLC, nor Mr. Bartolomeo intentionally disregarded any Florida regulatory requirements and acted to address the matter immediately upon learning about it.

End of Report

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