



IAPD Report

TODD MICHAEL BATTAGLIA

CRD# 1965041

<u>Section Title</u>	<u>Page(s)</u>
Report Summary	1
Qualifications	2 - 5
Registration and Employment History	6 - 8
Disclosure Information	9



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

TODD MICHAEL BATTAGLIA (CRD# 1965041)

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 **12/16/2024**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	STONEX SECURITIES INC.	CRD# 18456	08/31/2012
IA	MG&A WEALTH	CRD# 284866	08/12/2016

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **36** 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	MG&A WEALTH PR LLC	328091	San Juan, PR	11/18/2023 - 08/05/2025
IA	MEG GREEN & ASSOCIATES, INC.	141559	NORTH MIAMI BEACH, FL	06/17/1999 - 10/03/2016
B	ROYAL ALLIANCE ASSOCIATES, INC.	23131	N. MIAMI BEACH, FL	03/03/1999 - 09/06/2012

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

Employment 1 of 2

Firm Name: **STONEX SECURITIES INC.**
Main Address: 2 PERIMETER PARK SOUTH
SUITE 500 WEST
BIRMINGHAM, AL 35243
Firm ID#: 18456

Regulator	Registration	Status	Date
B FINRA	General Securities Principal	Approved	08/31/2012
B FINRA	General Securities Representative	Approved	08/31/2012
B Arizona	Agent	Approved	09/07/2012
B California	Agent	Approved	09/04/2012
B Colorado	Agent	Approved	10/03/2012
B Delaware	Agent	Approved	08/20/2024
B Florida	Agent	Approved	08/31/2012
B Georgia	Agent	Approved	09/06/2012
B Illinois	Agent	Approved	08/31/2012
B Indiana	Agent	Approved	01/03/2020
B Iowa	Agent	Approved	10/01/2014
B Kentucky	Agent	Approved	01/14/2021
B Maine	Agent	Approved	01/05/2021



Qualifications

Regulator	Registration	Status	Date
B Maryland	Agent	Approved	08/31/2012
B Massachusetts	Agent	Approved	09/10/2012
B Michigan	Agent	Approved	09/14/2012
B Minnesota	Agent	Approved	09/11/2012
B Missouri	Agent	Approved	05/31/2013
B Montana	Agent	Approved	09/05/2012
B Nebraska	Agent	Approved	03/04/2020
B Nevada	Agent	Approved	01/19/2021
B New Hampshire	Agent	Approved	08/31/2012
B New Jersey	Agent	Approved	08/31/2012
B New Mexico	Agent	Approved	01/03/2018
B New York	Agent	Approved	08/31/2012
B North Carolina	Agent	Approved	08/31/2012
B Ohio	Agent	Approved	01/02/2020
B Oregon	Agent	Approved	08/31/2012
B Pennsylvania	Agent	Approved	09/04/2012
B Puerto Rico	Agent	Approved	06/15/2023
B South Carolina	Agent	Approved	09/12/2012
B Tennessee	Agent	Approved	09/05/2012



Qualifications

Regulator	Registration	Status	Date
B Texas	Agent	Approved	09/18/2012
B Vermont	Agent	Approved	09/10/2012
B Virginia	Agent	Approved	08/31/2012
B Washington	Agent	Approved	09/15/2023
B West Virginia	Agent	Approved	01/29/2020
B Wisconsin	Agent	Approved	08/19/2016

Branch Office Locations

8151 Peters Road
Suite 3200
Plantation, FL 33324

SAN JUAN, PR

Employment 2 of 2

Firm Name: **MG&A WEALTH**
 Main Address: 8151 PETERS ROAD
 SUITE 3200
 PLANTATION, FL 33324
 Firm ID#: 284866

Regulator	Registration	Status	Date
IA Florida	Investment Adviser Representative	Approved	08/18/2016
IA Puerto Rico	Investment Adviser Representative	Approved	04/18/2023
IA Texas	Investment Adviser Representative	Restricted Approval	08/12/2016

Branch Office Locations

MG&A WEALTH
 8151 PETERS ROAD
 SUITE 3200
 PLANTATION, FL 33324



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

Principal/Supervisory Exams

	Exam	Category	Date
	General Securities Principal Examination (S24)	Series 24	07/19/2000

General Industry/Product Exams

	Exam	Category	Date
	Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
	General Securities Representative Examination (S7)	Series 7	01/02/1992

State Securities Law Exams

	Exam	Category	Date
	Uniform Investment Adviser Law Examination (S65)	Series 65	01/17/1992
	Uniform Securities Agent State Law Examination (S63)	Series 63	01/13/1992

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:

	Registration Dates	Firm Name	ID#	Branch Location
IA	11/18/2023 - 08/05/2025	MG&A WEALTH PR LLC	CRD# 328091	San Juan, PR
IA	06/17/1999 - 10/03/2016	MEG GREEN & ASSOCIATES, INC.	CRD# 141559	NORTH MIAMI BEACH, I
B	03/03/1999 - 09/06/2012	ROYAL ALLIANCE ASSOCIATES, INC.	CRD# 23131	N. MIAMI BEACH, FL
IA	04/27/2001 - 12/07/2006	ROYAL ALLIANCE ASSOCIATES, INC.	CRD# 23131	N. MIAMI BEACH, FL
B	09/04/1998 - 02/19/1999	MCDONALD INVESTMENTS INC.	CRD# 566	CLEVELAND, OH
B	03/15/1994 - 09/04/1998	ESSEX CAPITAL MARKETS, INC.	CRD# 11896	ROCHESTER, NY
B	01/07/1992 - 01/26/1994	U S G M SECURITIES, INC.	CRD# 7866	CORNING, NY

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
01/2023 - Present	MG&A WEALTH PR LLC	PRESIDENT & CEO	Y	Calle De San Francisco, PR, United States
09/2012 - Present	STONEX SECURITIES INC	REGISTERED REPRESENTATIVE	Y	SAN JUAN, PR, United States
02/1999 - Present	MEG GREEN & ASSOCIATES, INC. D/B/A MG&A WEALTH	PRESIDENT & CEO	Y	PLANTATION, 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.BIDWELL GREEN INSURANCE SERVICES, NON-INVESTMENT RELATED, 2627 IVES DIARY ROAD, STE 201, MIAMI FL 33180, INSURANCE AGENT, 01/2001, 0HRS MONTHLY, 0HRS MONTHLY, RECEIVING TRAIL COMMISSIONS FROM PREVIOUSLY WRITTEN POLICIES. NO NEW BUSINESS CONDUCTED THROUGH THIS ENTITY.



Registration & Employment History



OTHER BUSINESS ACTIVITIES

2. GELBWAKS INSURANCE AGENCY, NON-INVESTMENT RELATED, 10051 NW 1 COURT, PLANTATION FL 33324, INSURANCE AGENT, 01/13/2005, 1HRS MONTHLY, 1HRS MONTHLY, RECOMMENDS LIFE, HEALTH DISABILITY AND LONG TERM HEALTH CARE TO GELBWAKS INSURANCE AGENCY.

3. MG&A Wealth

8151 Peters Road Suite 3200, Plantation, FL 33055 and 151 Calle de San Francisco, San Juan, Puerto Rico 00901

Title: Owner Meg Green & Associates, Inc. DBA MG&A Wealth

Investment Related: Yes

Nature: Wealth Management and Business Consulting

Duties: Provide investment and financial planning advice to clients and business consulting to employees of MG&A Wealth (US) aka Meg Green and Associates.

4. WOMEN OF TOMORROW - INVESTMENT COMMITTEE MEMBER, INVESTMENT RELATED, 2627 IVES DIARY ROAD, STE 201, MIAMI FL 33180, INVESTMENT COMMITTEE MEMBER, 2006 1HRS MONTHLY, 1HRS MONTHLY, ADVISES ON THE ASSET ALLOCATION AND MANAGEMENT OF THE ENDOWMENT FUND

5. BNI Champions Networking Group

415 E Country Club Cir Fort Lauderdale, FL 33317

Nature of Business: BNI Networking Group is made up of local professionals who meet once a week to network and offer business services to clients of other professionals. For instance a lawyer or real estate agent may have clients who are looking for an insurance agent or contractor. This is not a paid position, and no compensation is received from this activity. Members of BNI pay a small membership fee to be a part of this networking group. My duties as Secretary / Treasurer include keeping meeting notes, and monitoring and tracking of membership dues paid. Dues collected cover the costs of weekly rental of meeting space at Ft Lauderdale Country Club. My role does not include offering or soliciting of investment advice.

Investment Related: No

Title: Secretary/Treasurer of BNI Networking Group

Start Date: 01/02/2020

Duties: BNI Networking Group is made up of local professionals who meet once a week to network and offer business services to clients of other professionals. For instance a lawyer or real estate agent may have clients who are looking for an insurance agent or contractor. This is not a paid position, and no compensation is received from this activity. Members of BNI pay a small membership fee to be a part of this networking group. My duties as Secretary / Treasurer include keeping meeting notes, and monitoring and tracking of membership dues paid. Dues collected cover the costs of weekly rental of meeting space at Ft Lauderdale Country Club. My role does not include offering or soliciting of investment advice.

Hours Devoted to Business: 8 - 10 hours per month. Meeting are held once a week from 7:00 am - 9:00 am

Hours Devoted to Business during Market Hours: 0

6) TVB, LLC - 8151 PETERS RD, SUITE 3200, PLANTATION, FL 33324

NATURE OF BUSINESS: FORMED AN LLC WITH BROTHER VINCENT BATTAGLIA FOR INVESTMENT OPPORTUNITIES IN SECURITIES, PRIVATE PLACEMENTS, STARTUP COMPANIES AND OTHER VENTURE CAPITAL OPPORTUNITIES, STRICTLY FOR THE MEMBERS OF THE LLC, TODD BATTAGLIA AND VINCENT BATTAGLIA. NO BROKERAGE OR RIA CLIENTS WILL BE INVOLVED IN THIS LLC.

INVESTMENT RELATED: YES

POSITION: MANAGER

DUTIES: MANAGER OF LLC, TO INCLUDE ANY PURCHASES MADE, ANY DISTRIBUTIONS, AND ANY REPORTING REQUIREMENTS.

START DATE: 03/11/2021

APPROXIMATELY 4-5 HOURS SPENT MONTHLY ON THIS OBA, WITH 0-1 HOURS SPENT ON THIS OBA MONTHLY DURING MARKET HOURS.

7) MG&A Wealth PR LLC-151 Calle De San Francisco, San Juan, PR 00901



Registration & Employment History



OTHER BUSINESS ACTIVITIES

Nature of Business: Registered Investment Advisory Services

Inv Related: Yes

Position: President & CEO

Duties: 1. Sub advise on over 200 clients of MG&A Wealth Management. 2. To provide practice manage

Start Date: 01/01/23

Approx 150 hrs spent on this OBA with 120 during market hours



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:	Firm
Employing firm when activities occurred which led to the complaint:	ROYAL ALLIANCE ASSOCIATES, INC.
Allegations:	CLAIMANTS ALLEGE THAT THE INVESTMENT PORTFOLIO RECOMMENDED WAS NOT CONSISTENT WITH THEIR PURPORTEDLY "CONSERVATIVE" RISK TOLERANCE. THEY SEEK TO RECOVER THE DECLINE IN THE PROFITABILITY IN THEIR ACCOUNTS DURING THE COLLAPSE OF THE FINANCIAL MARKETS IN THE FALL OF 2008. IT SHOULD BE NOTED THAT WHEN THE CUSTOMERS CLOSED THEIR ACCOUNTS, THEY WERE IN A NET PROFITABLE POSITION.
Product Type:	Mutual Fund
Alleged Damages:	\$1,500,000.00
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, BOCA RATON, FL
Docket/Case #:	11-00719
Filing date of arbitration/CFTC reparation or civil litigation:	02/12/2011

**Customer Complaint Information****Date Complaint Received:** 03/09/2011**Complaint Pending?** No**Status:** Settled**Status Date:** 08/07/2013**Settlement Amount:** \$40,000.00**Individual Contribution Amount:** \$0.00**Firm Statement**

THIS MATTER, INVOLVING ACCOUNTS THAT PRODUCED SUBSTANTIAL NET PROFITS, WAS SETTLED BY ROYAL ALLIANCE FOR LESS THAN 3% OF THE TOTAL DAMAGES ALLEGED BY CLAIMANTS AND WITH NO CONTRIBUTION TOWARD THE SETTLEMENT BY MR. BATTAGLIA. THE SETTLEMENT FIGURE IS LESS THAN THE ATTORNEYS' FEES, EXPERT WITNESS FEES, AND COSTS THAT ROYAL ALLIANCE WOULD HAVE FACED HAD IT PROCEEDED THROUGH A HEARING AND THE CASE WAS SETTLED BY THE FIRM SOLELY TO AVOID THESE COSTS AND EXPENSES.

Reporting Source: Individual**Employing firm when activities occurred which led to the complaint:** ROYAL ALLIANCE ASSOCIATES, INC**Allegations:** CLAIMANTS ALLEGE THAT THE INVESTMENT PORTFOLIO RECOMMENDED WAS NOT CONSISTENT WITH THEIR PURPORTEDLY "CONSERVATIVE" RISK TOLERANCE. THEY SEEK TO RECOVER THE DECLINE IN THE PROFITABILITY IN THEIR ACCOUNTS DURING THE COLLAPSE OF THE FINANCIAL MARKETS IN THE FALL OF 2008. IT SHOULD BE NOTED THAT, WHEN THE CUSTOMERS CLOSED THEIR ACCOUNTS, THEY WERE IN A NET PROFITABLE POSITION.**Product Type:** Mutual Fund**Alleged Damages:** \$1,500,000.00**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, BOCA RATON, FLORIDA**Docket/Case #:** 11-00719**Filing date of arbitration/CFTC reparation or civil litigation:** 02/12/2011**Customer Complaint Information****Date Complaint Received:** 03/09/2011**Complaint Pending?** No**Status:** Settled



Status Date: 08/07/2013

Settlement Amount: \$40,000.00

Individual Contribution Amount: \$0.00

Broker Statement I DENY THE ALLEGATIONS MADE BY THESE CLIENTS, AND INTEND TO VIGOROUSLY DEFEND MYSELF AGAINST THIS CLAIM. I BELIEVE THAT ALL RECOMMENDATIONS MADE TO THE CLIENTS WERE SUITABLE WHEN MADE. THESE CLIENTS HAD NO OUT OF POCKET LOSSES, AND ARE ONLY MAKING A CLAIM THAT THEY SHOULD HAVE PROFITED EVEN MORE THAN THEY ACTUALLY DID IN THEIR ACCOUNTS.



End of Report

This page is intentionally left blank.