



IAPD Report

RICHARD WAYNE SLAVIK

CRD# 2122910

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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

RICHARD WAYNE SLAVIK (CRD# 2122910)

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 **07/17/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	NEWBRIDGE SECURITIES CORPORATION	CRD# 104065	06/30/2026
IA	NFSG CORPORATION	CRD# 130814	07/13/2026

QUALIFICATIONS

This representative is currently registered in **2** SRO(s) and **11** 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	NFSG CORPORATION	130814	BOCA RATON, FL	11/28/2023 - 01/06/2026
B	NEWBRIDGE SECURITIES CORPORATION	104065	BOCA RATON, FL	11/15/2023 - 01/06/2026
IA	KOVACK ADVISORS, INC.	140808	Fort Lauderdale, FL	01/28/2021 - 06/14/2023

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

Employment 1 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	07/13/2026

Branch Office Locations

NFSG CORPORATION
1200 NORTH FEDERAL HIGHWAY
SUITE 400
BOCA RATON, FL 33432

Employment 2 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	General Securities Principal	Approved	06/30/2026
B	FINRA	General Securities Representative	Approved	06/30/2026
B	FINRA	Investment Banking Principal	Approved	06/30/2026
B	FINRA	Investment Banking Representative	Approved	06/30/2026
B	FINRA	Operations Professional	Approved	06/30/2026



Qualifications

Regulator	Registration	Status	Date
B Nasdaq Stock Market	General Securities Principal	Approved	06/30/2026
B Nasdaq Stock Market	General Securities Representative	Approved	06/30/2026
B Arkansas	Agent	Approved	07/07/2026
B Florida	Agent	Approved	06/30/2026
B Louisiana	Agent	Approved	07/07/2026
B Massachusetts	Agent	Approved	07/07/2026
B Nevada	Agent	Approved	07/07/2026
B New Mexico	Agent	Approved	07/07/2026
B New York	Agent	Approved	07/07/2026
B North Carolina	Agent	Approved	07/08/2026
B South Dakota	Agent	Approved	07/07/2026
B Texas	Agent	Approved	07/07/2026
B Washington	Agent	Approved	07/07/2026

Branch Office Locations

1200 NORTH FEDERAL HIGHWAY
SUITE 400
BOCA RATON, FL 33432

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SUITE 400
BOCA RATON, FL 33432

1200 NORTH FEDERAL HIGHWAY
SUITE 400
BOCA RATON, FL 33432

6800 JERICHO TURNPIKE
SUITE 118E
SYOSSET, NY 11791



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, 5 general industry/product exams, and 3 state securities law exams.

Principal/Supervisory Exams

	Exam	Category	Date
	General Securities Principal Examination (S24)	Series 24	06/04/1999

General Industry/Product Exams

	Exam	Category	Date
	Operations Professional Examination (S99TO)	Series 99TO	01/02/2023
	Investment Banking Registered Representative Examination (S79TO)	Series 79TO	01/02/2023
	Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
	General Securities Representative Examination (S7)	Series 7	04/06/1998
	Investment Company Products/Variable Contracts Representative Examination (S6)	Series 6	04/15/1991

State Securities Law Exams

	Exam	Category	Date
 	Uniform Combined State Law Examination (S66)	Series 66	12/22/2020
	Uniform Securities Agent State Law Examination (S63)	Series 63	02/06/2008
	Uniform Investment Adviser Law Examination (S65)	Series 65	04/24/1998



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	11/28/2023 - 01/06/2026	NFSG CORPORATION	CRD# 130814	BOCA RATON, FL
B	11/15/2023 - 01/06/2026	NEWBRIDGE SECURITIES CORPORATION	CRD# 104065	BOCA RATON, FL
IA	01/28/2021 - 06/14/2023	KOVACK ADVISORS, INC.	CRD# 140808	Fort Lauderdale, FL
B	01/25/2021 - 06/14/2023	KOVACK SECURITIES INC.	CRD# 44848	FORT LAUDERDALE, FL
B	07/09/2020 - 01/21/2021	SECURITIES AMERICA, INC.	CRD# 10205	PLANTATION, FL
B	07/23/2020 - 09/22/2020	INVESTACORP, INC.	CRD# 7684	MIAMI, FL
B	04/09/2010 - 07/17/2020	INVESTACORP, INC.	CRD# 7684	MIAMI, FL
B	05/14/1999 - 04/06/2010	INVESTACORP, INC.	CRD# 7684	MIAMI LAKES, FL
B	01/08/1999 - 04/16/1999	WM FINANCIAL SERVICES, INC.	CRD# 599	IRVINE, CA
B	04/07/1998 - 11/25/1998	PAINWEBBER INCORPORATED	CRD# 8174	WEEHAWKEN, NJ
B	04/16/1991 - 11/25/1991	KEYPORT FINANCIAL SERVICES CORP.	CRD# 8127	WELLESLEY HILLS, MA

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
06/2026 - Present	NEWBRIDGE SECURITIES CORPORATION	DEPUTY CHIEF COMPLIANCE OFFICER	Y	BOCA RATON, FL, United States
06/2026 - Present	NFSG CORPORATION	DEPUTY CHIEF COMPLIANCE OFFICER	Y	BOCA RATON, FL, United States
12/2025 - Present	RICKWAYNE COMPLIANCE ADVISORS LLC	CONSULTANT	N	PLANTATION, FL, United States



Registration & Employment History



EMPLOYMENT HISTORY

Employment Dates	Employer Name	Position	Investment Related	Employer Location
07/2024 - 12/2025	NEWBRIDGE FINANCIAL SERVICES GROUP	CHIEF COMPLIANCE OFFICER	Y	BOCA RATON, FL, United States
07/2024 - 12/2025	NEWBRIDGE SECURITIES CORPORATION	CHIEF COMPLIANCE OFFICER	Y	BOCA RATON, FL, United States
11/2023 - 06/2024	NEWBRIDGE FINANCIAL SERVICES GROUP	DEPUTY CHIEF COMPLIANCE OFFICER	Y	BOCA RATON, FL, United States
11/2023 - 06/2024	NEWBRIDGE SECURITIES CORPORATION	DEPUTY CHIEF COMPLIANCE OFFICER	Y	BOCA RATON, FL, United States
07/2023 - 10/2023	CONSULTING	CONSULTANT	N	PLANTATION, FL, United States
01/2021 - 06/2023	Kovack Advisors, LLC	Compliance Supervisor	Y	Fort Lauderdale, FL, United States
01/2021 - 06/2023	Kovack Securities, LLC	Compliance Officer	Y	Fort Lauderdale, FL, United States
07/2020 - 12/2020	SECURITIES AMERICA, INC.	Registered Employee	Y	MIAMI, FL, United States
04/2010 - 09/2020	INVESTACORP, INC.	ASSISTANT DIRECTOR	Y	MIAMI LAKES, 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) FIXED INSURANCE SALES - PLANTATION, FL 33324; INSURANCE AGENT; SALES OF FIXED INSURANCE PRODUCTS; FIXED INSURANCE SALES CONSISTING OF TRADITIONAL LIFE, TERM, AND HEALTH INSURANCE; INVESTMENT RELATED BUSINESS; LESS THAN 1% OF TIME SPENT
- 2) RICKWAYNE COMPLIANCE ADVISORS LLC - FOUNDER AND PRESIDENT - 03/31/2026 (06/30/2026 AFFILIATION DATE WITH NEWBRIDGE) - ONGOING - COMPLIANCE CONSULTING SERVICES TO BROKER DEALERS, RIA, REGISTERED REPRESENTATIVES, INVESTMENT ADVISORS AND OTHER CONSULTING FIRMS. 1099 (INDEPENDANT CONTRACTOR) FEES



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:	Individual
Employing firm when activities occurred which led to the complaint:	NEWBRIDGE SECURITIES CORPORATION
Allegations:	SUITABILITY, BREACH OF FIDUCIARY DUTY/BREACH OF COVENANTS OF GOOD FAITH AND FAIR DEALING, UNAUTHORIZED TRADING, CHURNING, AND FAILURE TO SUPERVISE.
Product Type:	Equity Listed (Common & Preferred Stock)
Alleged Damages:	\$150,000.00

Arbitration Information

Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.):	FINRA
Docket/Case #:	24-02116
Date Notice/Process Served:	10/04/2024
Arbitration Pending?	No
Disposition:	Settled
Disposition Date:	12/10/2024
Monetary Compensation Amount:	\$11,500.00
Individual Contribution Amount:	\$0.00

**Broker Statement**

Mr. Slavik joined Newbridge Securities on November 15, 2023. The Statement of Claim filed in this matter relates to activity that took place several years before Mr. Slavik even joined the firm. More specifically, the claimant maintained an account at Newbridge from October 2017 through March 2019. There is no way that Mr. Slavik could ever be alleged, in good faith, to have failed to supervise activity that took place some four- and one-half years before he even became associated with Newbridge. Mr. Slavik has been securities licensed and a supervising compliance officer since 1999, with no disclosures on his Form U4. It would be patently unfair to require Mr. Slavik to disclose these frivolous allegations on his U4 and besmirch his otherwise impeccable industry record. Moreover, disclosure of these factually impossible allegations on Mr. Slavik's record would serve no legitimate investor protection interest.

The "Withdrawal of Claim" for the individuals was made before the settlement amount was paid.

Claimants hereby withdraw all claims with prejudice that have been asserted in the above arbitration matter against THOMAS JOSEPH CASOLARO, ROBERT PENDELTON SPITLER, and RICHARD WAYNE SLAVIK.



End of Report

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