



IAPD Report

PHILIP FRANK RUTIGLIANO

CRD# 2136509

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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

PHILIP FRANK RUTIGLIANO (CRD# 2136509)

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 **01/08/2024**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	NEWBRIDGE SECURITIES CORPORATION	CRD# 104065	04/25/2023
IA	NFSG CORPORATION	CRD# 130814	06/08/2023

QUALIFICATIONS

This representative is currently registered in **2** 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
B	AURORA CAPITAL LLC	37924	CHESTNUT RIDGE, NY	07/10/2014 - 04/29/2021
B	BIC DISTRIBUTORS, LLC	152860	PHOENIX, AZ	08/07/2013 - 05/14/2014
IA	PNC INVESTMENTS	129052	RIVER VALE, NJ	08/03/2011 - 05/21/2013

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	2
Termination	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 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	General Securities Principal	Approved	04/25/2023
B FINRA	General Securities Representative	Approved	04/25/2023
B FINRA	Limited Representative-Prvt Scrts Ofrngs	Approved	04/25/2023
B FINRA	Private Securities Offerings Principal	Approved	04/25/2023
B Nasdaq Stock Market	General Securities Principal	Approved	04/25/2023
B Nasdaq Stock Market	General Securities Representative	Approved	04/25/2023
B Connecticut	Agent	Approved	01/08/2024
B New Jersey	Agent	Approved	04/25/2023
B New York	Agent	Approved	10/05/2023

Branch Office Locations

135 CHESTNUT RIDGE ROAD, SUITE 200
MONTVALE, NJ 07645

Employment 2 of 2

Firm Name: **NFSG CORPORATION**
Main Address: 1200 NORTH FEDERAL HIGHWAY



Qualifications

Firm ID#: SUITE 400
BOCA RATON, FL 33432
130814

	Regulator	Registration	Status	Date
IA	New Jersey	Investment Adviser Representative	Approved	06/08/2023

Branch Office Locations

NFSG CORPORATION
135 CHESTNUT RIDGE ROAD
SUITE 200
MONTVALE, NJ 07645



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

Principal/Supervisory Exams

Exam	Category	Date
General Securities Principal Examination (S24)	Series 24	10/08/1999

General Industry/Product Exams

Exam	Category	Date
Limited Representative-Private Securities Offerings (S82TO)	Series 82TO	04/25/2023
Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
General Securities Representative Examination (S7)	Series 7	01/31/1994
Investment Company Products/Variable Contracts Representative Examination (S6)	Series 6	05/09/1991

State Securities Law Exams

Exam	Category	Date
Uniform Securities Agent State Law Examination (S63)	Series 63	10/20/2009
Uniform Investment Adviser Law Examination (S65)	Series 65	10/16/1997

PROFESSIONAL DESIGNATIONS

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

Certified Financial Planner

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	07/10/2014 - 04/29/2021	AURORA CAPITAL LLC	CRD# 37924	CHESTNUT RIDGE, NY
B	08/07/2013 - 05/14/2014	BIC DISTRIBUTORS, LLC	CRD# 152860	PHOENIX, AZ
IA	08/03/2011 - 05/21/2013	PNC INVESTMENTS	CRD# 129052	RIVER VALE, NJ
B	07/25/2011 - 05/21/2013	PNC INVESTMENTS	CRD# 129052	RIVER VALE, NJ
B	05/31/2011 - 06/23/2011	VALIC FINANCIAL ADVISORS, INC.	CRD# 42803	LATHAM, NY
B	05/03/2011 - 05/23/2011	PNC INVESTMENTS	CRD# 129052	WASHINGTON TWP., N.
IA	05/03/2011 - 05/23/2011	PNC INVESTMENTS	CRD# 129052	WASHINGTON TWP., N.
B	09/16/2009 - 04/28/2011	FIFTH THIRD SECURITIES, INC.	CRD# 628	RALEIGH, NC
IA	09/16/2009 - 04/28/2011	FIFTH THIRD SECURITIES, INC.	CRD# 628	RALEIGH, NC
B	05/02/2008 - 09/02/2008	NATIONAL SECURITIES CORPORATION	CRD# 7569	STATEN ISLAND, NY
B	04/26/2006 - 06/16/2006	HSBC SECURITIES (USA) INC.	CRD# 19585	PELHAM, NY
IA	07/08/1998 - 04/18/2006	CHASE INVESTMENT SERVICES CORP.	CRD# 25574	BRONX, NY
B	09/18/1996 - 04/18/2006	CHASE INVESTMENT SERVICES CORP.	CRD# 25574	CHICAGO, IL
B	08/01/1994 - 09/18/1996	CHEMICAL INVESTMENT SERVICES CORP.	CRD# 36312	
B	11/15/1993 - 08/01/1994	LIBERTY SECURITIES CORPORATION	CRD# 14416	PURCHASE, NY
B	05/10/1991 - 11/23/1993	METLIFE SECURITIES INC.	CRD# 14251	SPRINGFIELD, MA



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 05/10/1991 - 11/23/1993	METROPOLITAN LIFE INSURANCE COMPANY	CRD# 4095	NEW YORK, 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
06/2023 - Present	NEWBRIDGE FINANCIAL SERVICES GROUP	INVESTMENT ADVISOR REPRESENTATIVE	Y	BOCA RATON, FL, United States
04/2023 - Present	NEWBRIDGE SECURITIES CORPORATION	REGISTERED REPRESENTATIVE	Y	BOCA RATON, FL, United States
04/2021 - 02/2023	KNIGHTS OF COLUMBUS	AGENT	N	FLANDERS, NJ, United States
07/2014 - 04/2021	AURORA CAPITAL LLC	REGISTERED REPRESENTATIVE	Y	NEW YORK, NY, 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)MAHONEY ASSET MANAGEMENT - CORP (DBA): 5/2023, NEW YORK, INVESTMENT RELATED, FINANCIAL ADVISOR, INSURANCE AGENT - PROVIDE FINANCIAL AND INSURANCE SERVICES. ONGOING, ASSIT CLIENTS WITH PLANNING, TIME SPENT MORE THAN 25% DURING SECURITIES TRADING HOURS.
- 2)ON OCCASION I WILL CONSULT (NON-PROFIT AND FOR PROFIT) COMPANIES LOOKING TO IMPROVE THEIR SALES PROCESS. ZERO HOURS CURRENTLY



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	2
Termination	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 2

Reporting Source:	Firm
Employing firm when activities occurred which led to the complaint:	NATIONAL SECURITIES CORP
Allegations:	SELLING AWAY
Product Type:	Other: HEDGE FUND
Alleged Damages:	\$582,000.00
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 #:	12-02277
Filing date of arbitration/CFTC reparation or civil litigation:	06/26/2012

Customer Complaint Information

Date Complaint Received:	06/28/2012
Complaint Pending?	No



Status: Settled
Status Date: 03/19/2014
Settlement Amount: \$60,000.00
Individual Contribution Amount: \$0.00

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Reporting Source: Individual
Employing firm when activities occurred which led to the complaint: NATIONAL SECURITIES CORP
Allegations: SELLING AWAY
Product Type: Other: HEDGE FUND
Alleged Damages: \$582,000.00
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 #: 12-02277
Filing date of arbitration/CFTC reparation or civil litigation: 06/26/2012

Customer Complaint Information

Date Complaint Received: 04/21/2014
Complaint Pending? No
Status: Settled
Status Date: 03/19/2014
Settlement Amount: \$60,000.00
Individual Contribution Amount: \$0.00

Broker Statement BIC DISTRIBUTORS, LLC WAS NOT AWARE OF THIS MATTER UNTIL APRIL 21, 2014. THIS IS THE DATE THAT THE MATTER WAS BROUGHT TO OUR ATTENTION.

Disclosure 2 of 2

Reporting Source: Individual
Employing firm when activities occurred which led to the complaint: CHASE INVESTMENT SERVICES CORP.
Allegations: CUSTOMER'S ATTORNEY CLIAMS UNSUITABLE & UNAUTHORIZED MUTUAL FUND INVESTMENT.



Product Type: Mutual Fund(s)

Alleged Damages: \$21,750.00

Customer Complaint Information

Date Complaint Received: 11/25/2003

Complaint Pending? No

Status: Denied

Status Date: 01/07/2004

Settlement Amount:

Individual Contribution Amount:

Broker Statement CUSTOMERS COMPLAINT DENIED IN ITS ENTIRETY.



Termination

This disclosure event involves a situation where the Investment Adviser Representative voluntarily resigned, was discharged or was permitted to resign after allegations were made that accused the Investment Adviser Representative of violating investment-related statutes, regulations, rules or industry standards of conduct; fraud or the wrongful taking of property; or failure to supervise in connection with investment-related statutes, regulations, rules or industry standards of conduct.

Disclosure 1 of 1

Reporting Source: Firm
Firm Name: PNC INVESTMENTS
Termination Type: Discharged
Termination Date: 04/29/2013
Allegations: PHILIP RUTILGLIANO WAS TERMINATED FOR VIOLATION OF FIRM POLICY, THEREBY VIOLATING HIS HEIGHTENED SUPERVISION PLAN. SPECIFICALLY, MR. RUTIGLIANO TOOK DISCRETION IN A CLIENT'S ACCOUNT. BY PURCHASING SECURITIES WITHOUT FIRST OBTAINING CLIENT AUTHORIZATION.
Product Type: Mutual Fund

Reporting Source: Individual
Firm Name: PNC INVESTMENTS
Termination Type: Discharged
Termination Date: 04/29/2013
Allegations: PHILIP RUTIGLIANO WASN TERMINATED FOR VIOLATION OF FIRM POLICY. SPECIFICALLY, IT WAS ALLEGED THAT MR. RUTIGLIANO TOOK DISCRETION IN A CLIENT'S ACCOUNT BY ALLEGEDLY PURCHASING SECURITIES WITHOUT FIRST OBTAINING CLIENT AUTHORIZATION.
Product Type: Mutual Fund
Broker Statement IN A LETTER FROM MR. RUTIGLIANO'S ATTORNEY (LAX & NEVILLE, LLP) DATED 6/13/2013 RE: STAR# 20130370428, MR. RUTIGLIANO DENIES THE ABOVE REFERENCED ALLEGATIONS. THE MATTER IS STILL OUTSTANDING AND HAS NOT BEEN RESOLVED BY FINRA AS OF THIS FILING.



End of Report

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