



## IAPD Report

# GREGORY MICHAEL NARDOLILLO

CRD# 2218022

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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

### GREGORY MICHAEL NARDOLILLO (CRD# 2218022)

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 **07/22/2022**.

### CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
<b>B</b>	APW CAPITAL, INC.	CRD# 43814	01/11/2017
<b>IA</b>	AURORA PRIVATE WEALTH, INC.	CRD# 281604	02/16/2017
<b>IA</b>	SUMMIT FINANCIAL, LLC	CRD# 299322	06/14/2021

### QUALIFICATIONS

This representative is currently registered in **1** 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
<b>IA</b>	WEALTHPLAN PARTNERS	158935	OMAHA, NE	03/06/2014 - 01/19/2017
<b>B</b>	LPL FINANCIAL LLC	6413	MORRISTOWN, NJ	02/19/2014 - 01/04/2017
<b>IA</b>	AXA ADVISORS, LLC	6627	BAYONNE, NJ	02/07/2007 - 02/27/2014

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
Termination	1



## Report Summary



## 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 1 SRO(s) through his or her employer(s).

### Employment 1 of 3

Firm Name: **APW CAPITAL, INC.**  
Main Address: 100 ENTERPRISE DRIVE, SUITE 504  
ROCKAWAY, NJ 07866  
Firm ID#: 43814

	Regulator	Registration	Status	Date
	FINRA	General Securities Principal	Approved	01/11/2017
	FINRA	General Securities Representative	Approved	01/11/2017
	FINRA	Invest. Co and Variable Contracts	Approved	01/11/2017
	Alabama	Agent	Approved	02/17/2017
	Arizona	Agent	Approved	09/05/2019
	California	Agent	Approved	12/22/2021
	Connecticut	Agent	Approved	02/21/2017
	Florida	Agent	Approved	06/07/2017
	Illinois	Agent	Approved	02/17/2017
	Massachusetts	Agent	Approved	03/17/2017
	New Jersey	Agent	Approved	02/15/2017
	New York	Agent	Approved	02/17/2017
	North Carolina	Agent	Approved	12/01/2017



## Qualifications

Regulator	Registration	Status	Date
<b>B</b> Pennsylvania	Agent	Approved	02/17/2017

### Branch Office Locations

#### COMPREHENSIVE ASSET MANAGEMENT AND SERVICING, INC.

191 Washington Street  
Morristown, NJ 07960

### Employment 2 of 3

Firm Name: **SUMMIT FINANCIAL, LLC**  
Main Address: 4 CAMPUS DRIVE  
PARSIPPANY, NJ 07054  
Firm ID#: 299322

Regulator	Registration	Status	Date
<b>IA</b> New Jersey	Investment Adviser Representative	Approved	06/14/2021

### Branch Office Locations

#### SUMMIT FINANCIAL, LLC

191 Washington Avenue  
Morristown, NJ 07960

### Employment 3 of 3

Firm Name: **AURORA PRIVATE WEALTH, INC.**  
Main Address: 100 ENTERPRISE DRIVE  
SUITE 504  
ROCKAWAY, NJ 07866  
Firm ID#: 281604

Regulator	Registration	Status	Date
<b>IA</b> New Jersey	Investment Adviser Representative	Approved	02/16/2017

### Branch Office Locations

#### AURORA PRIVATE WEALTH, INC.

191 Washington St.  
Morristown, NJ 07960



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

#### Principal/Supervisory Exams

	Exam	Category	Date
<b>B</b>	General Securities Principal Examination (S24)	Series 24	09/20/1996

#### General Industry/Product Exams

	Exam	Category	Date
<b>B</b>	Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
<b>B</b>	General Securities Representative Examination (S7)	Series 7	11/18/1994
<b>B</b>	Investment Company Products/Variable Contracts Representative Examination (S6)	Series 6	08/04/1992

#### State Securities Law Exams

	Exam	Category	Date
<b>IA</b> <b>B</b>	Uniform Combined State Law Examination (S66)	Series 66	11/19/2007
<b>B</b>	Uniform Securities Agent State Law Examination (S63)	Series 63	09/23/1993



### 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	03/06/2014 - 01/19/2017	WEALTHPLAN PARTNERS	CRD# 158935	OMAHA, NE
B	02/19/2014 - 01/04/2017	LPL FINANCIAL LLC	CRD# 6413	MORRISTOWN, NJ
IA	02/07/2007 - 02/27/2014	AXA ADVISORS, LLC	CRD# 6627	BAYONNE, NJ
B	02/01/2007 - 02/27/2014	AXA ADVISORS, LLC	CRD# 6627	BAYONNE, NJ
B	07/31/1996 - 02/09/2007	LINSCO/PRIVATE LEDGER CORP.	CRD# 6413	BAYONNE, NJ
IA	07/31/1996 - 02/09/2007	LINSCO/PRIVATE LEDGER CORP.	CRD# 6413	BAYONNE, NJ
B	02/14/1995 - 07/31/1996	MDS SECURITIES INCORPORATED	CRD# 29367	CARMEL, IN
B	10/08/1992 - 12/19/1994	NATWEST INVESTOR SERVICES CORPORATION	CRD# 17434	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
06/2021 - Present	SUMMIT FINANCIAL, LLC	INVESTMENT ADVISOR REPRESENTATIVE	Y	PARSIPPANY, NJ, United States
02/2017 - Present	AURORA PRIVATE WEALTH, INC.	WEATH ADVISOR	Y	MORRISTOWN, NJ, United States
01/2017 - Present	APW CAPITAL, INC.	REGISTERED REPRESENTATIVE	Y	ROCKAWAY, NJ, United States
02/2014 - 01/2017	FELTZ WEALTHPLAN	WEALTH ADVISOR	Y	OMAHA, NE, United States
02/2014 - 01/2017	LPL FINANCIAL LLC	REGISTERED REPRESENTATIVE	Y	BAYONNE, NJ, United States



## Registration & Employment History



### 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) Nardolillo Wealth Advantage, Inc.; Morristown, NJ; Service description: Marketing and paying of expenses; Start date: 04/2014; Title: Owner; Duties: Owner/IAR; Time spent: 50%.
- (2) SBG Group, Insurance General Agent; Minneapolis, MN; Service description: SBG Group Insurance General Agent; Start date: April 2014; Title: Insurance Agent; Duties: Insurance Agent; Time spent: 10%.
- (3) Highland Capital, Insurance General Agent; King of Prussia, PA; Service description: Highland Capital, Insurance General Agent; Start date: April 2014; Title: Insurance Agent; Duties: Insurance Agent; Time spent: 10%.
- (4) Greg Nardolillo, Investment related:No, 191 Washington St., Morristown, NJ, 07960, Independent licensing for fixed annuities and direct insurance, including term insurance, Producer, 09/26/2019, 1 hour/week, Serve as agent/producer on term life insurance policies
- (5) Kalo Brands, LLC, Not investment related, 30 Hillview Road, Lincoln Park, NJ; Promoting brand to golf courses; 5 hours/month; title is Brand Ambassador.
- (6) Summit Financial, LLC, Investment related:Yes, 191 Washington St., Morristown, NJ, 07960, Investment Advisory Business, Investment Advisor Representative, 06/10/2021, 200, Financial Advisor.
- (7) Offers Insurance As A Broker Or Agent Through Numerous Insurance Companies. Some Sales Are Through SRM, An Affiliated Company Which Is Licensed To Sell Various Insurance Products. Mr. Nardolillo Earns Both Cash And Non-Cash Compensation Based On Sales Of These Products.



## 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
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 1

**Reporting Source:** Individual

**Employing firm when activities occurred which led to the complaint:** AXA ADVISORS, LLC.

**Allegations:** A NON-CUSTOMER OF THE FIRM ALLEGES THE AGENT RECOMMENDED HIS WIFE LIQUIDATE A JOINTLY-HELD, ONE PARTY CONSENT, LINCOLN FINANCIAL VARIABLE ANNUITY. DAMAGES UNSPECIFIED.

**Product Type:** Annuity(ies) - Variable

**Alleged Damages:** \$0.00

### Customer Complaint Information

**Date Complaint Received:** 05/27/2008

**Complaint Pending?** No

**Status:** Denied

**Status Date:** 08/01/2008

**Settlement Amount:**

**Individual Contribution Amount:**

**Broker Statement** BASED UPON THE FIRM'S INVESTIGATION, IT DETERMINED THAT THE CUSTOMER'S ALLEGATIONS WERE INCONSISTENT WITH WHAT ACTUALLY TRANSPIRED AND THAT THE ASSERTIONS LACKED MERIT. THE FIRM CLOSED ITS CASE AS NO BASIS ON AUGUST 1, 2008.





## 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:** LPL Financial LLC  
**Termination Type:** Discharged  
**Termination Date:** 12/12/2016  
**Allegations:** Violation of Firm policies regarding outside business activities and private securities transactions. No Firm clients involved.  
**Product Type:** Other: Private Placements

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**Reporting Source:** Individual  
**Firm Name:** LPL Financial, LLC  
**Termination Type:** Discharged  
**Termination Date:** 12/12/2016  
**Allegations:** Violation of Firm policies regarding outside business activities and private securities transactions. No Firm clients involved.  
**Product Type:** No Product



## End of Report

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