



IAPD Report

ANTHONY KEVIN SWART

CRD# 2376424

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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>



Report Summary

ANTHONY KEVIN SWART (CRD# 2376424)

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 **02/11/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	BENJAMIN F. EDWARDS & COMPANY, INC.	CRD# 146936	05/03/2018
IA	BENJAMIN F. EDWARDS & COMPANY, INCORPORATED	CRD# 146936	05/03/2018

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **10** 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	SUNTRUST ADVISORY SERVICES, INC.	283390	LONGBOAT KEY, FL	08/16/2016 - 04/12/2018
B	SUNTRUST INVESTMENT SERVICES, INC.	17499	LONGBOAT KEY, FL	06/08/2004 - 04/12/2018
IA	SUNTRUST INVESTMENT SERVICES, INC.	17499	LONGBOAT KEY, FL	06/29/2004 - 12/31/2016

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

Employment 1 of 1

Firm Name: **BENJAMIN F. EDWARDS & COMPANY, INCORPORATED**
Main Address: ONE NORTH BRENTWOOD BOULEVARD
SUITE 850
ST. LOUIS, MO 63105
Firm ID#: 146936

	Regulator	Registration	Status	Date
B	FINRA	General Securities Representative	Approved	05/03/2018
B	Alabama	Agent	Approved	07/26/2024
B	Arizona	Agent	Approved	07/02/2018
B	Florida	Agent	Approved	06/20/2018
IA	Florida	Investment Adviser Representative	Approved	06/20/2018
B	Georgia	Agent	Approved	02/12/2026
B	New Jersey	Agent	Approved	06/29/2018
B	New York	Agent	Approved	05/03/2018
B	North Carolina	Agent	Approved	04/14/2023
B	Ohio	Agent	Approved	05/24/2018
B	Texas	Agent	Approved	06/18/2023
IA	Texas	Investment Adviser Representative	Restricted Approval	06/15/2023
B	Virginia	Agent	Approved	06/03/2024



Qualifications

Regulator	Registration	Status	Date
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Branch Office Locations

BENJAMIN F. EDWARDS & COMPANY, INCORPORATED
101 S. Palm Ave.
Sarasota, FL 34236




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
 Investment Company Products/Variable Contracts Principal Examination (S26)	Series 26	12/29/2006

General Industry/Product Exams

Exam	Category	Date
 Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
 General Securities Representative Examination (S7)	Series 7	08/09/1994

State Securities Law Exams

Exam	Category	Date
 Uniform Investment Adviser Law Examination (S65)	Series 65	11/22/1999
 Uniform Securities Agent State Law Examination (S63)	Series 63	06/24/1996

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	08/16/2016 - 04/12/2018	SUNTRUST ADVISORY SERVICES, INC.	CRD# 283390	LONGBOAT KEY, FL
B	06/08/2004 - 04/12/2018	SUNTRUST INVESTMENT SERVICES, INC.	CRD# 17499	LONGBOAT KEY, FL
IA	06/29/2004 - 12/31/2016	SUNTRUST INVESTMENT SERVICES, INC.	CRD# 17499	LONGBOAT KEY, FL
B	09/01/2000 - 06/16/2004	UBS FINANCIAL SERVICES INC.	CRD# 8174	WEEHAWKEN, NJ
IA	09/01/2000 - 06/16/2004	UBS FINANCIAL SERVICES INC.	CRD# 8174	SARASOTA, FL
B	05/09/1997 - 09/14/2000	SALOMON SMITH BARNEY INC.	CRD# 7059	NEW YORK, NY
B	08/10/1994 - 04/02/1997	J. B. HANAUER & CO.	CRD# 6958	PARSIPPANY, NJ
B	08/10/1994 - 08/27/1994	SOVEREIGN EQUITY MANAGEMENT CORP.	CRD# 20016	DEERFIELD BEACH, FL

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
05/2018 - Present	Benjamin F. Edwards & Co.	FINANCIAL ADVISOR	Y	SARASOTA, FL, United States
08/2016 - 03/2018	SunTrust Advisory Services	Investment Advisory Representative	Y	Atlanta, GA, United States
06/2004 - 03/2018	SUNTRUST SECURITIES, INC	INVESTMENT CONSULTANT	Y	SARASOTA, 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.

No information reported.



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
Customer Dispute	2
Termination	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:	Michigan
Sanction(s) Sought:	Other: Notice of Intent to Deny, Condition, or Limit Securities Agent Registration Application
Date Initiated:	06/14/2018
Docket/Case Number:	336358
URL for Regulatory Action:	
Employing firm when activity occurred which led to the regulatory action:	
Product Type:	No Product
Allegations:	The Administrator intends to deny, condition, or limit the securities agent registration application of Anthony Kevin Swart, under section 412(1) of the Securities Act, MCL 451.2412(1), because Applicant engaged in dishonest or unethical behavior in the securities industry within the previous ten years, which supports the denial, conditioning, or limitation of his registration application under the above-cited provisions of the Michigan Uniform Securities Act (2002), 2008 PA 551, MCL 451.2101 et seq.
Current Status:	Final
Resolution:	Stipulation and Order for Withdrawal



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: 09/25/2018

Sanctions Ordered: Other: Applicant and the Administrator (the "Parties") agree that the Applicant will withdraw his application to become registered as a securities agent in Michigan within fifteen (15) days after the mailing date of this Stipulation and Order.

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Reporting Source: Individual

Regulatory Action Initiated By: Michigan

Sanction(s) Sought: Other: Notice of Intent to Deny, Condition, or Limit Agent Registration Application

Date Initiated: 06/14/2018

Docket/Case Number: 336358

Employing firm when activity occurred which led to the regulatory action: Benjamin F. Edwards

Product Type: No Product

Allegations: The Department of Licensing and Regulatory Affairs for The State of Michigan has issued a Notice of Intent to Deny, Condition, or Limit the securities agent's registration application in the State of Michigan under section 412(1) of the Securities Act, MCL 451.2412(1), for the reasons set forth in the notice.

Current Status: Final

Resolution: Stipulation and Order for Withdrawal

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: 09/25/2018

Sanctions Ordered: Other: Applicant and the Administrator (the "Parties") agree that the Applicant will withdraw his application to become registered as a securities agent in Michigan within fifteen (15) days after the mailing date of this Stipulation and Order.



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: Individual

Employing firm when activities occurred which led to the complaint: SUNTRUST INVESTMENT SERVICES, INC.

Allegations: ON MARCH 3, 2005 [CUSTOMER] INVESTED \$135,000 AND \$85,000 IN TWO HARTFORD CLASSIC LEADERS OUTLOOK VARIABLE ANNUITIES THROUGH REPRESENTATIVE ANTHONY SWART. THE CLIENT ALLEGES THAT MR. SWART MISREPRESENTED THE FREE LOOK PERIOD IN WHICH SHE COULD SURRENDER HER AMNUITIES WITHOUT PENATLY BY TELLING HER SHE HAD 60 DAYS TO DO SO.

THE CONTRACTS SENT TO THE CLIENT STATE THAT SHE HAD 10 DAYS FROM THE CONTRACT ISSUE DATES OF MARCH 16 AND 17, 2005 TO SURRENDER THEM. [CUSTOMER] DID NOT SUBMIT THE SURRENDER REQUESTSD UNTIL APRIL 12, 2005 AFTER THE FREE LOOK PERIOD HAD EXPIRED.

Product Type: Annuity(ies) - Variable

Alleged Damages: \$17,000.00

Customer Complaint Information

Date Complaint Received: 05/17/2005

Complaint Pending? No

Status: Denied

Status Date: 06/13/2005

Settlement Amount:

Individual Contribution Amount:

Disclosure 2 of 2

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: UBS FINANCIAL SERVICES INC. .

Allegations: CLIENTS ALLEGE THEY WERE PLACED IN UNSUITABLE INVESTMENTS. TIME PERIOD: 1996-PRESENT.

Product Type: Equity - OTC

Alleged Damages: \$31,000.00

Customer Complaint Information



Date Complaint Received:	03/13/2003
Complaint Pending?	No
Status:	Denied
Status Date:	09/01/2003
Settlement Amount:	
Individual Contribution Amount:	



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: SUNTRUST INVESTMENT SERVICES, INC.
Termination Type: Discharged
Termination Date: 03/13/2018
Allegations: AFFIXED A COPY OF A CLIENT SIGNATURE TO A NEW UPDATED DOCUMENTS.
Product Type: No Product

Reporting Source: Individual
Firm Name: Suntrust Investment Services, Inc.
Termination Type: Discharged
Termination Date: 03/13/2018
Allegations: Affixed a copy of a client signature to a new updated documents.
Product Type: No Product



End of Report

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