IAPD Report

JOHN WILLIAM SWAINE

CRD# 4072112

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

JOHN WILLIAM SWAINE (CRD# 4072112)

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 **06/18/2024**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
IA	SECOND HALF FINANCIAL PARTNERS, LLC	CRD# 163454	10/22/2012

QUALIFICATIONS

This representative is currently registered in **0** SRO(s) and **5** 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	RAYMOND JAMES FINANCIAL SERVICES ADVISORS, INC	149018	SEBRING, FL	10/13/2009 - 04/07/2017
B	RAYMOND JAMES FINANCIAL SERVICES, INC.	6694	SEBRING, FL	09/16/2009 - 04/07/2017
B	MORGAN STANLEY SMITH BARNEY	149777	SEBRING, FL	06/01/2009 - 10/08/2009

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

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 **5** jurisdiction(s) and **0** SRO(s) through his or her employer(s).

Employment 1 of 1

Firm Name: **SECOND HALF FINANCIAL PARTNERS, LLC**

Main Address: 145 WEST CENTER AVENUE
SEBRING, FL 33870

Firm ID#: 163454

	Regulator	Registration	Status	Date
IA	Florida	Investment Adviser Representative	Approved	10/22/2012
IA	Georgia	Investment Adviser Representative	Approved	09/16/2024
IA	North Carolina	Investment Adviser Representative	Approved	06/19/2024
IA	Texas	Investment Adviser Representative	Restricted Approval	02/10/2021
IA	Virginia	Investment Adviser Representative	Approved	06/20/2024

Branch Office Locations

SECOND HALF FINANCIAL PARTNERS, LLC
145 WEST CENTER AVENUE
SEBRING, FL 33870

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

Principal/Supervisory Exams

	Exam	Category	Date
B	General Securities Sales Supervisor - General Module Examination (S10)	Series 10	09/20/2006
B	General Securities Sales Supervisor - Options Module Examination (S9)	Series 9	08/22/2006

General Industry/Product Exams

	Exam	Category	Date
B	Securities Industry Essentials Examination (SIE)	SIE	04/07/2017
B	General Securities Representative Examination (S7)	Series 7	01/10/2000

State Securities Law Exams

	Exam	Category	Date
IA	Uniform Investment Adviser Law Examination (S65)	Series 65	02/09/2004
B	Uniform Securities Agent State Law Examination (S63)	Series 63	01/12/2000

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	10/13/2009 - 04/07/2017	RAYMOND JAMES FINANCIAL SERVICES ADVISORS, INC	CRD# 149018	SEBRING, FL
B	09/16/2009 - 04/07/2017	RAYMOND JAMES FINANCIAL SERVICES, INC.	CRD# 6694	SEBRING, FL
B	06/01/2009 - 10/08/2009	MORGAN STANLEY SMITH BARNEY	CRD# 149777	SEBRING, FL
IA	06/01/2009 - 10/08/2009	MORGAN STANLEY SMITH BARNEY LLC	CRD# 149777	SEBRING, FL
IA	02/11/2004 - 06/01/2009	CITIGROUP GLOBAL MARKETS INC.	CRD# 7059	SEBRING, FL
B	12/17/2003 - 06/01/2009	CITIGROUP GLOBAL MARKETS INC.	CRD# 7059	SEBRING, FL
B	01/12/2000 - 12/15/2003	EDWARD JONES	CRD# 250	ST. LOUIS, MO

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
01/2024 - Present	Heartland Tax and Accounting, LLC	Partner	N	SEBRING, FL, United States
01/2021 - Present	Second Half Financial Partners, LLC	Manager, Financial Advisor	Y	Sebring, FL, United States
06/2018 - Present	John 3:30, LLC	Managing Member	N	Sebring, FL, United States
10/2015 - Present	Platinum Financial Partners, LLC (f/k/a U.S. Tax, LLC)	Managing Member	N	Sebring, FL, United States
07/2011 - Present	JOHN 14:6 LLC	MANAGING MEMBER	Y	SEBRING, FL, United States
08/1997 - Present	SEBRING POLICE DEPARTMENT	PART TIME POLICE OFFICER	N	SEBRING, FL, United States
05/2012 - 01/2021	SWAINE & LEIDEL WEALTH SERVICES, LLC	MANAGER/FINANCIAL ADVISOR	Y	SEBRING, FL, United States
03/2010 - 01/2018	SWAINE & LEIDEL, LLC	PRESIDENT	Y	SEBRING, FL, United States
09/2009 - 04/2017	RAYMOND JAMES FINANCIAL SERVICES	REGISTERED REPRESENTATIVE	Y	SEBRING, FL, United States

Registration & Employment History

EMPLOYMENT HISTORY

Employment Dates	Employer Name	Position	Investment Related	Employer Location
09/2009 - 04/2017	RAYMOND JAMES FINANCIAL SERVICES ADVISORS, INC	INVESTMENT ADVISOR REPRESENTATIVE	Y	ST PETERSBURG, FL, United States
07/2011 - 12/2016	LEGACY INSURANCE GROUP, LLC	MANAGING MEMBER	Y	SEBRING, FL, United States
10/2010 - 12/2016	LORDSHIP HOLDINGS LLC	MANAGING MEMBER	N	SEBRING, 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 conducted through Platinum Financial Partners, LLC - Sebring, FL. Insurance Sales Agent, started 12/2016 to present. 10 hours weekly, 5 during trading hours.

2. John 14:6 LLC - Sebring, FL. Managing Member of real estate LLC, started 7/2011 to present. 0 hours weekly, 0 during trading hours.

3. Sebring Police Department - Sebring FL. Part time Police Officer, started 8/1997 to present. 1 hour per month, 0 during trading hours.

4. Platinum Financial Partners, LLC (f/k/a U.S. Tax, LLC) - Sebring, FL. Managing Member of tax preparation LLC, started 10/2015 to present. 4 hours per month, 0 during trading hours.

5. John 3:30, LLC - Sebring, FL. Managing Member of a holding company, started 6/2018 to present. 1 hours per month, 0 during trading hours.

6. Swaine & Leidel Wealth Services - Sebring, FL - Previous RIA name kept and used as a DBA name - 05/2012 - 01/2021 RIA and 03/2021 to Present DBA name - 0 hours per month devoted - 0 hours per month devoted during securities trading hours.

7. Heartland Tax and Accounting, LLC - Sebring, FL. Partner, started 01/2024 to present. 10 hours per month, 10 during trading 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
Regulatory Event	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:	Florida Office of Financial Regulation
Sanction(s) Sought:	Cease and Desist Civil and Administrative Penalty(ies)/Fine(s)
Date Initiated:	03/12/2019
Docket/Case Number:	88460-S
URL for Regulatory Action:	
Employing firm when activity occurred which led to the regulatory action:	Swaine & Leidel Wealth Services, LLC
Product Type:	No Product
Allegations:	N/A
Current Status:	Final
Resolution:	Order
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:	03/12/2019
Sanctions Ordered:	Cease and Desist Civil and Administrative Penalty(ies)/Fine(s)

	Other: Mr. Swaine will submit to the Office proof of remuneration of the overcharged advisory fees to clients prior to the issuance of the Final Order.
Monetary Sanction 1 of 1	
Monetary Related Sanction:	Civil and Administrative Penalty(ies)/Fine(s)
Total Amount:	$2,500.00
Portion Levied against individual:	$2,500.00
Payment Plan:	
Is Payment Plan Current:	
Date Paid by individual:	03/12/2019
Was any portion of penalty waived?	No
Amount Waived:	
Regulator Statement	On March 12, 2019, the Office of Financial Regulation entered a Final Order adopting the Stipulation and Consent Agreement in the matter of John William Swaine. Mr. Swaine neither admitted nor denied the findings but consented to the entry of findings by the Office. The Office found that John William Swaine charged one or more clients an advisory fee greater than the amount authorized in the written investment agreement between the client and the investment adviser for the second quarter of the fiscal year ending in 2017. Pursuant to the Final Order, Mr. Swaine agreed to cease and desist from all present and future violations of Chapter 517, F.S. and the administrative rules thereunder; and to pay an administrative fine in the amount of $2,500.00 jointly and severally with Swaine & Leidel Wealth Services, LLC.

Reporting Source:	Individual
Regulatory Action Initiated By:	State of Florida Office of Financial Regulation
Sanction(s) Sought:	Civil and Administrative Penalty(ies)/Fine(s) Restitution
Date Initiated:	09/25/2017
Docket/Case Number:	Administrative Proceeding No.: 88460-S
Employing firm when activity occurred which led to the regulatory action:	Swaine & Leidel Wealth Services, LLC
Product Type:	No Product
Allegations:	Failed to disclose on Form ADV if fees are negotiable and that fees are prorated for any client account not managed for a full quarter. Failed to prorate fees for some client accounts during the second quarter 2017. Failed to maintain accurate invoices in second quarter 2017.
Current Status:	Final
Resolution:	Stipulation and Consent

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:	02/20/2019
Sanctions Ordered:	Civil and Administrative Penalty(ies)/Fine(s) Restitution
Monetary Sanction 1 of 2	
Monetary Related Sanction:	Restitution
Total Amount:	$5,100.00
Portion Levied against individual:	$5,100.00
Payment Plan:	Paid in full
Is Payment Plan Current:	Yes
Date Paid by individual:	
Was any portion of penalty waived?	No
Amount Waived:	
Monetary Sanction 2 of 2	
Monetary Related Sanction:	Civil and Administrative Penalty(ies)/Fine(s)
Total Amount:	$2,500.00
Portion Levied against individual:	$2,500.00
Payment Plan:	Paid in Full
Is Payment Plan Current:	Yes
Date Paid by individual:	
Was any portion of penalty waived?	No
Amount Waived:	
Broker Statement	In the second quarter of 2017, clients transferred their accounts from the firm's broker/dealer to the firm's RIA. During the transition, clients were inadvertently charged a management fee that should have been prorated. The average fee charged was less than $50 and was refunded by the RIA soon after the error was discovered.

End of Report

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