



## IAPD Report

# JONATHAN SCOTT XYNIDIS

CRD# 4174055

<b><u>Section Title</u></b>	<b><u>Page(s)</u></b>
Report Summary	1
Qualifications	2 - 3
Registration and Employment History	4 - 5
Disclosure Information	6

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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

### JONATHAN SCOTT XYNIDIS (CRD# 4174055)

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 **03/08/2022**.

### CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
<b>IA</b>	XCEL WEALTH MANAGEMENT, LLC	CRD# 158863	10/04/2011

### QUALIFICATIONS

This representative is currently registered in **0** SRO(s) and **2** 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>B</b>	PURSHE KAPLAN STERLING INVESTMENTS	35747	Holly Hill, FL	10/03/2011 - 08/16/2019
<b>IA</b>	M HOLDINGS SECURITIES, INC.	43285	DAYTONA BEACH, FL	06/30/2004 - 10/04/2011
<b>B</b>	M HOLDINGS SECURITIES, INC.	43285	DAYTONA BEACH, FL	05/28/2004 - 10/04/2011

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

#### Employment 1 of 1

Firm Name: **XCEL WEALTH MANAGEMENT, LLC**  
Main Address: 101 2ND STREET  
SUITE 402  
HOLLY HILL, FL 32117  
Firm ID#: 158863

Regulator	Registration	Status	Date
IA Florida	Investment Adviser Representative	Approved - Pending IAR CE	01/01/2026
IA Texas	Investment Adviser Representative	Restricted Approval	10/22/2019

#### Branch Office Locations

**XCEL WEALTH MANAGEMENT, LLC**  
101 2ND STREET  
SUITE 402  
HOLLY HILL, FL 32117



## 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 0 principal/supervisory exams, 3 general industry/product exams, and 1 state securities law exam.**




#### Principal/Supervisory Exams

Exam	Category	Date
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No information reported.


#### General Industry/Product Exams

Exam	Category	Date
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 Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
 Limited Representative-Equity Trader Exam (S55)	Series 55	06/19/2000
 General Securities Representative Examination (S7)	Series 7	05/31/2000

#### State Securities Law Exams

Exam	Category	Date
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 Uniform Securities Agent State Law Examination (S63)	Series 63	01/28/2002
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### 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
B	10/03/2011 - 08/16/2019	PURSHE KAPLAN STERLING INVESTMENTS	CRD# 35747	Holly Hill, FL
IA	06/30/2004 - 10/04/2011	M HOLDINGS SECURITIES, INC.	CRD# 43285	DAYTONA BEACH, FL
B	05/28/2004 - 10/04/2011	M HOLDINGS SECURITIES, INC.	CRD# 43285	DAYTONA BEACH, FL
IA	12/10/2001 - 06/17/2004	WS GRIFFITH SECURITIES, INC.	CRD# 10410	DAYTONA BEACH, FL
B	12/06/2001 - 06/17/2004	WS GRIFFITH SECURITIES, INC.	CRD# 10410	HARTFORD, CT
B	06/01/2000 - 11/02/2001	ADVANTAGE TRADING GROUP, INC.	CRD# 39118	LONGWOOD, 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
10/2011 - Present	XCEL WEALTH MANAGMENT	Managing Member and Investment Advisor Representative	Y	DAYTONA BEACH, FL, United States
10/2011 - 08/2019	PURSHE KAPLAN STERLING	REGISTERED REP	Y	ALBANY, 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. NJX LLC OWN INVESTMENT CONDO, CONDO IS RENTED A COUPLE MONTHS OF THE YEAR. MEMBER OF LLC, NO DUTIES, CONDO RENTAL.
2. PACIFIC LIFE, JOHN HANCOCK, BERKSHIRE, PHOENIX LIFE, OHIO. INVESTMENT RELATED. PO BOX 9000 NEW PORT BEACH CA 92658; PO BOX 55444 BOSTON MA 02205; 24 N. STREET, PITTSFIELD MA 01201, PO BOX 8027 BOSTON MA 02266, 1 FINANCIAL WAY CINCINNATI OH 45242, INSURANCE AND ANNUITY SALES, AGENT, START DATE 10/01, 5 HOURS MONTH,ADMINISTER INFORCE BUSINESS, LONGTERM CASE, DISABILITY INSURANCE ALSO FIXED ANNUITIES.
3. N JCX, LLC- Not Investment Related-2411 S. Palmetto Avenue, South Daytona, Florida 32119- Rental property/real estate,



## Registration & Employment History



### OTHER BUSINESS ACTIVITIES

holding company for my income-Manager-11/5/2014-Approximately 12 hours per year- Manage personal livelihood

4. Scottsmoor Duckhunters Association, LLC-Not Investment Related- 521 Halifax Avenue, Daytona Beach, Florida 32118- Hunting camp/property, holding company to share expenses for maintenance- Manager-10/3/2013- Approximately 5 hours per year-Manage property

5. Cudjoe Key Enterprises, LLC- Not Investment Related- 3290 West State Road 46, Sanford, Florida 32771- Holding company for vacation home in the Keys- Manager- 9/3/2013- Approximately 6 hours per year- Manage property

6. HOLLY HILL MARKET LLC; NOT INVESTMENT RELATED; 101 2ND STREET HOLLY HILL, FL 32117; COMMERCIAL BUILDING; MANAGING MEMBER; 07/2017; 2 HOURS/MONTH; 0 DURING TRADING HOURS; PURCHASING COMMERCIAL PROPERTY THAT OFFICE IS CURRENTLY IN.

7. Stele Fair County Georgia, LLC-Not investment related-949 Beville Rd., S. Daytona, FL 32119-Holding Corp for hunting property-Authorized member-6/5/2019-0 hrs/mth-0 during trading hrs-Recreation

8. Scraping By, LLC - Not Investment Related - 5001 NW 67th Street, Gainesville, Florida 32653 - Rental property/apartment complex - Manager - 3/2021 - 0 hrs/mth - No duties or responsibilities.



## 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
Termination	1

### 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

<b>Reporting Source:</b>	Firm
<b>Firm Name:</b>	Purshe Kaplan Sterling Investments
<b>Termination Type:</b>	Discharged
<b>Termination Date:</b>	08/16/2019
<b>Allegations:</b>	Violated firm's policy by failing to disclose an outside personal account held at Interactive Brokers.
<b>Product Type:</b>	No Product



## End of Report

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