



## IAPD Report

# DONALD BLATCH JOHNS III

CRD# 4566047

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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

### DONALD BLATCH JOHNS III (CRD# 4566047)

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 **01/21/2026**.

### CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
<b>B</b>	FINALIS SECURITIES LLC	CRD# 305908	06/06/2025
<b>IA</b>	RUGGIERO INVESTMENTS	CRD# 169180	01/07/2026

### QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **1** 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>	PHX FINANCIAL, INC.	144403	Fort Lauderdale, FL	09/13/2024 - 06/12/2025
<b>B</b>	NEWBRIDGE SECURITIES CORPORATION	104065	BOCA RATON, FL	06/13/2023 - 09/10/2024
<b>B</b>	SW FINANCIAL	145012	MELBOURNE BEACH, FL	01/09/2020 - 05/11/2023

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
Judgment/Lien	4



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

#### Employment 1 of 2

Firm Name: **RUGGIERO INVESTMENTS**  
Main Address: 500 S. AUSTRALIAN AVENUE  
SUITE 608  
WEST PALM BEACH, FL 33401  
Firm ID#: 169180

Regulator	Registration	Status	Date
IA Florida	Investment Adviser Representative	Approved	01/07/2026

#### Branch Office Locations

**RUGGIERO INVESTMENTS**  
3159 Alzante Circle  
Suite 102B  
Melbourne, FL 32940

#### Employment 2 of 2

Firm Name: **FINALIS SECURITIES LLC**  
Main Address: 450 LEXINGTON AVE  
NEW YORK, NY 10017  
Firm ID#: 305908

Regulator	Registration	Status	Date
B FINRA	General Securities Representative	Approved	06/06/2025
B Florida	Agent	Approved	07/09/2025

#### Branch Office Locations

**DEALSYTE SECURITIES LLC**  
Fort Lauderdale, FL



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

#### 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
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 General Securities Representative Examination (S7)	Series 7	09/16/2002
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#### State Securities Law Exams

Exam	Category	Date
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  Uniform Combined State Law Examination (S66)	Series 66	12/09/2025
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 Uniform Securities Agent State Law Examination (S63)	Series 63	10/27/2002
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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	09/13/2024 - 06/12/2025	PHX FINANCIAL, INC.	CRD# 144403	Fort Lauderdale, FL
B	06/13/2023 - 09/10/2024	NEWBRIDGE SECURITIES CORPORATION	CRD# 104065	BOCA RATON, FL
B	01/09/2020 - 05/11/2023	SW FINANCIAL	CRD# 145012	MELBOURNE BEACH, F
B	11/04/2019 - 02/05/2020	ARIVE CAPITAL MARKETS	CRD# 8060	North Miami Beach, FL
B	10/19/2016 - 06/26/2019	WESTPARK CAPITAL, INC.	CRD# 39914	Fort Lauderdale, FL
B	09/21/2016 - 11/11/2016	WOODSTOCK FINANCIAL GROUP, INC.	CRD# 38095	Boca Raton, FL
B	10/19/2015 - 10/20/2016	PRIMEX	CRD# 29394	Boca Raton, FL
B	03/31/2015 - 10/20/2015	NEWPORT COAST SECURITIES, INC.	CRD# 16944	FORT LAUDERDALE, FL
B	04/28/2014 - 05/13/2014	WOODSTOCK FINANCIAL GROUP, INC.	CRD# 38095	Deerfield Beach, FL
B	02/13/2012 - 05/02/2014	HUNTER SCOTT FINANCIAL LLC.	CRD# 45559	DEERFIELD BEACH, FL
B	08/17/2009 - 02/24/2012	STERNE AGEE FINANCIAL SERVICES, INC.	CRD# 18456	FORT LAUDERDALE, FL
B	10/31/2005 - 08/17/2009	EMMETT A LARKIN COMPANY, INC.	CRD# 6625	FORT LAUDERDALE, FL
B	09/17/2002 - 11/14/2005	SALOMON GREY FINANCIAL CORPORATION	CRD# 43413	DALLAS, TX

#### 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
12/2025 - Present	Ruggiero Consulting, LLC	Financial Advisor	Y	Melbourne, FL, United States



## Registration & Employment History

### EMPLOYMENT HISTORY

Employment Dates	Employer Name	Position	Investment Related	Employer Location
12/2025 - Present	Ruggiero Investments	Investment Advisor Representative	Y	Melbourne, FL, United States
06/2025 - Present	Finalis Securities, LLC	Registered Representative	Y	New York, NY, United States
05/2025 - 11/2025	Level Bridge Capital	Marketing/Capital Raising	Y	Boca Raton, FL, United States
09/2024 - 05/2025	Phoenix Financial Services	Registered Representative	Y	Ft Lauderdale, FL, United States
05/2023 - 09/2024	NEWBRIDGE SECURITIES CORPORATION	REGISTERED REPRESENTATIVE	Y	BOCA RATON, FL, United States
01/2020 - 05/2023	SW FINANCIAL	REGISTERED REPRESENTATIVE	Y	FT LAUDERDALE, FL, United States
07/2019 - 12/2022	Simply CBD FL L.L.C.	Partner	N	Orlando, FL, United States
11/2019 - 01/2020	Arive Capital Markets	Registered Representative	Y	Brooklyn, NY, United States
10/2016 - 06/2019	WestPark Capital inc	Registered Rep	Y	Fort Lauderdale, CA, United States
10/2016 - 10/2016	Woodstock Financial Group, INc	Registered Rep	Y	Woodstock, GA, United States
10/2015 - 09/2016	Primex	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. Ruggiero Consulting; investment related; Address: 500 S Australian Ave Suite #608, West Palm, FL, 33401; Nature: Offers Lending and Equity through Private Securities and Lender; Position: Registered Representative; Start Date: 12/17/2025; 10 hours per month; 10 hours during trading session; Duties: Reaching out prospecting and helping clients with both debt and equity capital raise as well as funding.
2. Ruggiero Investments; investment related; Address: 500 S Australian Ave Suite #608, West Palm, FL, 33401; Nature: Registered Investment Advisor (RIA); Position: Investment Advisor Representative; Start Date: 12/17/2025; 130 hours per month; 130 hours during trading session; Duties: Investment Advisor Managing Money on a Fee based
3. Finalis Securities, LLC, Broker-Dealer- Investment related, 228 Park Ave S, New York, NY 10003, Position: Registered Representative, Start Date: 06/2025, Approximate 10 hours month all during market hours, Offers Lending and Equity through Private Securities and Lender.



## Registration & Employment History



### OTHER BUSINESS ACTIVITIES

4. Reliable Accountants, LLC; 34-25 28th Ave Astoria NY 11103; Accounting Practice; position; employee, accounting practice; Not Investment-Related; 12/17/2025; Approximate 2 hrs Month to business 5 hrs during market 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
Customer Dispute	1
Judgment/Lien	4

### 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:** Firm

**Employing firm when activities occurred which led to the complaint:** STERNE AGEE FINANCIAL SERVICES, INC.

**Allegations:** COMPLAINANT ALLEGES UNSUITABLE RECOMMENDATIONS, EXCESSIVE TRADING, NEGLIGENT MISREPRESENTATIONS AND BREACH OF FIDUCIARY DUTY ALL RESULTING IN LOSSES IN 2011.

**Product Type:** Equity-OTC

**Alleged Damages:** \$160,000.00

**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 #:** 12-03481

**Filing date of arbitration/CFTC reparation or civil litigation:** 12/06/2012

### Customer Complaint Information

**Date Complaint Received:** 12/07/2012



**Complaint Pending?** No  
**Status:** Settled  
**Status Date:** 10/18/2013  
**Settlement Amount:** \$41,250.00  
**Individual Contribution Amount:** \$0.00  
**Firm Statement** TO AVOID THE BURDEN AND EXPENSE OF A PROTRACTED DISPUTE, AND WITHOUT ANY ADMISSION OF LIABILITY, THE FIRM ELECTED TO SETTLE. THE REP DID NOT CONTRIBUTE TO THE SETTLEMENT.

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**Reporting Source:** Individual  
**Employing firm when activities occurred which led to the complaint:** STERNE AGEE FINANCIAL SERVICES, INC.  
**Allegations:** COMPLAINANT ALLEGES UNSUITABLE RECOMMENDATIONS, EXCESSIVE TRADING, NEGLIGENT MISREPRESENTATIONS AND BREACH OF FIDUCIARY DUTY ALL RESULTING IN LOSSES IN 2011.  
**Product Type:** Equity-OTC  
**Alleged Damages:** \$160,000.00  
**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 #:** 12-03481  
**Filing date of arbitration/CFTC reparation or civil litigation:** 12/06/2012

### Customer Complaint Information

**Date Complaint Received:** 12/07/2012  
**Complaint Pending?** No  
**Status:** Settled  
**Status Date:** 10/18/2013  
**Settlement Amount:** \$41,250.00  
**Individual Contribution Amount:** \$0.00  
**Broker Statement** DONALD JOHNS STRONGLY DISAGREES WITH THE ALLEGATIONS BEING MADE.



## Judgment/Lien

This disclosure event involves an unsatisfied and outstanding judgment or lien against the Investment Adviser Representative.

### Disclosure 1 of 4

**Reporting Source:** Individual  
**Judgment/Lien Holder:** JPMORGAN CHASE BANK  
**Judgment/Lien Amount:** \$21,526.72  
**Judgment/Lien Type:** Civil  
**Date Filed with Court:** 09/18/2024  
**Date Individual Learned:** 10/18/2024  
**Type of Court:** State Court  
**Name of Court:** BREVARD CIRCUIT COURT - CIVIL DIVISION - TITUSVILLE  
**Location of Court:** BREVARD  
**Docket/Case #:** 52022CC037854  
**Judgment/Lien Outstanding?** Yes

### Disclosure 2 of 4

**Reporting Source:** Individual  
**Judgment/Lien Holder:** INTERNAL REVENUE SERVICE - IRS  
**Judgment/Lien Amount:** \$28,133.42  
**Judgment/Lien Type:** Tax  
**Date Filed with Court:** 04/10/2024  
**Date Individual Learned:** 04/20/2024  
**Type of Court:** State Court  
**Name of Court:** CLERK OF COURT BREVARD COUNTY  
**Location of Court:** TITUSVILLE, FL  
**Docket/Case #:** 491400524  
**Judgment/Lien Outstanding?** Yes

### Disclosure 3 of 4

**Reporting Source:** Individual  
**Judgment/Lien Holder:** INTERNAL REVENUE SERVICE - IRS  
**Judgment/Lien Amount:** \$30,212.00  
**Judgment/Lien Type:** Tax  
**Date Filed with Court:** 12/27/2023  
**Date Individual Learned:** 12/26/2023  
**Type of Court:** COUNTY COURT  
**Name of Court:** BREVARD CIRCUIT COURT - CIVIL DIVISION



**Location of Court:** TITUSVILLE, FL

**Docket/Case #:** 2023269045

**Judgment/Lien Outstanding?** Yes

**Disclosure 4 of 4**

**Reporting Source:** Individual

**Judgment/Lien Holder:** IRS

**Judgment/Lien Amount:** \$21,455.82

**Judgment/Lien Type:** Tax

**Date Filed with Court:** 04/29/2016

**Date Individual Learned:** 05/11/2016

**Type of Court:** County Courthouse

**Name of Court:** County Courthouse

**Location of Court:** Broward County, Ft. Lauderdale, FL

**Docket/Case #:** 211017216

**Judgment/Lien Outstanding?** Yes

**Broker Statement** The lien is for the tax years 2012 - 2014. On 9/21/2016 I paid off the tax liability for tax year 2012. I'm in the process of executing an installment agreement with IRS.



## End of Report

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