IAPD Report

RICHARD S SIMINOU

CRD# 5605796

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

RICHARD S SIMINOU (CRD# 5605796)

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 **02/04/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
IA	KINGSWOOD WEALTH ADVISORS, LLC	CRD# 288792	06/04/2021
B	KINGSWOOD CAPITAL PARTNERS, LLC	CRD# 288898	02/01/2024

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
B	KINGSWOOD CAPITAL PARTNERS, LLC	288898	New York, NY	03/09/2021 - 09/18/2023
B	BENCHMARK INVESTMENTS, LLC	103792	New York, NY	02/20/2019 - 07/28/2023
IA	BENCHMARK ADVISORY SERVICES, LLC	305662	NEW YORK, NY	06/17/2021 - 07/13/2022

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	2
Customer Dispute	3

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 2

Firm Name: **KINGSWOOD CAPITAL PARTNERS, LLC**

Main Address: 11440 W. BERNARDO CT.
SUITE 300
SAN DIEGO, CA 92127

Firm ID#: 288898

	Regulator	Registration	Status	Date
B	FINRA	General Securities Representative	Approved	02/01/2024
B	Arizona	Agent	Approved	03/18/2024
B	California	Agent	Approved	03/25/2024
B	Connecticut	Agent	Approved	03/18/2025
B	Iowa	Agent	Approved	04/01/2024
B	New York	Agent	Approved	03/14/2024
B	Texas	Agent	Approved	05/13/2024

Branch Office Locations

126 E 56 st
Suite 301
New York, NY 10022

Employment 2 of 2

Firm Name: **KINGSWOOD WEALTH ADVISORS, LLC**

Main Address: 11440 W. BERNARDO COURT
SUITE 300
SAN DIEGO, CA 92127

Firm ID#: 288792

Qualifications

	Regulator	Registration	Status	Date
IA	Arizona	Investment Adviser Representative	Approved	03/18/2024
IA	Arkansas	Investment Adviser Representative	Approved	04/25/2023
IA	California	Investment Adviser Representative	Approved	06/04/2021
IA	Colorado	Investment Adviser Representative	Approved	03/28/2023
IA	Connecticut	Investment Adviser Representative	Approved	04/06/2023
IA	Georgia	Investment Adviser Representative	Approved	04/14/2023
IA	New York	Investment Adviser Representative	Approved	06/04/2021
IA	North Carolina	Investment Adviser Representative	Approved	04/13/2023
IA	Texas	Investment Adviser Representative	Restricted Approval	04/13/2023

Branch Office Locations

KINGSWOOD WEALTH ADVISORS, LLC
17 Battery Pl
Suite 625
New York, NY 10004

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
No information reported.		

General Industry/Product Exams

	Exam	Category	Date
B	Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
B	General Securities Representative Examination (S7)	Series 7	11/12/2008

State Securities Law Exams

	Exam	Category	Date
IA	Uniform Investment Adviser Law Examination (S65)	Series 65	06/03/2021
B	Uniform Securities Agent State Law Examination (S63)	Series 63	11/22/2008

PROFESSIONAL DESIGNATIONS

This section details that the representative has reported **0** professional designation(s).

No information reported.

Only professional designations listed in Question 8 of the Form U4 will appear in this section if the appropriate box is checked and verified by the issuing organization at the time of the filing. Learn more about eligible designations at IARD and NASAA.

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	03/09/2021 - 09/18/2023	KINGSWOOD CAPITAL PARTNERS, LLC	CRD# 288898	New York, NY
B	02/20/2019 - 07/28/2023	BENCHMARK INVESTMENTS, LLC	CRD# 103792	New York, NY
IA	06/17/2021 - 07/13/2022	BENCHMARK ADVISORY SERVICES, LLC	CRD# 305662	NEW YORK, NY
B	03/21/2019 - 04/06/2021	CAPE SECURITIES INC.	CRD# 7072	MCDONOUGH, GA
B	10/12/2020 - 11/09/2020	KINGSWOOD CAPITAL PARTNERS, LLC	CRD# 288898	SAN DIEGO, CA
B	11/13/2008 - 02/21/2019	NEWBRIDGE SECURITIES CORPORATION	CRD# 104065	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
05/2023 - Present	KINGSWOOD CAPITAL PARTNERS, LLC	Mass Transfer	Y	New York, NY, United States
10/2020 - Present	Kingswood Capital Partners, LLC	REGISTERED REPRESENTATIVE	Y	San Diego, CA, United States
02/2019 - 07/2023	Benchmark Investments, Inc.	registered representative	Y	New York, NY, United States
10/2008 - 02/2019	NEWBRIDGE SECURITIES CORP	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)Insurance Agent
-Not Investment related
-17 Battery Place #625
Ny,NY 10004
-Insurance

Registration & Employment History

OTHER BUSINESS ACTIVITIES

-Title N/A
-Start date 7-8 years ago
-hours 0
-Trading hours 0
-responsibility :Licensed for life and annuity however no business is generated.

2) Siminou Wealth Management
- yes investment related
- 17 Batter Place # 625 New York, NY 10004
- Advisory
-owner
- 7/5/2022
- 100 hours
- 100 hours
- RIA business at Kingswood

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	2
Customer Dispute	3

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 2

Reporting Source:	Regulator
Regulatory Action Initiated By:	Maryland
Sanction(s) Sought:	Revocation
Date Initiated:	09/18/2023
Docket/Case Number:	2023-0260
URL for Regulatory Action:	
Employing firm when activity occurred which led to the regulatory action:	Kingswood Capital Partners, LLC
Product Type:	No Product
Allegations:	On or about August 18, 2023, without admitting or denying the findings, Siminou entered into Acceptance, Waiver and consent ("AWC") with FINRA wherein Siminou consented to the entry of findings that he engaged in excessive and unsuitable trading in the accounts of two elderly customers. Siminou recommended purchases which resulted in an annualized cost-to-equity ratio requiring investments to grow by more than 29 percent and 34 percent, respectively, just to break even. As a result of Siminou's unsuitable recommendations, the customers paid $17,021 in commissions and fees. Siminou was suspended for a period of four (4) months and agreed to pay a fine in the amount of $5,000 and to pay restitution of $17,201 plus interest.
Current Status:	Final
Resolution:	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:	02/13/2024
Sanctions Ordered:	Civil and Administrative Penalty(ies)/Fine(s) Other: Order of Revocation was vacated. Respondent agreed to pay fine of $500. Respondent agreed to not reapply as a broker-dealer, agent, investment adviser or investment adviser representative in Maryland.
Monetary Sanction 1 of 1	
Monetary Related Sanction:	Civil and Administrative Penalty(ies)/Fine(s)
Total Amount:	$500.00
Portion Levied against individual:	$500.00
Payment Plan:	
Is Payment Plan Current:	
Date Paid by individual:	02/13/2024
Was any portion of penalty waived?	No
Amount Waived:	

Reporting Source:	Individual
Regulatory Action Initiated By:	Maryland
Sanction(s) Sought:	Revocation
Date Initiated:	09/18/2023
Docket/Case Number:	2023-0260
Employing firm when activity occurred which led to the regulatory action:	Kingswood Capital Partners, LLC
Product Type:	No Product
Allegations:	On or about August 18, 2023, without admitting or denying the findings, Siminou entered into Acceptance, Waiver and consent ("AWC") with FINRA wherein Siminou consented to the entry of findings that he engaged in excessive and unsuitable trading in the accounts of two elderly customers. Siminou recommended purchases which resulted in an annualized cost-to-equity ratio requiring investments to grow by more than 29 percent and 34 percent, respectively, just to break even. As a result of Siminou's unsuitable recommendations, the customers paid $17,021 in commissions and fees. Siminou was suspended for a period of four (4) months and agreed to pay a fine in the amount of $5,000 and to pay restitution of $17,201 plus interest.
Current Status:	Final

Resolution:	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:	02/13/2024
Sanctions Ordered:	Civil and Administrative Penalty(ies)/Fine(s) Other: Order of Revocation was vacated. Respondent agreed to pay fine of $500. Respondent agreed to not reapply as a broker-dealer, agent, investment adviser or investment adviser representative in Maryland.
Monetary Sanction 1 of 1	
Monetary Related Sanction:	Civil and Administrative Penalty(ies)/Fine(s)
Total Amount:	$500.00
Portion Levied against individual:	$500.00
Payment Plan:	
Is Payment Plan Current:	
Date Paid by individual:	02/13/2024
Was any portion of penalty waived?	No
Amount Waived:	

Disclosure 2 of 2

Reporting Source:	Regulator
Regulatory Action Initiated By:	FINRA
Sanction(s) Sought:	Other: N/A
Date Initiated:	08/31/2023
Docket/Case Number:	2019064511205
Employing firm when activity occurred which led to the regulatory action:	Newbridge Securities Corporation
Product Type:	Other: Unspecified Securities
Allegations:	Without admitting or denying the findings, Siminou consented to the sanctions and to the entry of findings that he excessively and unsuitably traded two elderly customer accounts. The findings stated that this trading resulted in an annualized cost-to-equity ratio of over 29 percent and 34 percent, respectively. As a result of Siminou's unsuitable recommendations, the customers paid $17,021 in commissions and fees.
Current Status:	Final
Resolution:	Acceptance, Waiver & Consent(AWC)

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:	08/31/2023
Sanctions Ordered:	Civil and Administrative Penalty(ies)/Fine(s) Restitution Suspension
If the regulator is the SEC, CFTC, or an SRO, did the action result in a finding of a willful violation or failure to supervise?	No
(1) willfully violated any provision of the Securities Act of 1933, the Securities Exchange Act of 1934, the Investment Advisers Act of 1940, the Investment Company Act of 1940, the Commodity Exchange Act, or any rule or regulation under any of such Acts, or any of the rules of the Municipal Securities Rulemaking Board, or to have been unable to comply with any provision of such Act, rule or regulation?	
(2) willfully aided, abetted, counseled, commanded, induced, or procured the violation by any person of any provision of the Securities Act of 1933, the Securities Exchange Act of 1934, the Investment Advisers Act of 1940, the Investment Company Act of 1940, the Commodity Exchange Act, or any rule or regulation under any of such Acts, or any of the rules of the Municipal Securities Rulemaking Board? or	

(3) failed reasonably to supervise another person subject to your supervision, with a view to preventing the violation by such person of any provision of the Securities Act of 1933, the Securities Exchange Act of 1934, the Investment Advisers Act of 1940, the Investment Company Act of 1940, the Commodity Exchange Act, or any rule or regulation under any such Acts, or any of the rules of the Municipal Securities Rulemaking Board?	
Sanction 1 of 1	
Sanction Type:	Suspension
Capacities Affected:	All capacities
Duration:	four months
Start Date:	09/18/2023
End Date:	01/17/2024
Monetary Sanction 1 of 2	
Monetary Related Sanction:	Civil and Administrative Penalty(ies)/Fine(s)
Total Amount:	$5,000.00
Portion Levied against individual:	$5,000.00
Payment Plan:	
Is Payment Plan Current:	Yes
Date Paid by individual:	09/19/2023
Was any portion of penalty waived?	No
Amount Waived:	
Monetary Sanction 2 of 2	
Monetary Related Sanction:	Restitution
Total Amount:	$17,021.00
Portion Levied against individual:	$17,021.00
Payment Plan:	plus interest
Is Payment Plan Current:	
Date Paid by individual:	
Was any portion of penalty waived?	No

Amount Waived:

Reporting Source:	Individual
Regulatory Action Initiated By:	FINRA
Sanction(s) Sought:	Other: N/A
Date Initiated:	08/31/2023
Docket/Case Number:	2019064511205
Employing firm when activity occurred which led to the regulatory action:	Newbridge Securities Corporation
Product Type:	Other: Unspecified Securities
Allegations:	Without admitting or denying the findings, Siminou consented to the sanctions and to the entry of findings that he excessively and unsuitably traded two elderly customer accounts. The findings stated that this trading resulted in an annualized cost-to-equity ratio of over 29 percent and 34 percent, respectively. As a result of Siminou's unsuitable recommendations, the customers paid $17,021 in commissions and fees.
Current Status:	Final
Resolution:	Acceptance, Waiver & Consent(AWC)
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:	08/31/2023
Sanctions Ordered:	Civil and Administrative Penalty(ies)/Fine(s) Restitution Suspension
Sanction 1 of 1	
Sanction Type:	Suspension
Capacities Affected:	All capacities
Duration:	Four months
Start Date:	09/18/2023
End Date:	01/17/2024
Monetary Sanction 1 of 2	
Monetary Related Sanction:	Civil and Administrative Penalty(ies)/Fine(s)
Total Amount:	$5,000.00
Portion Levied against individual:	$5,000.00
Payment Plan:	

Is Payment Plan Current:	Yes
Date Paid by individual:	09/19/2023
Was any portion of penalty waived?	No
Amount Waived:	
Monetary Sanction 2 of 2	
Monetary Related Sanction:	Restitution
Total Amount:	$17,021.00
Portion Levied against individual:	$17,021.00
Payment Plan:	
Is Payment Plan Current:	
Date Paid by individual:	
Was any portion of penalty waived?	No
Amount Waived:	

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 3

Reporting Source:	Firm
Employing firm when activities occurred which led to the complaint:	NEWBRIDGE SECURITIES CORPORATION
Allegations:	SUITABILITY, FAILURE TO SUPERVISE AND NEGLIGENCE.
Product Type:	Equity Listed (Common & Preferred Stock)
Alleged Damages:	$9,380.04

Arbitration Information

Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.):	FINRA
Docket/Case #:	23-02368
Date Notice/Process Served:	08/31/2023
Arbitration Pending?	No
Disposition:	Settled
Disposition Date:	10/17/2023
Monetary Compensation Amount:	$16,065.07
Individual Contribution Amount:	$16,065.07
Firm Statement	CORRECTED AS [REDACTED] IS THE ONLY CLIENT OF RICHARD S. SIMINOU STATEMENT OF CLAIM HAD ADDITIONAL CLIENTS AND DAMAGES BUT CORRECTING TO ONLY REFLECT MR [REDACTED] CLAIM OF $9380.04 CLAIM HAS BEEN ALSO SETTLED AND ALL CLAIMS AGAINST MR SIMINOU HAVE BEEN WITHDRAWN WITH PREJUDICE. WAITING ON COURT DOCUMENT TO REFLECT THAT. Case has been closed. and no longer pending

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	NEWBRIDGE SECURITIES CORPORATION
Allegations:	SUITABILITY, FAILURE TO SUPERVISE AND NEGLIGENCE.
Product Type:	Equity Listed (Common & Preferred Stock)
Alleged Damages:	$9,380.04

Arbitration Information

Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.):	FINRA
Docket/Case #:	23-02368
Date Notice/Process Served:	08/31/2023
Arbitration Pending?	No
Disposition:	Settled
Disposition Date:	10/17/2023
Monetary Compensation Amount:	$16,065.07
Individual Contribution Amount:	$16,065.07
Broker Statement	CORRECTED AS [REDACTED] IS THE ONLY CLIENT OF RICHARD S. SIMINOU STATEMENT OF CLAIM HAD ADDITIONAL CLIENTS AND DAMAGES BUT CORRECTING TO ONLY REFLECT MR [REDACTED] CLAIM OF $9380.04 CLAIM HAS BEEN ALSO SETTLED AND ALL CLAIMS AGAINST MR SIMINOU HAVE BEEN WITHDRAWN WITH PREJUDICE. WAITING ON COURT DOCUMENT TO REFLECT THAT. Case has been closed. and no longer pending

Disclosure 2 of 3

Reporting Source:	Firm
Employing firm when activities occurred which led to the complaint:	NEWBRIDGE SECURITIES CORPORATION
Allegations:	Claimant alleges: Improper Investment Recommendations, Failure to perform due diligence, unsuitable investments, Failure to supervise and Negligence
Product Type:	Other: ALTERNATIVE INVESTMENTS
Alleged Damages:	$175,000.00
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 #:	22-00102
Filing date of arbitration/CFTC reparation or civil litigation:	01/14/2022

Customer Complaint Information

Date Complaint Received:	01/14/2022
Complaint Pending?	No
Status:	Settled

Status Date: 04/25/2023

Settlement Amount: $37,500.00

Individual Contribution Amount: $0.00

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: NEWBRIDGE SECURITIES CORPORATION

Allegations: Claimant alleges: Improper Investment Recommendations, Failure to perform due diligence, unsuitable investments, Failure to supervise and Negligence

Product Type: Other: ALTERNATIVE INVESTMENTS

Alleged Damages: $175,000.00

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 #: 22-00102

Filing date of arbitration/CFTC reparation or civil litigation: 01/14/2022

Customer Complaint Information

Date Complaint Received: 05/11/2023

Complaint Pending? No

Status: Settled

Status Date: 04/25/2023

Settlement Amount: $37,500.00

Individual Contribution Amount: $0.00

Disclosure 3 of 3

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: NEWBRIDGE SECURITIES CORPORATION

Allegations: CLIENT CLAIMS POOR PERFORMANCE AND IS VERY DISSATISFIED ABOUT THE WAY THE ACCOUNT WAS HANDLED.

Product Type: Equity Listed (Common & Preferred Stock)

Alleged Damages: $12,000.00

Alleged Damages Amount CLIENT'S CLAIM FOR RECOVERY OF MONIES IS 2/3 OF THE COMMISSIONS

Explanation (if amount not exact):	CHARGED ON THE ACCOUT OR $12,000.
Is this an oral complaint?	No
Is this a written complaint?	Yes
Is this an arbitration/CFTC reparation or civil litigation?	No

Customer Complaint Information

Date Complaint Received:	11/10/2016
Complaint Pending?	No
Status:	Closed/No Action
Status Date:	11/14/2018
Settlement Amount:	
Individual Contribution Amount:	

End of Report

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