



## IAPD Report

# ROBERT VAUGHN WHITAKER

CRD# 6768021

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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

### ROBERT VAUGHN WHITAKER (CRD# 6768021)

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 **04/02/2026**.

### CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
<b>B</b>	NEWBRIDGE SECURITIES CORPORATION	CRD# 104065	06/19/2022
<b>IA</b>	NFSG CORPORATION	CRD# 130814	09/28/2023

### QUALIFICATIONS

This representative is currently registered in **2** SRO(s) and **8** 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
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No information reported.

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
Criminal	1
Financial	1
Judgment/Lien	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 **8** jurisdiction(s) and 2 SRO(s) through his or her employer(s).

### Employment 1 of 2

Firm Name: **NEWBRIDGE SECURITIES CORPORATION**  
Main Address: 1200 NORTH FEDERAL HIGHWAY  
SUITE 400  
BOCA RATON, FL 33432  
Firm ID#: 104065

Regulator	Registration	Status	Date
<b>B</b> FINRA	General Securities Representative	Approved	06/21/2022
<b>B</b> Nasdaq Stock Market	General Securities Representative	Approved	06/19/2022
<b>B</b> Florida	Agent	Approved	07/05/2022
<b>B</b> Georgia	Agent	Approved	03/06/2024
<b>B</b> Indiana	Agent	Approved	03/07/2025
<b>B</b> Louisiana	Agent	Approved	04/02/2026
<b>B</b> New York	Agent	Approved	05/22/2025
<b>B</b> North Carolina	Agent	Approved	01/13/2025
<b>B</b> Texas	Agent	Approved	04/01/2026
<b>B</b> Virginia	Agent	Approved	02/04/2025

### Branch Office Locations


3251 WEDGEWOOD LANE  
THE VILLAGES, FL 32162

### Employment 2 of 2



## Qualifications

Firm Name: **NFSG CORPORATION**  
Main Address: 1200 NORTH FEDERAL HIGHWAY  
SUITE 400  
BOCA RATON, FL 33432  
Firm ID#: 130814

Regulator	Registration	Status	Date
 Florida	Investment Adviser Representative	Approved	09/28/2023

### Branch Office Locations

**NFSG CORPORATION**  
3251 WEDGEWOOD LANE  
THE VILLAGES, FL 32162



## 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 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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General Securities Representative Examination (S7TO)	Series 7TO	06/18/2022
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Securities Industry Essentials Examination (SIE)	SIE	08/24/2020
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#### State Securities Law Exams

Exam	Category	Date
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Uniform Combined State Law Examination (S66)	Series 66	09/09/2023
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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:

No information reported.

### 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
03/2017 - Present	NEWBRIDGE SECURITIES CORPORATION	Independent Insurance Sales	Y	THE VILLAGES, FL, United States
12/2016 - 03/2017	Unemployed	Moved to Florida. I had to release my residence insurance license in Kentucky in order to activate my Florida Residence insurance License.	N	Louisville, KY, United States
08/2012 - 12/2016	Independent Insurance Agent	Independent Insurance Agent	Y	Louisville, KY, United States
11/2012 - 11/2016	Macys	Sales/ Men's Suits	N	Louisville, KY, 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) MICHAEL WHITAKER AND ASSOCIATES (DBA): 3251 WEDGEWOOD LANE, THE VILLAGES, FLORIDA; 5/2022; REGISTERED REPRESENTATIVE/LICENSED INSURANCE AGENT; INVESTMENT RELATED; TME SPENT ON THIS ACTIVITY DURING REGULAR BUSINESS HOURS IS 100%.
- (2) INSURANCE: 3251 WEDGEWOOD LANE, THE VILLAGES, FLORIDA; 2/2017; INSURANCE AGENT; PROVIDING INSURANCE SALES FOR LIFE, HEALTH AND FIXED ANNUITIES, RECOMMEND INSURANCE PRODUCTS THAT FIT THEIR NEEDS, INVESTMENT RELATED, TIME SPENT ON THIS ACTIVITY DURING REGULAR BUSINESS HOURS IS 100%.
- (3) WHITAKER WEALTH FINANCIAL SERVICES LLC: (DBA): 3251 WEDGEWOOD LANE, THE VILLAGES, FLORIDA, 9/2020; PRESIDENT; INSURANCE SALES; INVESTMENT RELATED; TIME SPENT ON THIS ACTIVITY DURING REGULAR BUSINESS HOURS IS 100%.



## 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
Criminal	1
Financial	1
Judgment/Lien	3

### Criminal

This disclosure event involves a criminal charge against the Investment Adviser Representative that has resulted in a dismissal, plea, acquittal or conviction. The criminal matter may relate to any felony or certain misdemeanor offenses (e.g., bribery, perjury, forgery, counterfeiting, extortion, fraud, wrongful taking of property).

#### Disclosure 1 of 1

<b>Reporting Source:</b>	Individual
<b>Formal Charges were brought in:</b>	CIRCUIT COURT OF BREVARD COUNTY
<b>Name of Court:</b>	CIRCUIT COURT OF BREVARD COUNTY
<b>Location of Court:</b>	BREVARD COUNTY, FLORIDA
<b>Docket/Case #:</b>	85-2521-CFA
<b>Charge Date:</b>	06/04/1985
<b>Charge(s) 1 of 1</b>	
<b>Formal Charge(s)/Description:</b>	POSSESSION OF A WEAPON - SHORT BARREL SHOTGUN
<b>No of Counts:</b>	1
<b>Felony or Misdemeanor:</b>	Felony
<b>Plea for each charge:</b>	NOT GUILTY
<b>Disposition of charge:</b>	Reduced
<b>Date of Amended Charge:</b>	07/24/1985
<b>Charge was Amended or reduced to:</b>	REDUCED TO ATTEMPTED POSSESSION OF A SHORT BARRELED SHOTGUN CONTRARY TO SECTIONS 790.221 AND 777.04(1) ON 777.04(4)(D) FLORIDA STATUTES
<b>Amended No of Counts:</b>	1
<b>Amended Charge:</b>	Misdemeanor
<b>Amended Plea:</b>	ENTERED A PLEA OF NOLO CONTENDERE



<b>Disposition of Amended Charge:</b>	SELF-PROBATION FOR A PERIOD OF 12 MONTHS
<b>Current Status:</b>	Final
<b>Status Date:</b>	07/24/1986
<b>Disposition Date:</b>	07/24/1986
<b>Sentence/Penalty:</b>	JUDGMENT OF GUILT AND PLACED ON SELF PROBATION FOR 12 MONTHS, PROBATION SATISFED ON 7/24/1986, ADJUDICATION WAS WITHHELD, PAID \$20.00 TO VICTIMS CRIME COMPENSATION TRUST FUND, \$2.00 COURT COST SECTION 943.25 F.S. AND \$50.00 MANDATORY FINE FOR COURT COSTS.



## Financial

This disclosure event involves a final bankruptcy, compromise with one or more creditors, or Securities Investor Protection Corporation liquidation that occurred within the last 10 years and that involved the Investment Adviser Representative or an organization/investment adviser that the Investment Adviser Representative controlled that occurred within the last 10 years.

### Disclosure 1 of 1

<b>Reporting Source:</b>	Individual
<b>Action Type:</b>	Compromise
<b>Action Date:</b>	10/29/2021
<b>Organization Investment-Related?</b>	
<b>Type of Court:</b>	Circuit Court Broward County Florida
<b>Name of Court:</b>	Circuit Court of the Seventeenth Judicial Circuit in and for Broward County, Florida
<b>Location of Court:</b>	Broward County, Florida
<b>Docket/Case #:</b>	CACE09061437 (05)
<b>Action Pending?</b>	No
<b>Disposition:</b>	Satisfied/Released
<b>Disposition Date:</b>	10/29/2021
<b>If a compromise with creditor, provide:</b>	
<b>Name of Creditor:</b>	Helene Gumora
<b>Original Amount Owed:</b>	\$41,480.00
<b>Terms Reached with Creditor:</b>	Paid \$9,054 thru garnishments prior to settlement. Paid \$28,000 as full and final settlement and satisfaction of the Judgement entered 01/01/2010.
<b>Broker Statement</b>	I am trying to pay off all creditors.



## Judgment/Lien

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

### Disclosure 1 of 3

**Reporting Source:** Individual  
**Judgment/Lien Holder:** INTERNAL REVENUE SERVICE  
**Judgment/Lien Amount:** \$8,036.00  
**Judgment/Lien Type:** Tax  
**Date Filed with Court:** 10/25/2018  
**Date Individual Learned:** 10/30/2018  
**Type of Court:** LAKE CITY CIRCUIT COURT  
**Name of Court:** LAKE CITY CIRCUIT COURT  
**Location of Court:** LAKE CITY, FLORIDA  
**Docket/Case #:** 2018125494  
**Judgment/Lien Outstanding?** Yes  
**Broker Statement** I am working on paying off this amount.

### Disclosure 2 of 3

**Reporting Source:** Individual  
**Judgment/Lien Holder:** TWG CAPITAL INC  
**Judgment/Lien Amount:** \$70,879.00  
**Judgment/Lien Type:** Civil  
**Date Filed with Court:** 05/09/2011  
**Date Individual Learned:** 05/30/2011  
**Type of Court:** MARION COUNTY SUPERIOR COURT  
**Name of Court:** MARION COUNTY SUPERIOR COURT  
**Location of Court:** MARION COUNTY, INDIANA  
**Docket/Case #:** 49D071001PL001120  
**Judgment/Lien Outstanding?** Yes  
**Broker Statement** This was a business loan

### Disclosure 3 of 3

**Reporting Source:** Individual  
**Judgment/Lien Holder:** Amex  
**Judgment/Lien Amount:** \$48,857.00  
**Judgment/Lien Type:** Civil  
**Date Filed with Court:** 10/22/2009  
**Date Individual Learned:** 01/28/2010



<b>Type of Court:</b>	Circuit Court
<b>Name of Court:</b>	Circuit court
<b>Location of Court:</b>	Broward County, Florida
<b>Judgment/Lien Outstanding?</b>	Yes
<b>Broker Statement</b>	Business related expenses



## End of Report

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