



IAPD Report

JOHN KIRKLAND MOY

CRD# 848350

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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 KIRKLAND MOY (CRD# 848350)

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 **04/20/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	NEWBRIDGE SECURITIES CORPORATION	CRD# 104065	06/07/2019
IA	NFSG CORPORATION	CRD# 130814	09/12/2019

QUALIFICATIONS

This representative is currently registered in **2** SRO(s) and **17** 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	INTERNATIONAL ASSETS ADVISORY, LLC	10645	ORLANDO, FL	05/03/2019 - 06/06/2019
IA	NATIONAL ASSET MANAGEMENT, INC.	115927	BOCA RATON, FL	04/13/2018 - 04/29/2019
B	NATIONAL SECURITIES CORPORATION	7569	BOCA RATON, FL	03/15/2018 - 04/29/2019

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	4
Termination	2



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 **17** 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 FINRA	General Securities Representative	Approved	06/07/2019
B Nasdaq Stock Market	General Securities Representative	Approved	06/07/2019
B Arizona	Agent	Approved	09/13/2019
B California	Agent	Approved	09/13/2019
B Delaware	Agent	Approved	05/28/2021
B District of Columbia	Agent	Approved	09/19/2019
B Florida	Agent	Approved	09/12/2019
B Georgia	Agent	Approved	11/05/2021
B Louisiana	Agent	Approved	06/05/2020
B Maryland	Agent	Approved	09/19/2019
B Nevada	Agent	Approved	01/21/2022
B New York	Agent	Approved	06/24/2020
B Pennsylvania	Agent	Approved	12/15/2021



Qualifications

Regulator	Registration	Status	Date
B South Carolina	Agent	Approved	08/17/2021
B South Dakota	Agent	Approved	02/26/2025
B Texas	Agent	Approved	01/07/2022
B Virginia	Agent	Approved	09/16/2019
B West Virginia	Agent	Approved	04/27/2020
B Wisconsin	Agent	Approved	12/23/2021

Branch Office Locations

BALTIMORE, MD

Employment 2 of 2

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

Regulator	Registration	Status	Date
IA Florida	Investment Adviser Representative	Approved	09/12/2019
IA Louisiana	Investment Adviser Representative	Approved	06/05/2020
IA Maryland	Investment Adviser Representative	Approved	07/07/2022
IA Texas	Investment Adviser Representative	Restricted Approval	12/01/2021

Branch Office Locations

NFSG CORPORATION
 BALTIMORE, MD



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

Principal/Supervisory Exams

Exam	Category	Date
General Securities Principal Examination (S24)	Series 24	06/02/1980

General Industry/Product Exams

Exam	Category	Date
Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
General Securities Representative Examination (S7)	Series 7	01/21/1978

State Securities Law Exams

Exam	Category	Date
Uniform Investment Adviser Law Examination (S65)	Series 65	01/13/1994
Uniform Securities Agent State Law Examination (S63)	Series 63	04/20/1981

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	05/03/2019 - 06/06/2019	INTERNATIONAL ASSETS ADVISORY, LLC	CRD# 10645	ORLANDO, FL
IA	04/13/2018 - 04/29/2019	NATIONAL ASSET MANAGEMENT, INC.	CRD# 115927	BOCA RATON, FL
B	03/15/2018 - 04/29/2019	NATIONAL SECURITIES CORPORATION	CRD# 7569	BOCA RATON, FL
B	08/11/2017 - 03/29/2018	MORGAN STANLEY	CRD# 149777	WEST PALM BEACH, FL
IA	08/11/2017 - 03/29/2018	MORGAN STANLEY	CRD# 149777	WEST PALM BEACH, FL
B	09/16/2005 - 08/15/2017	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	CRD# 7691	WEST PALM BEACH, FL
IA	09/16/2005 - 08/15/2017	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	CRD# 7691	WEST PALM BEACH, FL
B	07/01/2003 - 09/19/2005	WACHOVIA SECURITIES, LLC	CRD# 19616	ST. LOUIS, MO
IA	07/01/2003 - 09/19/2005	WACHOVIA SECURITIES, LLC	CRD# 19616	BALTIMORE, MD
IA	06/05/1998 - 07/01/2003	PRUDENTIAL SECURITIES INCORPORATED	CRD# 7471	BALTIMORE, MD
B	05/31/1998 - 07/01/2003	PRUDENTIAL SECURITIES INCORPORATED	CRD# 7471	NEW YORK, NY
B	03/08/1991 - 06/10/1998	DEAN WITTER REYNOLDS INC.	CRD# 7556	PURCHASE, NY
B	04/11/1988 - 04/01/1991	LEHMAN BROTHERS INC.	CRD# 7506	NEW YORK, NY
B	02/28/1986 - 04/11/1988	E. F. HUTTON & COMPANY INC	CRD# 235	
B	11/06/1984 - 02/24/1986	LIDLAW ADAMS & PECK INC.	CRD# 1481	
B	05/11/1984 - 10/26/1984	PAINWEBBER INCORPORATED	CRD# 8174	
B	11/25/1981 - 05/30/1984	PRUDENTIAL-BACHE SECURITIES INC.	CRD# 7471	



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	11/24/1980 - 12/10/1981	WHEAT, FIRST SECURITIES, INC.	CRD# 6124	
B	03/13/1979 - 12/07/1980	BROKERS EXCHANGE, INC.	CRD# 7894	
B	02/01/1978 - 12/07/1980	SALKIN, WELCH & CO., INCORPORATED	CRD# 4124	

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
06/2019 - Present	NEWBRIDGE SECURITIES CORPORATION	REGISTERED REPRESENTATIVE	Y	BOCA RATON, FL, United States
06/2019 - Present	NFSG CORPORATION	INVESTMENT ADVISOR REPRESENTATIVE	Y	BOCA RATON, FL, United States
04/2019 - 06/2019	INTERNATIONAL ASSETS ADVISORY, LLC	REGISTERED REPRESENTATIVE	Y	WEST PALM BEACH, FL, United States
04/2019 - 06/2019	INTERNATIONAL ASSETS INVESTMENT MANAGEMENT, LLC	INVESTMENT ADVISOR	Y	WEST PALM BEACH, FL, United States
03/2018 - 04/2019	NATIONAL ASSET MANAGEMENT	INVESTMENT ADVISOR REPRESENTATIVE	Y	BOCA RATON, FL, United States
03/2018 - 04/2019	NATIONAL SECURITIES CORP	REGISTERED REPRESENTATIVE	Y	BOCA RATON, FL, United States
10/2017 - 03/2018	Morgan Stanley Private Bank, National Association	Financial Advisor	Y	NEW YORK, NY, United States
08/2017 - 03/2018	MORGAN STANLEY	FINANCIAL ADVISOR	Y	WEST PALM BEACH, FL, United States
09/2005 - 08/2017	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	FINANCIAL ADVISOR	Y	WASHINGTON, DC, United States



Registration & Employment History



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) JOHN MOY OWNER RENTAL PROPERTY - BALTIMORE, MD - 04/2023 - NOT INVESTMENT RELATED - RENTAL PROPERTY INCOME - 100 PERCENT INTEREST AS OWNER - TIME SPENT AS NEEDED - ONGOING.
- 2) JOHN MOY INSURANCE - BALTIMORE, MD - 03/2023 - INSURANCE AND FIXED INSURANCE SALES - ONGOING



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	4
Termination	2

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 4

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	NEWBRIDGE SECURITIES CORPORATION
Allegations:	Breach of Fiduciary Duty, Negligence, Negligent Supervision, Fraud, Breach of Contract
Product Type:	Equity Listed (Common & Preferred Stock)
Alleged Damages:	\$100,000.00
Alleged Damages Amount Explanation (if amount not exact):	DAMAGES FROM 100,000 TO 500,000
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 #:	22-02821
Filing date of arbitration/CFTC reparation or civil litigation:	12/12/2022

**Customer Complaint Information**

Date Complaint Received: 12/13/2022
Complaint Pending? No
Status: Settled
Status Date: 02/29/2024
Settlement Amount: \$30,000.00
Individual Contribution Amount: \$0.00

Disclosure 2 of 4

Reporting Source: Firm
Employing firm when activities occurred which led to the complaint: NATIONAL SECURITIES CORP
Allegations: SUITABILITY
Product Type: Annuity-Fixed
Alleged Damages: \$45,000.00
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: 09/26/2019
Complaint Pending? No
Status: Evolved into Arbitration/CFTC reparation (the individual is a named party)
Status Date: 03/15/2021
Settlement Amount:
Individual Contribution Amount:

Arbitration Information

Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.): FINRA
Docket/Case #: 21-00584
Date Notice/Process Served: 03/15/2021
Arbitration Pending? No
Disposition: Settled
Disposition Date: 03/23/2022
Monetary Compensation Amount: \$50,000.00



Individual Contribution Amount: \$40,000.00

Reporting Source: Individual
Employing firm when activities occurred which led to the complaint: NATIONAL SECURITIES CORP

Allegations: SUITABILITY
Product Type: Annuity-Fixed

Alleged Damages: \$45,000.00

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: 09/26/2019

Complaint Pending? No

Status: Evolved into Arbitration/CFTC reparation (the individual is a named party)

Status Date: 03/03/2021

Settlement Amount:

Individual Contribution Amount:

Arbitration Information

Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.): FINRA

Docket/Case #: 21-00584

Date Notice/Process Served: 03/04/2021

Arbitration Pending? No

Disposition: Settled

Disposition Date: 03/23/2022

Monetary Compensation Amount: \$50,000.00

Individual Contribution Amount: \$40,000.00

Disclosure 3 of 4

Reporting Source: Firm
Employing firm when activities occurred which led to the complaint: Merrill Lynch, Pierce, Fenner & Smith Incorporated

Allegations: The Customers allege unsuitable investment recommendations in 2015.



Product Type: Equity-OTC
Equity Listed (Common & Preferred Stock)

Alleged Damages: \$145,000.00

Arbitration Information

Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.): FINRA

Docket/Case #: 17-01156

Date Notice/Process Served: 05/05/2017

Arbitration Pending? No

Disposition: Settled

Disposition Date: 11/15/2017

Monetary Compensation Amount: \$65,000.00

Individual Contribution Amount: \$0.00

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: Merrill Lynch, Pierce, Fenner & Smith Incorporated

Allegations: The Customers allege unsuitable investment recommendations in 2015.

Product Type: Equity-OTC
Equity Listed (Common & Preferred Stock)

Alleged Damages: \$145,000.00

Arbitration Information

Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.): FINRA

Docket/Case #: 17-01156

Date Notice/Process Served: 05/05/2017

Arbitration Pending? No

Disposition: Settled

Disposition Date: 11/15/2017

Monetary Compensation Amount: \$65,000.00

Individual Contribution Amount: \$0.00

Disclosure 4 of 4

Reporting Source: Regulator



Employing firm when activities occurred which led to the complaint: SHEARSON LEHMAN BROTHERS INC.

Allegations: SUITABILITY; CHURNING; ACCOUNT RELATED-NEGLIGENCE; BRCH OF FIDUCIARY DT; BREACH OF CONTRACT; MISREPRESENTATION

Product Type:

Alleged Damages: \$1,500,000.00

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: UNKNOWN - CASE #93-01283

Date Notice/Process Served: 04/27/1993

Arbitration Pending? No

Disposition: Other

Disposition Date: 08/03/1994

Disposition Detail: AWARD AGAINST PARTY
MOY WAS JOINTLY AND SEVERALLY LIABLE FOR \$32,809.00, EXCLUSIVE OF INTEREST IN DAMAGES

Reporting Source: Firm

Employing firm when activities occurred which led to the complaint: SHEARSON LEHMAN BROTHERS INC.

Allegations: CLAIMANTS ALLEGE NEGLIGENCE, FRAUD, BREACH OF FIDUCIARY DUTY, NEGLIGENT SUPERVISION AND VIOLATION OF FEDERAL AND STATE LAWS REGARDING [CUSTOMER'S] ACCOUNT. ALLEGED DAMAGES: \$1,500,000.00.

Product Type: No Product

Alleged Damages: \$1,500,000.00

Customer Complaint Information

Date Complaint Received: 04/30/1993

Complaint Pending? No

Status: Arbitration/Reparation

Status Date: 04/30/1993

Settlement Amount:

Individual Contribution Amount:

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: NASD; 93-01283

Date Notice/Process Served: 04/30/1993



Arbitration Pending? No
Disposition: Award to Customer
Disposition Date: 08/03/1994
Monetary Compensation Amount: \$32,809.00
Individual Contribution Amount: \$0.00

Civil Litigation Information

Court Details: STATE LITIGATION - CHARLES COUNTY MARYLAND
DOCKET/CASE#: 92-1054
Date Notice/Process Served: 06/17/1992
Litigation Pending? No
Disposition: Other
Disposition Date: 04/30/1993

Firm Statement STATE LITIGATION COMPELLED INTO ARBITRATION; AWARD OF \$32,809.00 IN FAVOR OF [CUSTOMER] ONLY. ALL OTHER CLAIMS WERE DISMISSED. [CUSTOMER], INDIVIDUALLY, [CUSTOMER] AND [CUSTOMER], A TRUSTEES, AND [CUSTOMER]. CLAIMED FOR \$500,000 IN COMPENSATORY DAMAGES AND \$1 MILLION IN PUNITIVE DAMAGES. AFTER 4 DAYS OF HEARING [CUSTOMER] WAS AWARDED \$32,809. ALL OTHER CLAIMS WERE DISMISSED. FOR FURTHER INFORMATION CONTACT [BROKER DEALER CONTACT PERSON] (212)816-7256

Reporting Source: Individual
Employing firm when activities occurred which led to the complaint: SHEARSON LEHMAN BROTHERS INC.
Allegations: ALLEGED NEGLIGENCE, FRAUD, BREACH OF FIDUCIARY DUTY, NEGLIGENT SUPERVISION AND VIOLATION OF FEDERAL AND STATE LAWS REGARDING [CUSTOMER'S] ACCOUNT, ALLEGED DAMAGES \$1,500,000.00
Product Type: No Product
Alleged Damages: \$1,500,000.00
Is this an oral complaint? No
Is this a written complaint? Yes
Is this an arbitration/CFTC reparation or civil litigation?

Customer Complaint Information

Date Complaint Received: 04/27/1993
Complaint Pending? No
Status: Evolved into Arbitration/CFTC reparation (the individual is a named party)
Status Date: 04/27/1993
Settlement Amount:



Individual Contribution Amount:

Arbitration Information

Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.): FINRA

Docket/Case #: 93-01283

Date Notice/Process Served: 04/27/1993

Arbitration Pending? No

Disposition: Award to Customer

Disposition Date: 08/03/1994

Monetary Compensation Amount: \$32,809.00

Individual Contribution Amount: \$0.00

Broker Statement AWARD OF \$32,809.00 IN FAVOR OF [CUSTOMER] ONLY, ALL OTHER CLAIMS WERE DISMISSED. [CUSTOMER'S] OBJECTIVE WAS INCOME WITH RISK. SHE PURCHASED THE FIRM'S RECOMMENDATIONS. CLAIMANTS HAD OVER 10 ACCOUNTS WITH BROKER. ALLEGATIONS WERE MADE OVER A YEAR AFTER BROKER HAD LEFT SHEARSON. THE FIRM, NOT THE BROKER PAID THE AWARD.



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 2

Reporting Source: Firm
Firm Name: NATIONAL SECURITIES CORP
Termination Type: Discharged
Termination Date: 04/05/2019
Allegations: Violation of firm policies and procedures associated with the recommendation of variable annuity liquidations.
Product Type: Annuity-Variable

Reporting Source: Individual
Firm Name: NATIONAL ASSET MANAGEMENT, INC.
Termination Type: Discharged
Termination Date: 04/05/2019
Allegations: VIOLATION OF FIRM POLICIES AND PROCEDURES ASSOCIATED WITH THE RECOMMENDATION OF VARIABLE ANNUITY LIQUIDATIONS.
Product Type: Annuity-Variable

Disclosure 2 of 2

Reporting Source: Firm
Firm Name: Morgan Stanley Wealth Management
Termination Type: Discharged
Termination Date: 03/02/2018
Allegations: FA was discharged after allegations regarding his transition from another Firm, including client allegations involving the opening of accounts.
Product Type: No Product

Reporting Source: Individual
Firm Name: Morgan Stanley Wealth Management
Termination Type: Discharged
Termination Date: 03/02/2018
Allegations: FA was discharged after allegations regarding his transition from another Firm, including client allegations involving the opening of accounts.
Product Type: No Product



End of Report

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