

BrokerCheck Report

JOHN HENRY SWON IV

CRD# 5591686

<u>Section Title</u>	<u>Page(s)</u>
Report Summary	1
Broker Qualifications	2 - 3
Registration and Employment History	5 - 6
Disclosure Events	7

About BrokerCheck®

BrokerCheck offers information on all current, and many former, registered securities brokers, and all current and former registered securities firms. FINRA strongly encourages investors to use BrokerCheck to check the background of securities brokers and brokerage firms before deciding to conduct, or continue to conduct, business with them.

- **What is included in a BrokerCheck report?**

- BrokerCheck reports for individual brokers include information such as employment history, professional qualifications, disciplinary actions, criminal convictions, civil judgments and arbitration awards. BrokerCheck reports for brokerage firms include information on a firm's profile, history, and operations, as well as many of the same disclosure events mentioned above.

- Please note that the information contained in a BrokerCheck 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 broker or brokerage firm, or concluded through a negotiated settlement with no admission or finding of wrongdoing.

- **Where did this information come from?**

- The information contained in BrokerCheck comes from FINRA's Central Registration Depository, or CRD® and is a combination of:

- o information FINRA and/or the Securities and Exchange Commission (SEC) require brokers and brokerage firms to submit as part of the registration and licensing process, and
- o information that regulators report regarding disciplinary actions or allegations against firms or brokers.

- **How current is this information?**

- Generally, active brokerage firms and brokers are required to update their professional and disciplinary information in CRD within 30 days. Under most circumstances, information reported by brokerage firms, brokers and regulators is available in BrokerCheck the next business day.

- **What if I want to check the background of an investment adviser firm or investment adviser representative?**

- To check the background of an investment adviser firm or representative, you can search for the firm or individual in BrokerCheck. If your search is successful, click on the link provided to view the available licensing and registration information in the SEC's Investment Adviser Public Disclosure (IAPD) website at <https://www.adviserinfo.sec.gov>. In the alternative, you may search the IAPD website directly or contact your state securities regulator at <http://www.finra.org/Investors/ToolsCalculators/BrokerCheck/P455414>.

- **Are there other resources I can use to check the background of investment professionals?**

- FINRA recommends that you learn as much as possible about an investment professional before deciding to work with them. Your state securities regulator can help you research brokers and investment adviser representatives doing business in your state.



Using this site/information means that you accept the FINRA BrokerCheck Terms and Conditions. A complete list of Terms and Conditions can be found at

brokercheck.finra.org



For additional information about the contents of this report, please refer to the User Guidance or www.finra.org/brokercheck. It provides a glossary of terms and a list of frequently asked questions, as well as additional resources.

[For more information about FINRA, visit www.finra.org.](http://www.finra.org)

Thank you for using FINRA BrokerCheck.

JOHN H. SWON IV

CRD# 5591686

This broker is not currently registered.

Report Summary for this Broker

This report summary provides an overview of the broker's professional background and conduct. Additional information can be found in the detailed report.

Broker Qualifications

This broker is not currently registered.

This broker has passed:

- 0 Principal/Supervisory Exams
- 2 General Industry/Product Exams
- 1 State Securities Law Exam

Registration History

This broker was previously registered with the following securities firm(s):

- B ROYAL ALLIANCE ASSOCIATES, INC.**
CRD# 23131
BLOOMINGTON, MN
10/2012 - 04/2021
- B NYLIFE SECURITIES LLC**
CRD# 5167
EDINA, MN
11/2010 - 10/2012
- B EDWARD JONES**
CRD# 250
ST. LOUIS, MO
09/2010 - 10/2010

Disclosure Events

All individuals registered to sell securities or provide investment advice are required to disclose customer complaints and arbitrations, regulatory actions, employment terminations, bankruptcy filings, and criminal or civil judicial proceedings.

Are there events disclosed about this broker? **Yes**

The following types of disclosures have been reported:

Type	Count
Customer Dispute	1
Termination	2

Investment Adviser Representative Information

The information below represents the individual's record as a broker. For details on this individual's record as an investment adviser representative, visit the SEC's Investment Adviser Public Disclosure website at

<https://www.adviserinfo.sec.gov>

Broker Qualifications



Registrations

This section provides the self-regulatory organizations (SROs) and U.S. states/territories the broker is currently registered and licensed with, the category of each license, and the date on which it became effective. This section also provides, for every brokerage firm with which the broker is currently employed, the address of each branch where the broker works.

This broker is not currently registered.



Broker Qualifications

Industry Exams this Broker has Passed

This section includes all securities industry exams that the broker has passed. Under limited circumstances, a broker may attain a registration after receiving an exam waiver based on exams the broker has passed and/or qualifying work experience. Any exam waivers that the broker has received 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
No information reported.		

General Industry/Product Exams

Exam	Category	Date
B Securities Industry Essentials Examination	SIE	10/01/2018
B General Securities Representative Examination	Series 7	02/11/2009

State Securities Law Exams

Exam	Category	Date
B IA Uniform Combined State Law Examination	Series 66	04/09/2009

Additional information about the above exams or other exams FINRA administers to brokers and other securities professionals can be found at www.finra.org/brokerqualifications/registeredrep/.

Broker Qualifications



Professional Designations

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

No information reported.



Registration and Employment History

Registration History

The broker previously was registered with the following firms:

Registration Dates	Firm Name	CRD#	Branch Location
B 10/2012 - 04/2021	ROYAL ALLIANCE ASSOCIATES, INC.	23131	BLOOMINGTON, MN
B 11/2010 - 10/2012	NYLIFE SECURITIES LLC	5167	EDINA, MN
B 09/2010 - 10/2010	EDWARD JONES	250	ST. LOUIS, MO
B 02/2009 - 04/2010	RBC CAPITAL MARKETS CORPORATION	31194	MINNEAPOLIS, MN

Employment History

This section provides up to 10 years of an individual broker's employment history as reported by the individual broker on the most recently filed Form U4.

Please note that the broker is required to provide this information only while registered with FINRA or a national securities exchange and the information is not updated via Form U4 after the broker ceases to be registered. Therefore, an employment end date of "Present" may not reflect the broker's current employment status.

Employment	Employer Name	Position	Investment Related	Employer Location
10/2012 - Present	FOCUS FINANCIAL	ADVISORY REPRESENTATIVE	Y	BLOOMINGTON, MN, United States
10/2012 - Present	ROYAL ALLIANCE	REG REP	Y	BLOOMINGTON, MN, United States
03/2011 - 09/2012	EAGLE STRATEGIES LLC	INVESTMENT ADVISOR	Y	EDINA, MN, United States
11/2010 - 09/2012	NEW YORK LIFE	AGENT	Y	EDINA, MN, United States
11/2010 - 09/2012	NYLIFE SECURITIES LLC	REG REP	Y	EDINA, MN, United States

Other Business Activities

This section includes information, if any, as provided by the broker regarding other business activities the broker 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) FOCUS FINANCIAL; 3800 AMERICAN BOULEVARD WEST, SUITE 1140, BLOOMINGTON, MN 55431; INVESTMENT RELATED-INSURANCE; AGENT; START DATE 10/15/2012; 2 HOURS PER MONTH; 2 HOURS DURING TRADING HOURS; SALE AND SERVICE OF FIXED INSURANCE PRODUCTS.



Registration and Employment History

Other Business Activities, continued

2) FOCUS FINANCIAL; 3800 AMERICAN BOULEVARD WEST, SUITE 1140, BLOOMINGTON, MN 55431; INVESTMENT RELATED-INVESTMENT ADVISORY; INVESTMENT ADVISOR REPRESENTATIVE; START DATE 10/15/2012; 50 HOURS PER MONTH; 50 HOURS DURING TRADING HOURS; MONITOR INVESTOR PORTFOLIOS FOR CLIENTS

3) EDINA 4TH OF JULY PARADE COMMITTEE; EDINA COMMUNITY FOUNDATION 5250 GRANDVIEW SQUARE, EDINA, MN 55436; NOT INVESTMENT RELATED-COMMITTEE CHAIR; START DATE 1/28/2013; 12 HOURS PER MONTH; 3 HOURS DURING TRADING HOURS; DUTIES INCLUDE ALL ASPECTS OF ORGANIZING THE EVENT- CONTACTING ACTS TO PERFORM, WORK WITH OTHER MEMBER OF THE 15 PERSON COMMITTEE TO ESTABLISH A THEME, WORK WITH VARIOUS CIVIC ORGANIZATIONS THAT HAVE A PRESENCE AT THE EVENT, COORDINATE THE ACTUAL DAY OF THE EVENT.

4) CPA, TAX SERVICES, BOOKKEEPING, AND/OR ACCOUNTING SERVICES; 3800 AMERICAN BLVD W., SUITE 1140, BLOOMINGTON, MN 55431; THIS IS NOT AN INVESTMENT RELATED BUSINESS. IT IS ONLY PROVIDED TO CLIENTS OF HE AND ASSOCIATE ADVISOR. START DATE 3-1-2013 (20 HOURS MONTH/4 HOURS DURING SECURITIES TRADING HOURS/MOST DURING MARCH AND APRIL) ; DUTIES: DOING TAX PREPARATION AS A TAX PREPARER REGISTERED WITH THE IRS.

5) FOCUS FINANCIAL NETWORK

POSITION: EMPLOYEE NATURE: CORPORATION INVESTMENT RELATED: YES NUMBER OF HOURS: 60 INVESTMENT RELATED HOURS: 8 START DATE: 01/01/2014

ADDRESS: 3800 AMERICAN BLVD W, STE 1140, BLOOMINGTON MN 55431

DESCRIPTION: PROVIDE PORTFOLIO REVIEWS AND INVESTMENT ADVICE



Disclosure Events

What you should know about reported disclosure events:

1. All individuals registered to sell securities or provide investment advice are required to disclose customer complaints and arbitrations, regulatory actions, employment terminations, bankruptcy filings, and criminal or civil judicial proceedings.
2. **Certain thresholds must be met before an event is reported to CRD, for example:**
 - o A law enforcement agency must file formal charges before a broker is required to disclose a particular criminal event.
 - o A customer dispute must involve allegations that a broker engaged in activity that violates certain rules or conduct governing the industry and that the activity resulted in damages of at least \$5,000.
 - o
3. **Disclosure events in BrokerCheck reports come from different sources:**
 - o As mentioned at the beginning of this report, information contained in BrokerCheck comes from brokers, brokerage 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 BrokerCheck report. The different versions will be separated by a solid line with the reporting source labeled.
 - o
4. **There are different statuses and dispositions for disclosure events:**
 - o A disclosure event may have a status of *pending*, *on appeal*, or *final*.
 - § A "pending" event involves allegations that have not been proven or formally adjudicated.
 - § An event that is "on appeal" involves allegations that have been adjudicated but are currently being appealed.
 - § A "final" event has been concluded and its resolution is not subject to change.
 - o A final 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 involves an agreement by the parties to resolve the matter. Please note that brokers and brokerage firms may choose to settle customer disputes or regulatory matters for business or other reasons.
 - § A "resolved" matter usually involves no payment to the customer and no finding of wrongdoing on the part of the individual broker. Such matters generally involve customer disputes.

For your convenience, below is a matrix of the number and status of disclosure events involving this broker. Further information regarding these events can be found in the subsequent pages of this report. You also may wish to contact the broker to obtain further information regarding these events.

	Pending	Final	On Appeal
Customer Dispute	1	0	N/A
Termination	N/A	2	N/A



Disclosure Event Details

When evaluating this information, please keep in mind that a disclosure event may be pending or involve allegations that are contested and have not been resolved or proven. The matter may, in the end, be withdrawn, dismissed, resolved in favor of the broker, or concluded through a negotiated settlement for certain business reasons (e.g., to maintain customer relationships or to limit the litigation costs associated with disputing the allegations) with no admission or finding of wrongdoing.

This report provides the information exactly as it was reported to CRD and therefore some of the specific data fields contained in the report may be blank if the information was not provided to CRD.

Customer Dispute - Pending

This type of disclosure event involves (1) a pending consumer-initiated, investment-related arbitration or civil suit that contains allegations of sales practice violations against the broker; or (2) a pending, consumer-initiated, investment-related written complaint containing allegations that the broker engaged in, sales practice violations resulting in compensatory damages of at least \$5,000, forgery, theft, or misappropriation, or conversion of funds or securities.

Disclosure 1 of 1

Reporting Source:	Firm
Employing firm when activities occurred which led to the complaint:	ROYAL ALLIANCE ASSOCIATES: FOCUS FINANCIAL
Allegations:	CLIENT ALLEGES THAT THE REPRESENTATIVE "MISAPPROPRIATED OR OTHERWISE MISMANAGED FUNDS ENTRUSTED TO HIM" AS AN INVESTMENT ADVISORY REPRESENTATIVE OF FOCUS FINANCIAL NETWORK INC
Product Type:	No Product
Alleged Damages:	\$110,000.00
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:	04/01/2021
Complaint Pending?	Yes
Settlement Amount:	

**Individual Contribution
Amount:**

Reporting Source: Firm
Employing firm when activities occurred which led to the complaint: ROYAL ALLIANCE ASSOCIATES: FOCUS FINANCIAL

Allegations: CLIENT ALLEGES THAT THE REPRESENTATIVE "MISAPPROPRIATED OR OTHERWISE MISMANAGED FUNDS ENTRUSTED TO HIM" AS AN INVESTMENT ADVISOR REPRESENTATIVE OF AN INDEPENDENT INVESTMENT ADVISORY FIRM.

Product Type: No Product
Alleged Damages: \$110,000.00
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: 04/01/2021
Complaint Pending? Yes
Settlement Amount:
Individual Contribution Amount:



Employment Separation After Allegations

This type of disclosure event involves a situation where the broker voluntarily resigned, was discharged, or was permitted to resign after being accused of (1) violating investment-related statutes, regulations, rules or industry standards of conduct; (2) fraud or the wrongful taking of property; or (3) failure to supervise in connection with investment-related statutes, regulations, rules, or industry standards of conduct.

Disclosure 1 of 2

Reporting Source:	Firm
Employer Name:	FOCUS FINANCIAL
Termination Type:	Discharged
Termination Date:	04/16/2021
Allegations:	THE ADVISORY REPRESENTATIVE VIOLATED THE FIRM'S POLICIES REEGARDING DISCLOSURE AND APPROVAL OF OUTSIDE BUSINESS ACTIVITIES
Product Type:	No Product

Disclosure 2 of 2

Reporting Source:	Firm
Employer Name:	ROYAL ALLIANCE ASSOCIATES INC
Termination Type:	Discharged
Termination Date:	04/16/2021
Allegations:	THE REPRESENTATIVE VIOLATED THE FIRM'S POLICIES REGARDING DISCLOSURE AND APPROVAL OF OUTSIDE BUSINESS ACTIVITIES.
Product Type:	No Product

End of Report



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