

## BrokerCheck Report

# JEFFREY LEWIS EGLOW

CRD# 1299960

<b><u>Section Title</u></b>	<b><u>Page(s)</u></b>
Report Summary	1
Broker Qualifications	2 - 4
Registration and Employment History	6 - 7
Disclosure Events	8



Please be aware that fraudsters may link to BrokerCheck from phishing and similar scam websites, trying to steal your personal information or your money. Make sure you know who you're dealing with when investing, and contact FINRA with any concerns.

For more information read our [investor alert](#) on imposters.

## 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:
  - 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
  - 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.

Thank you for using FINRA BrokerCheck.



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](http://brokercheck.finra.org)



For additional information about the contents of this report, please refer to the User Guidance or [www.finra.org/brokercheck](http://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)

**JEFFREY L. EGLOW**

CRD# 1299960

**Currently employed by and registered with the following Firm(s):**

**B NEWBRIDGE SECURITIES CORPORATION**  
 1200 NORTH FEDERAL HIGHWAY  
 BOCA RATON, FL 33432  
 CRD# 104065  
 Registered with this firm since: 08/31/2017

**IA NEWBRIDGE FINANCIAL SERVICES GROUP, INC.**  
 1200 NORTH FEDERAL HIGHWAY, SUITE 400  
 BOCA RATON, FL 33432  
 CRD# 130814  
 Registered with this firm since: 12/11/2017

**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 registered with:**

- 2 Self-Regulatory Organizations
- 6 U.S. states and territories

**This broker has passed:**

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

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

- IA SUNTRUST ADVISORY SERVICES, INC.**  
 CRD# 283390  
 ATLANTA, GA  
 11/2016 - 09/2017
- B SUNTRUST INVESTMENT SERVICES, INC.**  
 CRD# 17499  
 DELRAY BEACH, FL  
 03/2015 - 09/2017
- IA SUNTRUST INVESTMENT SERVICES, INC.**  
 CRD# 17499  
 ATLANTA, GA  
 03/2015 - 12/2016

**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
Criminal	1
Customer Dispute	5
Financial	1



## 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 individual is currently registered with 2 SROs and is licensed in 6 U.S. states and territories through his or her employer.**

### Employment 1 of 2

Firm Name: **NEWBRIDGE FINANCIAL SERVICES GROUP, INC.**

Main Office Address: **1200 NORTH FEDERAL HIGHWAY  
SUITE 400  
BOCA RATON, FL 33432**

Firm CRD#: **130814**

U.S. State/ Territory	Category	Status	Date
<b>IA</b> Florida	Investment Adviser Representative	APPROVED	12/11/2017
<b>IA</b> Louisiana	Investment Adviser Representative	APPROVED	03/28/2019
<b>IA</b> Texas	Investment Adviser Representative	APPROVED	04/27/2018

### Branch Office Locations

This individual does not have any registered Branch Office where the individual is located.

### Employment 2 of 2

Firm Name: **NEWBRIDGE SECURITIES CORPORATION**

Main Office Address: **1200 NORTH FEDERAL HIGHWAY  
SUITE 400  
BOCA RATON, FL 33432**

Firm CRD#: **104065**

SRO	Category	Status	Date
<b>B</b> FINRA	General Securities Representative	APPROVED	08/31/2017
<b>B</b> Nasdaq Stock Market	General Securities Representative	APPROVED	08/31/2017



## Broker Qualifications

### Employment 2 of 2, continued

U.S. State/ Territory	Category	Status	Date
<b>B</b> Florida	Agent	APPROVED	12/11/2017
<b>B</b> New Jersey	Agent	APPROVED	01/17/2018
<b>B</b> New York	Agent	APPROVED	01/02/2018
<b>B</b> Tennessee	Agent	APPROVED	12/19/2017

### Branch Office Locations

**NEWBRIDGE SECURITIES CORPORATION**  
1200 NORTH FEDERAL HIGHWAY  
SUITE 400  
BOCA RATON, FL 33432

---



## 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, 4 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>B</b> Securities Industry Essentials Examination	SIE	10/01/2018
<b>B</b> Futures Managed Funds Examination	Series 31	08/27/2007
<b>B</b> General Securities Representative Examination	Series 7	07/20/2007
<b>B</b> National Commodity Futures Examination	Series 3	07/15/1986

### State Securities Law Exams

Exam	Category	Date
<b>B IA</b> Uniform Combined State Law Examination	Series 66	08/14/2007
<b>B</b> Uniform Securities Agent State Law Examination	Series 63	01/14/1986

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/](http://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
IA 11/2016 - 09/2017	SUNTRUST ADVISORY SERVICES, INC.	283390	DELRAY BEACH, FL
B 03/2015 - 09/2017	SUNTRUST INVESTMENT SERVICES, INC.	17499	DELRAY BEACH, FL
IA 03/2015 - 12/2016	SUNTRUST INVESTMENT SERVICES, INC.	17499	DELRAY BEACH, FL
IA 01/2012 - 03/2015	WELLS FARGO ADVISORS, LLC	19616	BOCA RATON, FL
B 01/2012 - 03/2015	WELLS FARGO ADVISORS, LLC	19616	BOCA RATON, FL
B 05/2010 - 01/2012	MORGAN KEEGAN & COMPANY, INC.	4161	CORAL SPRINGS, FL
IA 05/2010 - 01/2012	MORGAN KEEGAN & COMPANY, INC.	4161	CORAL SPRINGS, FL
B 06/2009 - 05/2010	MORGAN STANLEY SMITH BARNEY	149777	PALM BEACH, FL
IA 06/2009 - 05/2010	MORGAN STANLEY SMITH BARNEY LLC	149777	PALM BEACH, FL
IA 08/2007 - 06/2009	MORGAN STANLEY & CO. INCORPORATED	8209	PALM BEACH, FL
B 08/2007 - 06/2009	MORGAN STANLEY & CO. INCORPORATED	8209	PALM BEACH, FL
B 01/1994 - 09/1998	FIA CAPITAL GROUP, INC.	19074	SHORT HILLS, NJ
B 12/1991 - 03/1992	FIA CAPITAL GROUP, INC.	19074	SHORT HILLS, NJ
B 01/1990 - 02/1992	CCC ADVISORS, INC.	7379	NEW YORK, NY
B 12/1985 - 01/1990	DREXEL BURNHAM LAMBERT INCORPORATED	7323	

### Employment History





## Registration and Employment History

### Employment History, continued

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
08/2017 - Present	Newbridge Securities Corp.	Registered Representative	Y	Boca Raton, FL, United States
08/2016 - 08/2017	SunTrust Advisory Services	Investment Advisory Representative	Y	Atlanta, GA, United States
03/2015 - 08/2017	SUNTRUST INVESTMENT SERVICES, INC.	FINANCIAL ADVISOR	Y	ATLANTA, GA, United States
01/2012 - 02/2015	WELLS FARGO ADVISORS, LLC	REGISTERED REPRESENTATIVE	Y	FORT LAUDERDALE, FL, 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.

INSURANCE LICENSED 02/01/18; 5% OF BUSINESS HOURS



## 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:**
  - A law enforcement agency must file formal charges before a broker is required to disclose a particular criminal event.
  - 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.
  -
3. **Disclosure events in BrokerCheck reports come from different sources:**
  - 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.
  -
4. **There are different statuses and dispositions for disclosure events:**
  - 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.
  - 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
Criminal	0	1	0
Customer Dispute	1	4	N/A
Financial	0	1	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.

### Criminal - Final Disposition

This type of disclosure event involves a criminal charge against the broker that has resulted in a conviction, acquittal, dismissal, or plea. The criminal matter may pertain to any felony or certain misdemeanor offenses, including bribery, perjury, forgery, counterfeiting, extortion, fraud, and wrongful taking of property.

#### Disclosure 1 of 1

<b>Reporting Source:</b>	Broker
<b>If charge(s) were brought against an organization over which broker exercised control:</b>	
<b>Organization Name:</b>	
<b>Investment Related Business:</b>	No
<b>Broker's Position:</b>	
<b>Formal Charges were brought in:</b>	MUNICIPAL COURT
<b>Name of Court:</b>	THE MUNICIPAL COURT OF BOROUGH COUNTY
<b>Location of Court:</b>	CHATHAM, NJ
<b>Docket/Case #:</b>	5200428
<b>Charge Date:</b>	10/29/2003
<b>Charge(s) 1 of 1</b>	
<b>Formal Charge(s)/Description:</b>	THEFT OF PROPERTY (NOT INVESTMENT RELATED)
<b>No of Counts:</b>	1



<b>Felony or Misdemeanor:</b>	Felony
<b>Plea for each charge:</b>	GUILTY
<b>Disposition of charge:</b>	Pled guilty
<b>Date of Amended Charge:</b>	05/04/2004
<b>Charge was Amended or reduced to:</b>	CHARGE WAS AMENDED TO MISDEMEANOR OF DEFIANT TRESPASSING.
<b>Amended No of Counts:</b>	1
<b>Amended Charge:</b>	Misdemeanor
<b>Amended Plea:</b>	GUILTY
<b>Disposition of Amended Charge:</b>	Pled guilty
<b>Current Status:</b>	Final
<b>Status Date:</b>	05/04/2004
<b>Disposition Date:</b>	05/04/2004
<b>Sentence/Penalty:</b>	05/04/2004, PENALTY WAS \$300 AND WAS PAID ON 05/04/2004
<b>Broker Statement</b>	<p>IN 2003, I ENTERED A STORAGE UNIT AT CHATHAM STORAGE, CHATHAM NJ, TO RETRIEVE PHARMACEUTICAL SAMPLES FOR PHYSICIAN DISTRIBUTION. THE SAMPLES WERE DISPENSED TO PHYSICIANS I CALLED UPON IN MY CAPACITY AS A PFIZER REPRESENTATIVE. I WAS NOT AUTHORIZED TO ENTER THIS STORAGE UNIT AND PLEAD GUILTY TO A MUNICIPAL COURT PLEA OF PETTY DISORDERLY CONDUCT. PFIZER CONFIRMED WITH THE PHYSICIANS THE SAMPLES I DISTRIBUTED AND THAT NO SAMPLES WERE DIVERTED OR FALSIFIED. I AM ATTACHING VARIOUS REPORTS CONCERNING THIS MATTER.</p>



## Customer Dispute - Settled

This type of disclosure event involves a consumer-initiated, investment-related complaint, arbitration proceeding or civil suit containing allegations of sale practice violations against the broker that resulted in a monetary settlement to the customer.

### Disclosure 1 of 3

<b>Reporting Source:</b>	Broker
<b>Employing firm when activities occurred which led to the complaint:</b>	SunTrust Investment Services, Inc.
<b>Allegations:</b>	Client stated she was overcharged for trades and is seeking a refund of fees.
<b>Product Type:</b>	Debt-Municipal
<b>Alleged Damages:</b>	\$48,758.00
<b>Alleged Damages Amount Explanation (if amount not exact):</b>	After reviewing client's account this is the amount the firm determined to be client damages.
<b>Is this an oral complaint?</b>	No
<b>Is this a written complaint?</b>	Yes
<b>Is this an arbitration/CFTC reparation or civil litigation?</b>	No

### Customer Complaint Information

<b>Date Complaint Received:</b>	05/19/2017
<b>Complaint Pending?</b>	No
<b>Status:</b>	Settled
<b>Status Date:</b>	06/12/2017
<b>Settlement Amount:</b>	\$48,758.00
<b>Individual Contribution Amount:</b>	\$48,758.00
<b>Broker Statement</b>	SUNTRUST INVESTMENT SERVICES IS STATING A CONTRIBUTION AMOUNT ON THIS DISCLOSURE. TO THE BEST OF MY KNOWLEDGE I WAS NEVER ASKED TO PARTICIPATE IN ANY COMPENSATION OF THIS SETTLEMENT.

### Disclosure 2 of 3

<b>Reporting Source:</b>	Firm
--------------------------	------



<b>Employing firm when activities occurred which led to the complaint:</b>	Suntrust Investment Services, Inc and Wells Fargo Advisors, LLC
<b>Allegations:</b>	Claimant alleges unsuitable investment recommendations were made in accounts opened in or around 2011.
<b>Product Type:</b>	Unit Investment Trust
<b>Alleged Damages:</b>	\$0.00
<b>Alleged Damages Amount Explanation (if amount not exact):</b>	Approximately \$1,000,000.00

### Arbitration Information

<b>Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.):</b>	FINRA
<b>Docket/Case #:</b>	16-01962
<b>Date Notice/Process Served:</b>	07/22/2016
<b>Arbitration Pending?</b>	No
<b>Disposition:</b>	Settled
<b>Disposition Date:</b>	03/28/2017
<b>Monetary Compensation Amount:</b>	\$25,000.00
<b>Individual Contribution Amount:</b>	\$0.00
<b>Firm Statement</b>	Without admitting any liability, the decision was made to settle the matter for \$25,000 solely as a business decision to avoid the cost and time of an arbitration.

---

<b>Reporting Source:</b>	Broker
<b>Employing firm when activities occurred which led to the complaint:</b>	SunTrust Investment Services, Inc.
<b>Allegations:</b>	The client alleged over-concentration in UITs and energy securities and holding leveraged ETF positions as long positions, resulting in unrealized losses.
<b>Product Type:</b>	Unit Investment Trust



Other: Exchange-Trade Funds

**Alleged Damages:** \$1,000,000.00**Is this an oral complaint?** No**Is this a written complaint?** Yes**Is this an arbitration/CFTC  
reparation or civil litigation?** Yes**Arbitration/Reparation forum  
or court name and location:** FINRA Arbitration #16-01962**Docket/Case #:** 16-01962**Filing date of  
arbitration/CFTC reparation  
or civil litigation:** 07/08/2016

### Customer Complaint Information

**Date Complaint Received:** 07/25/2016**Complaint Pending?** No**Status:** Settled**Status Date:** 03/28/2017**Settlement Amount:** \$115,000.00**Individual Contribution  
Amount:** \$0.00

### Arbitration Information

**Arbitration/CFTC reparation  
claim filed with (FINRA, AAA,  
CFTC, etc.):** FINRA**Docket/Case #:** 16-01962**Date Notice/Process Served:** 07/08/2016**Arbitration Pending?** No**Disposition:** Settled**Disposition Date:** 03/28/2017**Monetary Compensation  
Amount:** \$115,000.00



**Individual Contribution Amount:** \$0.00

**Broker Statement** I categorically deny the allegations as the client is a sophisticated investor with a high degree risk tolerance. The firm settled solely to avoid the costs and uncertainties of arbitration and did not require or request that Mr. Eglow contribute to the settlement payment.

### Disclosure 3 of 3

**Reporting Source:** Firm

**Employing firm when activities occurred which led to the complaint:** WELLS FARGO ADVISORS, LLC

**Allegations:** CLIENT ALLEGES THAT TERMS AND PROVISIONS OF TWO VARIABLE ANNUITIES WERE MISREPRESENTED, INCLUDING CHANGES IN THE VALUE OF THE DEATH BENEFIT. (02/06/2014)

**Product Type:** Annuity-Variable

**Alleged Damages:** \$0.00

**Alleged Damages Amount Explanation (if amount not exact):** DAMAGES ARE NOT SPECIFIED BUT ARE BELIEVED TO EXCEED \$5,000.

**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:** 03/30/2015

**Complaint Pending?** No

**Status:** Settled

**Status Date:** 05/28/2015

**Settlement Amount:** \$3,205.73

**Individual Contribution Amount:** \$0.00





**Reporting Source:** Broker

**Employing firm when activities occurred which led to the complaint:** WELLS FARGO ADVISORS, LLC

**Allegations:** CLIENT ALLEGES THAT TERMS AND PROVISIONS OF TWO VARIABLE ANNUITIES WERE MISREPRESENTED, INCLUDING CHANGES IN THE VALUE OF THE DEATH BENEFIT.(02/06/2014)

**Product Type:** Annuity-Variable

**Alleged Damages:** \$0.00

**Alleged Damages Amount Explanation (if amount not exact):** DAMAGES ARE NOT SPECIFIED BUT ARE BELIEVED TO EXCEED \$5000

**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:** 03/30/2015

**Complaint Pending?** No

**Status:** Settled

**Status Date:** 05/28/2015

**Settlement Amount:** \$3,205.73

**Individual Contribution Amount:** \$0.00

**Broker Statement** THE ALLEGATIONS BY [CUSTOMER] ARE UNFOUNDED AND I DENY THESE ALLEGATIONS.



## Customer Dispute - Closed-No Action / Withdrawn / Dismissed / Denied

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:** Broker

**Employing firm when activities occurred which led to the complaint:** SunTrust Investment Services, Inc. (STIS)

**Allegations:** The clients consolidated their variable annuities (purchased at another firm and not purchased through Mr. Eglow) into annuities at STIS. They allege they were not aware of some of these annuity transfers. They are also upset over a rider fee imposed by one of the annuities when they surrendered it.

**Product Type:** Annuity-Variable

**Alleged Damages:** \$14,133.00

**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:** 09/04/2015

**Complaint Pending?** No

**Status:** Denied

**Status Date:** 09/18/2015

**Settlement Amount:**

**Individual Contribution Amount:**

**Broker Statement** I categorically deny the allegations set forth as the clients agreed to execute this 1035 exchange on numerous occasions and signed the 1035 exchange forms on 2 separate occasions and were fully aware of all details. There is no monetary loss as any changes in the contract values are due to changes in market conditions and the rider fee charge has been charged annually from date of purchase.



## 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

<b>Reporting Source:</b>	Broker
<b>Employing firm when activities occurred which led to the complaint:</b>	NEWBRIDGE SECURITIES CORPORATION
<b>Allegations:</b>	Negligence, Breach of Fiduciary Duty
<b>Product Type:</b>	Other: ALTERNATIVES INVESTMENTS
<b>Alleged Damages:</b>	\$250,000.00
<b>Is this an oral complaint?</b>	No
<b>Is this a written complaint?</b>	No
<b>Is this an arbitration/CFTC reparation or civil litigation?</b>	Yes
<b>Arbitration/Reparation forum or court name and location:</b>	FINRA
<b>Docket/Case #:</b>	22-01136
<b>Filing date of arbitration/CFTC reparation or civil litigation:</b>	05/24/2022

### Customer Complaint Information

<b>Date Complaint Received:</b>	05/31/2022
<b>Complaint Pending?</b>	Yes
<b>Settlement Amount:</b>	
<b>Individual Contribution Amount:</b>	

**Broker Statement** I deny all allegations as the client reviewed the prospectus with her outside counsel and they both approved the purchase and understood the risk of these securities, and the client later wanted to purchase more of these securities but was unable to do as it would have exceeded the Newbridge guidelines.



## Financial - Final

This type of disclosure event involves a bankruptcy, compromise with one or more creditors, or Securities Investor Protection Corporation liquidation involving the broker or an organization/brokerage firm the broker controlled that occurred within the last 10 years.

### Disclosure 1 of 1

<b>Reporting Source:</b>	Broker
<b>Action Type:</b>	Bankruptcy
<b>Bankruptcy:</b>	Chapter 7
<b>Action Date:</b>	05/24/2019
<b>Organization Investment-Related?</b>	
<b>Type of Court:</b>	Federal Court
<b>Name of Court:</b>	UNITED STATES BANKRUPTCY COURT
<b>Location of Court:</b>	SOUTHERN DISTRICT OF FLORIDA
<b>Docket/Case #:</b>	19-16881
<b>Action Pending?</b>	No
<b>Disposition:</b>	Discharged
<b>Disposition Date:</b>	06/24/2020

## End of Report



**This page is intentionally left blank.**