

BrokerCheck Report

Brian Robert Roth

CRD# 4607595

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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



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)



Brian R. Roth

CRD# 4607595

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

B NEWBRIDGE SECURITIES CORPORATION
 100 HEADQUARTERS PLAZA EAST
 TOWER, 6TH FLOOR
 MORRISTOWN, NJ 07960
 CRD# 104065
 Registered with this firm since: 12/19/2018

IA NEWBRIDGE FINANCIAL SERVICES GROUP, INC.
 100 HEADQUARTERS PLAZA EAST
 TOWER, 6TH FLOOR
 MORRISTOWN, NJ 07960
 CRD# 130814
 Registered with this firm since: 02/20/2019

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
- 9 U.S. states and territories

This broker has passed:

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

Registration History

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

- B AEON CAPITAL INC**
 CRD# 164004
 NEW YORK, NY
 10/2018 - 12/2018
- B THE BENCHMARK COMPANY, LLC**
 CRD# 22982
 NEW YORK, NY
 07/2018 - 10/2018
- IA INTERNATIONAL ASSETS INVESTMENT MANAGEMENT, LLC**
 CRD# 144426
 ORLANDO, FL
 04/2018 - 08/2018

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
Regulatory Event	1
Customer Dispute	4
Judgment/Lien	4



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 9 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
IA New Jersey	Investment Adviser Representative	APPROVED	02/20/2019
IA Texas	Investment Adviser Representative	APPROVED	06/13/2022

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 FINRA	General Securities Principal	APPROVED	12/26/2018
B FINRA	General Securities Representative	APPROVED	12/26/2018
B FINRA	Investment Banking Principal	APPROVED	12/26/2018
B FINRA	Investment Banking Representative	APPROVED	12/26/2018



Broker Qualifications

Employment 2 of 2, continued

SRO	Category	Status	Date
B Nasdaq Stock Market	General Securities Principal	APPROVED	12/19/2018
B Nasdaq Stock Market	General Securities Representative	APPROVED	12/19/2018

U.S. State/ Territory	Category	Status	Date
B California	Agent	APPROVED	01/09/2019
B Connecticut	Agent	APPROVED	01/29/2019
B Florida	Agent	APPROVED	04/09/2019
B Minnesota	Agent	APPROVED	01/10/2019
B New Jersey	Agent	APPROVED	01/04/2019
B New York	Agent	APPROVED	12/26/2018
B Oklahoma	Agent	APPROVED	01/25/2019
B Pennsylvania	Agent	APPROVED	03/07/2019
B Texas	Agent	APPROVED	06/14/2022

Branch Office Locations

NEWBRIDGE SECURITIES CORPORATION
 100 HEADQUARTERS PLAZA EAST TOWER, 6TH FLOOR
 MORRISTOWN, NJ 07960



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 1 principal/supervisory exam, 3 general industry/product exams, and 2 state securities law exams.

Principal/Supervisory Exams

Exam	Category	Date
B General Securities Principal Examination	Series 24	07/02/2009

General Industry/Product Exams

Exam	Category	Date
B Securities Industry Essentials Examination	SIE	10/01/2018
B Futures Managed Funds Examination	Series 31	04/02/2004
B General Securities Representative Examination	Series 7	02/26/2003

State Securities Law Exams

Exam	Category	Date
IA Uniform Investment Adviser Law Examination	Series 65	04/06/2018
B Uniform Securities Agent State Law Examination	Series 63	03/10/2003

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 10/2018 - 12/2018	AEON CAPITAL INC	164004	NEW YORK, NY
B 07/2018 - 10/2018	THE BENCHMARK COMPANY, LLC	22982	NEW YORK, NY
IA 04/2018 - 08/2018	INTERNATIONAL ASSETS INVESTMENT MANAGEMENT, LLC	144426	MENDHAM, NJ
B 06/2013 - 08/2018	INTERNATIONAL ASSETS ADVISORY, LLC	10645	MENDHAM, NJ
B 09/2009 - 06/2013	JOHN THOMAS FINANCIAL	40982	NEW YORK, NY
B 03/2009 - 09/2009	SIERRA EQUITY GROUP LLC	36518	REDBANK, NJ
B 11/2008 - 03/2009	RUSHMORE CAPITAL, INC.	5940	NEW YORK, NY
B 03/2006 - 12/2008	GUNNALLEN FINANCIAL, INC	17609	NEW YORK, NY
IA 03/2006 - 12/2008	GUNNALLEN FINANCIAL, INC	17609	NEW YORK, NY
IA 11/2005 - 03/2006	S.W. BACH & COMPANY	43522	NEW YORK, NY
B 10/2005 - 03/2006	S.W. BACH & COMPANY	43522	NEW YORK, NY
B 03/2005 - 10/2005	GUNNALLEN FINANCIAL, INC	17609	TAMPA, FL
B 02/2004 - 02/2005	MORGAN STANLEY DW INC.	7556	PURCHASE, NY
B 04/2003 - 02/2004	SANDS BROTHERS & CO., LTD.	26816	NEW YORK, NY
B 02/2003 - 04/2003	JOSEPH STEVENS & COMPANY, INC.	35459	BROOKLYN, NY

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
12/2018 - Present	NEWBRIDGE SECURITIES CORPORATION	REGISTERED REPRESENTATIVE	Y	NEW YORK, NY, United States
10/2018 - 12/2018	Aeon Capital, Inc	Registered Representative	Y	Middletown, NJ, United States
07/2018 - 10/2018	THE BENCHMARK COMPANY LLC	Registered Representative	Y	NEW YORK, NY, United States
06/2013 - 07/2018	INTERNATIONAL ASSETS ADVISORY, LLC	REGISTERED REPRESENTATIVE	Y	ORLANDO, FL, United States
09/2009 - 06/2013	JOHN THOMAS FINANCIAL	REGISTERED REP	Y	NEW YORK, NY, 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.

Eagle Rock Capital Partners (DBA): - 37 N. Gate Rd. Mendham, NJ 07945.

Owner - pay expenses related to RR activities at current firm.



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.
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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
Regulatory Event	0	1	0
Customer Dispute	1	3	N/A
Judgment/Lien	4	N/A	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.

Regulatory - Final

This type of disclosure event may involve (1) a final, formal proceeding initiated by a regulatory authority (e.g., a state securities agency, self-regulatory organization, federal regulatory such as the Securities and Exchange Commission, foreign financial regulatory body) for a violation of investment-related rules or regulations; or (2) a revocation or suspension of a broker's authority to act as an attorney, accountant, or federal contractor.

Disclosure 1 of 1

Reporting Source:	Regulator
Regulatory Action Initiated By:	FINRA
Sanction(s) Sought:	Suspension
Date Initiated:	09/14/2018
Docket/Case Number:	13-00041
Employing firm when activity occurred which led to the regulatory action:	n/a
Product Type:	No Product
Allegations:	Respondent Roth failed to comply with an arbitration award or settlement agreement or to satisfactorily respond to a FINRA request to provide information concerning the status of compliance.
Current Status:	Final
Resolution:	Letter



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: 09/14/2018

Sanctions Ordered: 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:	n/a
Start Date:	09/14/2018
End Date:	10/04/2018

**Regulator Statement**

Pursuant to Article VI, Section 3 of FINRA By-Laws, and FINRA Rule 9554, Respondent Roth is suspended on September 14, 2018, for failure to comply with an arbitration award or settlement agreement or to satisfactorily respond to a FINRA request to provide information concerning the status of compliance. Suspension was lifted on October 4, 2018.

Reporting Source:	Broker
Regulatory Action Initiated By:	FINRA
Sanction(s) Sought:	Suspension
Date Initiated:	09/14/2018
Docket/Case Number:	13-00041
Employing firm when activity occurred which led to the regulatory action:	N/A
Product Type:	No Product
Allegations:	Mr. Roth failed to make continuing payments as required under an arbitration agreement.
Current Status:	Final
Resolution:	Letter
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:	09/14/2018
Sanctions Ordered:	Suspension
Sanction 1 of 1	
Sanction Type:	Suspension
Capacities Affected:	All Capacities
Duration:	Indefinite
Start Date:	09/14/2018



End Date: 10/04/2018

Broker Statement

I was involved in a dispute with a former client. My former client breached the confidentiality provision in our settlement agreement. We were going back and forth with them since early 2018, and in fact I notified FINRA on February 26th that I would not be paying this based on the circumstances. I was told that if anything arose it would be directed to an arbitration for us to deal with amongst ourselves. In August I received a suspension letter and I decided to fight it. We have since settled this



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

Reporting Source:	Firm
Employing firm when activities occurred which led to the complaint:	INTERNATIONAL ASSETS ADVISORY, LLC
Allegations:	BREACH OF FIDUCIARY DUTY, VIOLATION OF FINRA RULES, BREACH OF CONTRACT AND NEGLIGENCE, NEGLIGENT SUPERVISION
Product Type:	Direct Investment-DPP & LP Interests
Alleged Damages:	\$400,000.00
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 #:	20-01172
Filing date of arbitration/CFTC reparation or civil litigation:	04/02/2020

Customer Complaint Information

Date Complaint Received:	04/13/2020
Complaint Pending?	No
Status:	Settled
Status Date:	06/01/2020
Settlement Amount:	\$100,000.00
Individual Contribution Amount:	\$0.00

Reporting Source:	Broker
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Employing firm when activities occurred which led to the complaint:	INTERNATIONAL ASSETS ADVISORY, LLC
Allegations:	BREACH OF FIDUCIARY DUTY, VIOLATION OF FINRA RULES, BREACH OF CONTRACT AND NEGLIGENCE, NEGLIGENT SUPERVISION
Product Type:	Direct Investment-DPP & LP Interests
Alleged Damages:	\$400,000.00
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 #:	20-01172
Filing date of arbitration/CFTC reparation or civil litigation:	04/02/2020

Customer Complaint Information

Date Complaint Received:	04/15/2020
Complaint Pending?	No
Status:	Settled
Status Date:	06/01/2020
Settlement Amount:	\$100,000.00
Individual Contribution Amount:	\$0.00

Broker Statement	This has no merit at all, as client has not lost money in this investment as of yet. I was not named in the complaint, nor was I a part of the settlement, in fact I had no understanding there was going to be a settlement until notified after the fact. Claimant is a current client of mine who had no idea this would affect me when he filed the claim, since his counsel advised him otherwise. I am already starting the process to seek to have this expunged from my license.
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Reporting Source: Regulator

Employing firm when activities occurred which led to the complaint: JOHN THOMAS FINANCIAL

Allegations: SECURITIES FRAUD IN VIOLATION OF THE SECURITIES EXCHANGE ACT OF 1934; COMMON LAW FRAUD; NEGLIGENCE; GROSS NEGLIGENCE; BREACH OF CONTRACTUAL AND LEGAL DUTIES; CHURNING; AND MISREPRESENTATION.

Product Type: Other: UNSPECIFIED SECURITIES

Alleged Damages: \$850,000.00

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: [FINRA - CASE #13-00041](#)

Date Notice/Process Served: 01/03/2013

Arbitration Pending? No

Disposition: Dismissed

Disposition Date: 06/19/2014

Disposition Detail: ON OR ABOUT JUNE 19, 2014, CLAIMANT DISMISSED, WITH PREJUDICE, ALL CLAIMS AGAINST RESPONDENT ROTH.

Reporting Source: Broker

Employing firm when activities occurred which led to the complaint: JOHN THOMAS FINANCIAL

Allegations: CUSTOMER ALLEGES EXCESSIVE TRADING, UNAUTHORIZED TRADING AND MISREPRESENTATION.

Product Type: Equity Listed (Common & Preferred Stock)

Alleged Damages: \$780,000.00

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: 07/02/2012
Complaint Pending? No
Status: Evolved into Arbitration/CFTC reparation (the individual is a named party)
Status Date: 01/17/2013
Settlement Amount: \$0.00
Individual Contribution Amount: \$0.00

Arbitration Information

Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.): FINRA
Docket/Case #: [13-00041](#)
Date Notice/Process Served: 01/17/2013
Arbitration Pending? No
Disposition: Settled
Disposition Date: 06/16/2014
Monetary Compensation Amount: \$125,000.00
Individual Contribution Amount: \$125,000.00
Broker Statement I VEHEMENTLY DENY ALL ALLEGATIONS REGARDING EXCESSIVE TRADING, UNAUTHORIZED TRADING AND MISREPRESENTATION.

Disclosure 3 of 3

Reporting Source: Broker
Employing firm when activities occurred which led to the complaint: JOHN THOMAS FINANCIAL
Allegations: CLAIMAINT ALLEGES UNAUTHORIZED TRADING AND CHURNING.
Product Type: Equity-OTC
 Equity Listed (Common & Preferred Stock)



Alleged Damages: \$0.00

Alleged Damages Amount Explanation (if amount not exact): CLAIMANT DOES NOT STATE RELIEF AMOUNT, BUT SEEKS DAMAGES SUBJECT TO PROOF.

Arbitration Information

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

Docket/Case #: 11-04490

Date Notice/Process Served: 12/15/2011

Arbitration Pending? No

Disposition: Settled

Disposition Date: 08/29/2013

Monetary Compensation Amount: \$85,000.00

Individual Contribution Amount: \$0.00

Broker Statement

BRIAN ROTH CONTINUES TO DENY THAT THE ARBITRATION HAS ANY MERIT BUT NEVERTHELESS JOHN THOMAS FINANCIAL, INC WISHED TO ENTER INTO THE SETTLEMENT AGREEMENT TO AVOID ANY ARBITRATION COSTS AND EXPENSES INCLUDING COUNSEL FEES AND TRAVEL EXPENSES, IT WILL INCUR IF THIS ARBITRATION IS NOT RESOLVED. ALL CLAIMS AND PARTIES WERE DISMISSED AS A CONDITION OF THE SETTLEMENT. NO CLAIM IS PENDING AGAINST MR. ROTH.



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:	Broker
Employing firm when activities occurred which led to the complaint:	NEWBRIDGE SECURITIES CORPORATION
Allegations:	Suitability, Negligence, Fraud, Failure to Supervise, Violation FINRA Rule 2010, Breach of Contract.
Product Type:	Other: ALTERNATIVE INVESTMENTS
Alleged Damages:	\$1,500,000.00
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 #:	22-01343
Filing date of arbitration/CFTC reparation or civil litigation:	06/15/2022

Customer Complaint Information

Date Complaint Received:	06/16/2022
Complaint Pending?	Yes
Settlement Amount:	
Individual Contribution Amount:	
Broker Statement	I deny all allegations in this claim



Judgment / Lien

This type of disclosure event involves an unsatisfied and outstanding judgments or liens against the broker.

Disclosure 1 of 4

Reporting Source:	Broker
Judgment/Lien Holder:	INTERNAL REVENUE SERVICE
Judgment/Lien Amount:	\$8,657.37
Judgment/Lien Type:	Tax
Date Filed with Court:	02/15/2022
Date Individual Learned:	02/18/2022
Type of Court:	OFFICE OF THE COUNTY CLERK
Name of Court:	OFFICE OF THE COUNTY CLERK
Location of Court:	COUNTY CLERK, MORRISTOWN, NJ
Docket/Case #:	448832122
Judgment/Lien Outstanding?	Yes

Disclosure 2 of 4

Reporting Source:	Broker
Judgment/Lien Holder:	INTERNAL REVENUE SERVICE
Judgment/Lien Amount:	\$5,038.64
Judgment/Lien Type:	Tax
Date Filed with Court:	01/14/2020
Date Individual Learned:	01/21/2020
Type of Court:	MORRIS COUNTY
Name of Court:	MORRIS COUNTY
Location of Court:	MORRIS COUNTY, NJ
Docket/Case #:	2020004271
Judgment/Lien Outstanding?	Yes

Disclosure 3 of 4



Reporting Source:	Broker
Judgment/Lien Holder:	STATE OF NEW JERSEY
Judgment/Lien Amount:	\$16,477.00
Judgment/Lien Type:	Tax
Date Filed with Court:	06/20/2019
Date Individual Learned:	08/09/2019
Type of Court:	NEW JERSEY STATE SUPERIOR COURT
Name of Court:	NEW JERSEY STATE SUPERIOR COURT
Location of Court:	NEW JERSEY
Docket/Case #:	DJ07788319
Judgment/Lien Outstanding?	Yes

Disclosure 4 of 4

Reporting Source:	Broker
Judgment/Lien Holder:	IRS
Judgment/Lien Amount:	\$59,090.02
Judgment/Lien Type:	Tax
Date Filed with Court:	08/14/2018
Date Individual Learned:	09/15/2018
Type of Court:	Municipal Court
Name of Court:	Morris County New Jersey
Location of Court:	Morris County, NJ
Docket/Case #:	2018047313
Judgment/Lien Outstanding?	Yes

Broker Statement

I never received notice from the IRS that my installment agreement was terminated. They were sending all mail to my previous address. Shortly after I updated my drivers license to the new address I received the notice from the IRS. I have a payment arrangement in place.

End of Report



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