IAPD Report

DENNIS LANE BURGESS

CRD# 1020157

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

DENNIS LANE BURGESS (CRD# 1020157)

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 **12/14/2023**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	OMNI FINANCIAL SECURITIES, INC.	CRD# 29320	01/26/2016
IA	SWS ADVISORS, INC.	CRD# 120054	05/25/2016

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **3** 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	PRIMESOLUTIONS SECURITIES, INC.	46017	COVINGTON, OH	02/25/2008 - 11/12/2015
B	ABACUS INVESTMENTS, INC.	35127	DOUSMANS, WI	10/03/2007 - 01/14/2008
B	DALTON STRATEGIC INVESTMENT SERVICES INC.	23485	KNIGHTSTOWN, IN	03/29/2007 - 09/25/2007

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
Regulatory Event	1
Termination	1

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 **3** jurisdiction(s) and 1 SRO(s) through his or her employer(s).

Employment 1 of 2

Firm Name: **SWS ADVISORS, INC.**
Main Address: 1900 POLARIS PARKWAY, SUITE 450
COLUMBUS, OH 43240
Firm ID#: 120054

	Regulator	Registration	Status	Date
IA	Ohio	Investment Adviser Representative	Approved	05/25/2016

Branch Office Locations

SWS ADVISORS, INC.
6505 State Route 48
Covington, OH 45318

Employment 2 of 2

Firm Name: **OMNI FINANCIAL SECURITIES, INC.**
Main Address: 1900 POLARIS PARKWAY, SUITE 450
COLUMBUS, OH 43240
Firm ID#: 29320

	Regulator	Registration	Status	Date
B	FINRA	General Securities Representative	Approved	01/26/2016
B	FINRA	Invest. Co and Variable Contracts	Approved	01/26/2016
B	Florida	Agent	Approved	02/08/2016
B	Indiana	Agent	Approved	01/27/2016
B	Ohio	Agent	Approved	01/26/2016

Branch Office Locations

Qualifications

1900 POLARIS PARKWAY, SUITE 450
COLUMBUS, OH 43240

Qualifications

PASSED INDUSTRY EXAMS

This section includes all industry exams that the representative has passed. Under limited circumstances, a representative may attain registration after receiving an exam waiver based on a combination of exams the representative has passed and qualifying work experience. Likewise a new exam requirement may be grandfathered based on a representative's specific qualifying work experience. Exam waivers and grandfathering are not included below.

This individual has passed 0 principal/supervisory exams, 3 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)	SIE	10/01/2018
B	General Securities Representative Examination (S7)	Series 7	02/16/1985
B	Investment Company Products/Variable Contracts Representative Examination (S6)	Series 6	12/07/1981

State Securities Law Exams

	Exam	Category	Date
B	Uniform Securities Agent State Law Examination (S63)	Series 63	09/15/2003

PROFESSIONAL DESIGNATIONS

This section details that the representative has reported **1** professional designation(s).

Certified Financial Planner

This representative holds or did hold **1** professional designation(s) that may have been used to qualify as an Investment Advisor representative. Please check with the appropriate designation authority for verification that the designation is still in effect. The contact information for these professional designation authorities can be found on the website for the North American Securities Administrators Association at http://www.nasaa.org

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	02/25/2008 - 11/12/2015	PRIMESOLUTIONS SECURITIES, INC.	CRD# 46017	COVINGTON, OH
B	10/03/2007 - 01/14/2008	ABACUS INVESTMENTS, INC.	CRD# 35127	DOUSMANS, WI
B	03/29/2007 - 09/25/2007	DALTON STRATEGIC INVESTMENT SERVICES INC.	CRD# 23485	KNIGHTSTOWN, IN
B	05/13/2002 - 03/14/2007	DALTON STRATEGIC INVESTMENT SERVICES INC.	CRD# 23485	COVINGTON, OH
B	05/23/2001 - 07/25/2001	USALLIANZ SECURITIES, INC.	CRD# 40875	MINNEAPOLIS, MN
B	09/02/1998 - 12/01/2000	CARLSON NATIONAL BROKERS, LTD	CRD# 25056	HERRIN, IL
B	01/02/1998 - 08/28/1998	INTERSECURITIES, INC.	CRD# 16164	PHILADELPHIA, PA
B	10/03/1995 - 01/02/1998	AEGON USA SECURITIES INC.	CRD# 13302	CEDAR RAPIDS, IA
B	12/24/1992 - 10/04/1995	IFG NETWORK SECURITIES, INC.	CRD# 19948	ATLANTA, GA
B	11/15/1989 - 12/31/1992	PLANNED INVESTMENTS INC.	CRD# 5066	ATLANTA, GA
B	11/17/1988 - 12/08/1989	INVESTACORP, INC.	CRD# 7684	MIAMI, FL
B	05/23/1988 - 11/28/1988	FSC SECURITIES CORPORATION	CRD# 7461	
B	04/25/1986 - 07/15/1988	B.C. CHRISTOPHER SECURITIES CO.	CRD# 60	
B	12/23/1981 - 09/10/1985	THE O.N. EQUITY SALES COMPANY	CRD# 2936	

Registration & Employment History

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
01/2016 - Present	Omni Financial Securities, Inc.	Registered Representative	Y	Columbus, OH, United States
01/2016 - Present	SWS Advisors, Inc.	Investment Adviser Representative	Y	Covington, OH, United States
01/1998 - Present	SELF EMPLOYED	TAX PREPARER	N	COVINGTON, OH, United States

OTHER BUSINESS ACTIVITIES

This section includes information, if any, as provided by the representative regarding other business activities the representative is currently engaged in either as a proprietor, partner, officer, director, employee, trustee, agent, or otherwise. This section does not include non-investment related activity that is exclusively charitable, civic, religious, or fraternal and is recognized as tax exempt.

TAX PREPARER, NON INVESTMENT RELATED, 1998, OVER 160 HRS/MO. DURING TAX SEASON, COVINGTON OH.

I am a licensed to sell life and health insurance and fixed annuities, earn regular commissions. Maintain a tax-preparation practice

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
Regulatory Event	1
Termination	1

Regulatory Event

This disclosure event may include a final, formal proceeding initiated by a regulatory authority (e.g., a state securities agency, a federal regulator such as the Securities and Exchange Commission or the Commodities Futures Trading Commission, or a foreign financial regulatory body) for a violation of investment-related rules or regulations. This disclosure event may also include a revocation or suspension of an Investment Adviser Representative's authority to act as an attorney, accountant or federal contractor.

Disclosure 1 of 1

Reporting Source:	Regulator
Regulatory Action Initiated By:	NATIONAL ASSOCIATION OF SECURITIES DEALERS, INC.
Sanction(s) Sought:	
Date Initiated:	10/19/2001
Docket/Case Number:	C8B010025
Employing firm when activity occurred which led to the regulatory action:	INTERSECURITIES, INC.
Product Type:	
Allegations:	NASD RULES 2110, 3040 - WITHOUT ADMITTING OR DENYING THE ALLEGATIONS, RESPONDENT CONSENTED TO THE ENTRY OF FINDINGS THAT HE ENGAGED IN PRIVATE SECURITIES TRANSACTIONS AWAY FROM HIS MEMBER FIRM AND FAILED TO PROVIDE HIS FIRM WITH DETAILED PRIOR WRITTEN NOTICE OF THE TRANSACTIONS AND HIS ROLE THEREIN, AND TO RECEIVE PERMISSION FROM THE FIRM TO ENGAGE IN THE TRANSACTIONS.
Current Status:	Final
Resolution:	Acceptance, Waiver & Consent(AWC)
Resolution Date:	10/19/2001
Sanctions Ordered:	Civil and Administrative Penalty(ies)/Fine(s) Suspension
Regulator Statement	FINED $5,000, SUSPENDED FROM ASSOCIATION WITH ANY NASD MEMBER

	IN ANY CAPACITY FOR 60 DAYS, AND ORDERED TO DISGORGE $2,100 IN COMMISSIONS, PLUS INTEREST, TO PUBLIC CUSTOMERS. THE FINE IS DUE AND PAYABLE PRIOR TO REASSOCIATION WITH A MEMBER FIRM FOLLOWING THE SUSPENSION OR PRIOR TO ANY REQUEST FOR RELIEF FROM ANY STATUTORY DISQUALIFICATION, WHICHEVER IS EARLIER. SATISFACTORY PROOF OF PAYMENT OF DISGORGEMENT, PLUS INTEREST, SHALL BE A PREREQUISITE PRIOR TO REASSOCIATION WITH A MEMBER FIRM FOLLOWING THE SUSPENSION OR PRIOR TO ANY REQUEST FOR RELIEF FROM ANY STATUTORY DISQUALIFICATION, WHICHEVER IS EARLIER. ANY UNDISTRIBUTED DISGORGEMENT AND INTEREST SHALL BE FORWARDED TO THE APPROPRIATE ESCHEAT, UNCLAIMED PROPERTY, OR ABANDONED PROPERTY FUND FOR THE STATE IN WHICH THE CUSTOMER LAST RESIDED. SUSPENSION EFFECTIVE NOVEMBER 19, 2001 TO CLOSE OF BUSINESS JANUARY 17, 2002. FINES PAID ON 04/15/2002.

Reporting Source:	Individual
Regulatory Action Initiated By:	NATIONAL ASSOCIATION OF SECURITIES DEALERS INC.
Sanction(s) Sought:	
Other Sanction(s) Sought:	
Date Initiated:	04/05/2001
Docket/Case Number:	C8B010025
Employing firm when activity occurred which led to the regulatory action:	INTERSECURITIES INC
Product Type:	Other
Other Product Type(s):	PROMISSORY NOTES
Allegations:	I ENGAGED IN A PRIVATE SECURITES TRANSACTION AWAY FROM MY MEMBER FIRM. I FAILED TO PROVIDE MY FIRM WITH DETAILED PRIOR WRITTEN NOTICE OF THE TRANSACTIONS AND MY ROLE THEREIN AND TO RECEIVE PERMISSION FROM MY FIRM TO ENGAGE IN THE TRANSACTIONS.
Current Status:	Final
Resolution:	Acceptance, Waiver & Consent(AWC)
Resolution Date:	10/19/2001
Sanctions Ordered:	Disgorgement/Restitution Monetary/Fine $5,000.00 Suspension
Other Sanctions Ordered:	
Sanction Details:	SUSPENDED FROM ASSOCIATION WITH ANY NASD MEMBER FOR (60) DAYS EFFECTIVE 11/19/01 - 01/17/02. PAID FINE OF $5000.00. PAID RESTITUTION OF $2765.00.
Broker Statement	I ENGAGED IN A PRIVATE SECURITES TRANSACTION AWAY FROM MY MEMBER FIRM (INTERSECURITIES,INC.)06/1998. PAID $5000.00 FINE AND MADE RESTITUTION OF $2765.00. SETTLED BY AWC. ACTION IS FINAL AND CLOSED.

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 1

Reporting Source:	Individual
Firm Name:	USALLIANZ SECURITIES INC
Termination Type:	Discharged
Termination Date:	07/25/2001
Allegations:	DUE TO INQUIRY BY NASD REGARDING ALLEGATIONS OF SELLING AWAY.
Product Type:	Other
Other Product Types:	PROMISSORY NOTES
Broker Statement	DUE TO INQUIRY BY NASD REGARDING ALLEGATIONS OF SELLING AWAY.

End of Report

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