



IAPD Report

DENNIS WAYNE GIESE

CRD# 1052519

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Please contact FINRA with any concerns.



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 WAYNE GIESE (CRD# 1052519)

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	CAMBRIDGE INVESTMENT RESEARCH, INC.	CRD# 39543	11/04/2010
IA	CAMBRIDGE INVESTMENT RESEARCH ADVISORS, INC.	CRD# 134139	11/04/2010

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
IA	SPC	110692	SHOREWOOD, IL	06/04/2009 - 11/01/2010
B	SAMMONS SECURITIES COMPANY, LLC	115368	SHOREWOOD, IL	01/02/2009 - 11/01/2010
IA	WOODBURY FINANCIAL SERVICES, INC.	421	SHOREWOOD, IL	02/02/2006 - 12/31/2008

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



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: **CAMBRIDGE INVESTMENT RESEARCH, INC.**
Main Address: 1776 PLEASANT PLAIN RD.
FAIRFIELD, IA 52556-8757
Firm ID#: 39543

Regulator	Registration	Status	Date
B FINRA	Invest. Co and Variable Contracts	Approved	11/04/2010
B FINRA	Investment Co./Variable Contracts Prin	Approved	11/04/2010
B Florida	Agent	Approved	05/31/2011
B Illinois	Agent	Approved	11/04/2010
B Texas	Agent	Approved	04/13/2023

Branch Office Locations

CAMBRIDGE INVESTMENT RESEARCH, INC.
SHOREWOOD, IL

Employment 2 of 2

Firm Name: **CAMBRIDGE INVESTMENT RESEARCH ADVISORS, INC.**
Main Address: 1776 PLEASANT PLAIN RD.
FAIRFIELD, IA 52556-8757
Firm ID#: 134139

Regulator	Registration	Status	Date
IA Illinois	Investment Adviser Representative	Approved	11/04/2010
IA Texas	Investment Adviser Representative	Restricted Approval	04/13/2023



Qualifications

Branch Office Locations

CAMBRIDGE INVESTMENT RESEARCH ADVISORS, INC.
SHOREWOOD, IL




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
 Investment Company Products/Variable Contracts Principal Examination (S26)	Series 26	03/09/1992

General Industry/Product Exams

Exam	Category	Date
 Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
 Investment Company Products/Variable Contracts Representative Examination (S6)	Series 6	08/17/1982

State Securities Law Exams

Exam	Category	Date
 Uniform Investment Adviser Law Examination (S65)	Series 65	01/26/2002
 Uniform Securities Agent State Law Examination (S63)	Series 63	08/28/1991

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
IA	06/04/2009 - 11/01/2010	SPC	CRD# 110692	SHOREWOOD, IL
B	01/02/2009 - 11/01/2010	SAMMONS SECURITIES COMPANY, LLC	CRD# 115368	SHOREWOOD, IL
IA	02/02/2006 - 12/31/2008	WOODBURY FINANCIAL SERVICES, INC.	CRD# 421	SHOREWOOD, IL
B	08/11/2004 - 12/31/2008	WOODBURY FINANCIAL SERVICES, INC.	CRD# 421	SHOREWOOD, IL
B	01/03/2001 - 08/20/2004	THE O.N. EQUITY SALES COMPANY	CRD# 2936	CINCINNATI, OH
B	08/20/1982 - 12/22/2000	PRUCO SECURITIES CORPORATION	CRD# 5685	NEWARK, NJ

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
11/2010 - Present	CAMBRIDGE INVESTMENT RESEARCH ADVISORS, INC	IA REP	Y	FAIRFIELD, IA, United States
11/2010 - Present	CAMBRIDGE INVESTMENT RESEARCH, INC	REG REP	Y	FAIRFIELD, IA, 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.

- 1) GIESE FINANCIAL GROUP DBA; DENNIS GIESE OWNER STARTED 12/2000 10 HOURS PER WEEK SALE OF VARIOUS LINES OF INSURANCE THROUGH VARIOUS INSURANCE COMPANIES.
- 2) FLORIDA CONDO 450 CERROMAR RD UNIT 284 VENICE, FL 34293 OWNER SINCE 06/11/2003 NON INVESTMENT RELATED 15 HOURS MONTHLY NON TRADING TIME RENTAL CONDO .
- 3) CIRA, 1776 PLEASANT PLAIN RD, FAIRFIELD, IA, AS ADVISORY REP OF A RIA, INV REL, 160 HR/MO - 80 HR/MO TRADING 02/07/2012



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

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: 05/04/1988

Docket/Case Number: CHI-1020

Employing firm when activity occurred which led to the regulatory action:

Product Type: No Product

Allegations: ARTICLE III, SECTIONS 1 AND 27 OF THE RULES OF FAIR PRACTICE IN THAT AN INDIVIDUAL OFFERED AND SOLD SECURITIES TO MEMBERS OF THE PUBLIC AND PERMITTED AND ASSISTED AN INDIVIDUAL'S PARTICIPATION IN SUCH ACTIVITIES IN THAT, AMONG OTHER THINGS, HE PERMITTED THIS PERSON TO ACCOMPANY HIM TO AND PARTICIPATE IN THE SALES PRESENTATION OF THE SECURITIES AND ENTERED INTO AN AGREEMENT TO PAY THIS INDIVIDUAL A PORTION OF THE COMMISSIONS EARNED WHEN HE KNEW OR SHOULD HAVE KNOWN THAT THIS INDIVIDUAL WAS NOT REGISTERED FOR SUCH ACTIVITY; AND, IN CONNECTION WITH SUCH ACTIVITIES RESPONDENT GEISE FAILED TO PROPERLY SUPERVISE THE REPRESENTATIVE.

Current Status: Final

Resolution: Decision



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:

07/19/1989

Sanctions Ordered:

Censure
Civil and Administrative Penalty(ies)/Fine(s)
Monetary Penalty other than Fines
Other: COSTS OF \$561.20

Regulator Statement

DECISION RENDERED 1/31/89, WHEREIN GEISE IS CENSURED, FINED \$5,000.00, ASSESSED COSTS OF \$561.20 AND IS REQUIRED TO REQUALIFY FOR REGISTRATION BY PASSING THE INVESTMENT COMPANY AND VARIABLE CONTRACTS PRODUCTS REPRESENTATIVE EXAMINATION OR BY PASSING, IF HE SO CHOOSES, EITHER THE GENERAL SECURITIES REPRESENTATIVE EXAMINATION OR GENERAL SECURITIES PRINCIPAL EXAMINATION, WITHIN THREE MONTHS OF THE DATE OF THIS DECISION. 2/15/89 - APPEALED TO THE BOARD OF GOVERNORS BY GIESE. BOARD OF GOVERNORS DECISION RENDERED 6/20/89, WHEREIN THE FINDINGS MADE ARE AFFIRMED AND THE SANCTIONS IMPOSED ARE MODIFIED; THEREFORE, GIESE IS CENSURED, FINED \$3,000.00 AND ASSESSED COSTS OF \$561.20. 7/19/89 - DECISION IS FINAL. FINES PAID ON 08/10/1989.

Reporting Source:

Individual

Regulatory Action Initiated By:

BOARD OF GOVERNORS NASD

Sanction(s) Sought:

Other Sanction(s) Sought:

NONE

Date Initiated:

05/04/1988

Docket/Case Number:

CHI-1020

Employing firm when activity occurred which led to the regulatory action:

PRUCO/PRUDENTIAL INSURANCE COMPANY

Product Type:

Insurance

Other Product Type(s):

VARIABLE LIFE INSURANCE

Allegations:

FAILURE TO SUPERVISE-A LICENSED AGT GAVE COMMISSIONS TO AN UNLICENSED AGT

Current Status:

Final

Resolution:

Decision

Resolution Date:

07/19/1989

Sanctions Ordered:

Censure
Monetary/Fine \$3,000.00

Other Sanctions Ordered:

NONE

Sanction Details:

\$3000 FINE PLUS COSTS \$561.20, CENSURE

Broker Statement

AGENTS PAID COMMISSION TO EACH OTHER ON A



SECURITY PRODUCT. ONE AGENT WAS NOT LICENSED. I WAS FINDED FOR FAILURE TO SUPERVISE.



End of Report

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