



## IAPD Report

# DOMINGOS ALEXANDER NOYA

CRD# 1398190

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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

### DOMINGOS ALEXANDER NOYA (CRD# 1398190)

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 **01/20/2026**.

### CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
<b>B</b>	LINCOLN INVESTMENT	CRD# 519	08/02/2010
<b>IA</b>	LINCOLN INVESTMENT	CRD# 519	03/25/2021
<b>IA</b>	CAPITAL ANALYSTS	CRD# 162200	08/02/2021

### QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **17** 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>B</b>	GREAT AMERICAN ADVISORS, INC.	36451	EAST ISLIP, NY	02/15/2005 - 08/02/2010
<b>B</b>	PMG SECURITIES CORPORATION	27107	ELGIN, IL	09/28/1992 - 02/15/2005

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

### Employment 1 of 2

Firm Name: **LINCOLN INVESTMENT**  
Main Address: 601 OFFICE CENTER DRIVE  
SUITE 300  
FORT WASHINGTON, PA 19034-3232  
Firm ID#: 519

	Regulator	Registration	Status	Date
B	FINRA	Invest. Co and Variable Contracts	Approved	08/02/2010
B	FINRA	Investment Co./Variable Contracts Prin	Approved	01/22/2015
B	California	Agent	Approved	08/22/2011
B	Connecticut	Agent	Approved	08/02/2010
B	Delaware	Agent	Approved	01/30/2019
B	Florida	Agent	Approved	08/04/2010
IA	Florida	Investment Adviser Representative	Approved	09/06/2023
B	Georgia	Agent	Approved	12/11/2025
B	Maryland	Agent	Approved	01/07/2019
B	Massachusetts	Agent	Approved	04/01/2011
B	New Jersey	Agent	Approved	11/27/2012
B	New Mexico	Agent	Approved	08/02/2010
B	New York	Agent	Approved	08/02/2010



### Qualifications

Regulator	Registration	Status	Date
IA New York	Investment Adviser Representative	Approved	03/25/2021
B North Carolina	Agent	Approved	08/02/2010
B Pennsylvania	Agent	Approved	08/02/2010
B South Carolina	Agent	Approved	08/02/2010
B Tennessee	Agent	Approved	11/27/2012
B Texas	Agent	Approved	01/05/2021
B Virginia	Agent	Approved	08/15/2011
B Wyoming	Agent	Approved	01/04/2012

### Branch Office Locations

**LINCOLN INVESTMENT**  
Jupiter, FL

**LINCOLN INVESTMENT**  
640 Johnson Ave.  
Ste. 102  
Bohemia, NY 11716

### Employment 2 of 2

Firm Name: **CAPITAL ANALYSTS**  
Main Address: 601 OFFICE CENTER DRIVE  
SUITE 300  
FORT WASHINGTON, PA 19034-3232  
Firm ID#: 162200

Regulator	Registration	Status	Date
IA Florida	Investment Adviser Representative	Approved	09/27/2023
IA New York	Investment Adviser Representative	Approved	08/02/2021

### Branch Office Locations

**CAPITAL ANALYSTS**  
640 Johnson Ave.  
Ste. 102



## Qualifications

Bohemia, NY 11716




## 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	01/22/2015

#### 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	09/30/1999

#### State Securities Law Exams

Exam	Category	Date
 Uniform Investment Adviser Law Examination (S65)	Series 65	09/03/2023
 Uniform Securities Agent State Law Examination (S63)	Series 63	12/24/1992

### 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
B	02/15/2005 - 08/02/2010	GREAT AMERICAN ADVISORS, INC.	CRD# 36451	EAST ISLIP, NY
B	09/28/1992 - 02/15/2005	PMG SECURITIES CORPORATION	CRD# 27107	ELGIN, IL

### 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
08/2010 - Present	LINCOLN INVESTMENT	Mass Transfer	Y	EAST ISLIP, NY, United States
02/2005 - Present	GREAT AMERICAN ADVISORS, INC.	Mass Transfer	Y	CINCINNATI, OH, United States
01/1985 - Present	CONNECTICUT MUTUAL LIFE INS COMPANY	AGENT - Agent	N	WOODBURY, CT, United States
11/1981 - Present	EMPLOYEE BENEFIT PLANNERS	OTHER - VICE PRES, SALES	N	E ISLIP, NY, 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.

#### MANHATTAN LIFE

POSITION: Independent Contractor NATURE: Fixed Annuities INVESTMENT RELATED: Yes NUMBER OF HOURS: 5  
SECURITIES TRADING HOURS: 3 START DATE: 06/01/2016  
ADDRESS: 929 W. Sprague Avenue, Spokane WA 99210, United States  
DESCRIPTION: Selling Fixed Annuities

#### LIFE AND HEALTH ASSOCIATES

POSITION: Independent contractor NATURE: Life Insurance INVESTMENT RELATED: Yes NUMBER OF HOURS: 2  
SECURITIES TRADING HOURS: 1 START DATE: 01/01/2001  
ADDRESS: 31 Parsonage Way, Manalapan NJ 07726, United States  
DESCRIPTION: Meeting with clients to complete the proper data gathering to see what the appropriate insurance solution is

#### NEST EGG BUILDERS

POSITION: Independent Contractor Sales NATURE: Life/fixed annuity INVESTMENT RELATED: Yes NUMBER OF HOURS: 10  
SECURITIES TRADING HOURS: 5 START DATE: 01/01/2000  
ADDRESS: Route 22 Hopewell Junction N.Y., Hopewell Junction, New York NY 12533, United States  
DESCRIPTION: Through normal client contact, phone calls general discussion



## 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:**

**Other Sanction(s) Sought:**

**Date Initiated:** 07/15/1999

**Docket/Case Number:** C10990105

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

**Product Type:** Other

**Other Product Type(s):**

**Allegations:** LTR: 07/23/99, TO BD# 27107, CODES: B,O,P,Q,T  
 07/21/99GK: ON JULY 15, 1999, DISTRICT NO. 10 NOTIFIED RESPONDENT DOMINGOS A. NOYA THAT THE LETTER OF AWC NO. C10990105 WAS ACCEPTED; THEREFORE, HE IS CENSURED, FINED \$2,500, SUSPENDED FROM ASSOCIATION WITH ANY NASD MEMBER IN ANY CAPACITY FOR TEN BUSINESS DAYS, AND ORDERED TO REQUALIFY BY EXAMINATION AS A SERIES 6 INVESTMENT REPRESENTATIVE WITHIN 90 DAYS FROM THE DATE THIS AWC IS ISSUED. IF RESPONDENT FAILS TO REQUALIFY WITHIN THIS MANDATED PERIOD, HE WILL BE SUSPENDED FROM ASSOCIATION WITH ANY NASD MEMBER IN THAT CAPACITY UNTIL SUCH EXAMINATION IS SUCCESSFULLY COMPLETED - (NASD RULES 2110 AND 2330 - RESPONDENT NOYA MADE GUARANTEES TO A PUBLIC CUSTOMER IN THE CUSTOMER'S VARIABLE ANNUITY ACCOUNT, OFFERING TO PAY A



MAXIMUM LIABILITY OF \$1,841 TO THE CUSTOMER IF LOSSES WERE NOT RECOVERED).

**Current Status:** Final  
**Resolution:** Acceptance, Waiver & Consent(AWC)  
**Resolution Date:** 07/15/1999  
**Sanctions Ordered:** Censure  
Monetary/Fine \$2,500.00  
Suspension

**Other Sanctions Ordered:**  
**Sanction Details:** SUSPENDED FOR 10 BUSINESS DAYS  
REQUALIFICATION AS SERIES 6

**Regulator Statement** 12-07-99, THE SUSPENSION WILL COMMENCE WITH THE OPENING OF BUSINESS ON SEPTEMBER 20, 1999 AND CONCLUDE AT THE CLOSE OF BUSINESS ON OCTOBER 1, 1999.

02-01-00, \$2,500 PAID ON 8/16/99, INVOICE #99-10-652

**Reporting Source:** Individual  
**Regulatory Action Initiated By:** NASD  
**Sanction(s) Sought:** Censure  
**Other Sanction(s) Sought:** \$2,500 FINE; SUSPENSION FOR TEN DAYS, REQUALIFY BY EXAMINATION WITHIN 90 DAYS FROM THE DATE OF AWC (JULY 15, 1999)  
**Date Initiated:** 11/30/1998  
**Docket/Case Number:** C10990105  
**Employing firm when activity occurred which led to the regulatory action:** PMG SECURITIES CORP.

**Product Type:** Annuity(ies) - Variable  
**Other Product Type(s):**

**Allegations:** THE NASD ALLEGED THAT I WROTE TO A CLIENT AGREEING TO REIMBURSE HIM FOR LOSSES ON A VARIABLE ANNUITY.

**Current Status:** Final  
**Resolution:** Acceptance, Waiver & Consent(AWC)  
**Resolution Date:** 07/15/1999  
**Sanctions Ordered:** Censure  
Monetary/Fine \$2,500.00  
Suspension

**Other Sanctions Ordered:** REQUALIFY BY EXAMINATION

**Sanction Details:** ON JULY 15, 1999 I WAS NOTIFIED THAT THE NASD ACCEPTED MY LETTER OF ACCEPTANCE WAIVER AND CONSENT. PURSUANT TO THE TERMS OF THIS AWC, I ACCEPTED WITHOUT ADMITTING OR DENYING THE ALLEGED VIOLATIONS, A CENSURE, A \$2500.00 FINE, A 10 DAY SUSPENSION AND REQUALIFICATION FOR THE SERIES 6 EXAM.



**Broker Statement**

I ENTERED INTO THIS AWC TO RESOLVE THIS MATTER WITHOUT THE COSTS AND EXPENSES OF LITIGATION. THE LETTER WAS WRITTEN TO CALM THE CLIENTS' FEARS. NO PAYMENT AND/OR TRANSACTION RESULTED FROM THE LETTER.



## End of Report

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