



## IAPD Report

# DIRK DAVID RABENOLD

CRD# 1407291

<b><u>Section Title</u></b>	<b><u>Page(s)</u></b>
Report Summary	1
Qualifications	2 - 5
Registration and Employment History	7 - 8
Disclosure Information	9

**i** When communicating online or investing with any professional, make sure you know who you're dealing with. [Imposters](#) might link to sites like BrokerCheck from [phishing](#) or similar scam websites, or through [social media](#), trying to steal your personal information or your money.  
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

#### DIRK DAVID RABENOLD (CRD# 1407291)

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 **03/11/2026**.

#### CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
<b>B</b>	LPL FINANCIAL LLC	CRD# 6413	07/10/2025
<b>IA</b>	LPL FINANCIAL LLC	CRD# 6413	07/10/2025
<b>IA</b>	RABENOLD ADVISORS, INC.	CRD# 283882	02/24/2026

#### QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **30** 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>IA</b>	RABENOLD ADVISORS, INC.	283882	WILLIAMSVILLE, NY	05/24/2022 - 12/31/2025
<b>IA</b>	NEXT FINANCIAL GROUP, INC.	46214	WILLIAMSVILLE, NY	04/19/2011 - 07/10/2025
<b>B</b>	NEXT FINANCIAL GROUP, INC.	46214	WILLIAMSVILLE, NY	08/20/2007 - 07/10/2025

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
Customer Dispute	2



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

#### Employment 1 of 2

Firm Name: **RABENOLD ADVISORS, INC.**  
Main Address: 5930 MAIN STREET  
SUITE 400  
WILLIAMSVILLE, NY 14221  
Firm ID#: 283882

Regulator	Registration	Status	Date
IA New York	Investment Adviser Representative	Approved	02/24/2026

#### Branch Office Locations

**RABENOLD ADVISORS, INC.**  
5930 MAIN STREET  
SUITE 400  
WILLIAMSVILLE, NY 14221

#### Employment 2 of 2

Firm Name: **LPL FINANCIAL LLC**  
Main Address: 1055 LPL WAY  
FORT MILL, SC 29715  
Firm ID#: 6413

Regulator	Registration	Status	Date
B FINRA	General Securities Principal	Approved	07/10/2025
B FINRA	General Securities Representative	Approved	07/10/2025
B FINRA	Municipal Securities Principal	Approved	07/10/2025
B FINRA	Municipal Securities Representative	Approved	07/10/2025
B FINRA	Registered Options Principal	Approved	07/10/2025
B Arizona	Agent	Approved	07/10/2025



### Qualifications

Regulator	Registration	Status	Date
B California	Agent	Approved	07/10/2025
B Colorado	Agent	Approved	07/10/2025
B Delaware	Agent	Approved	01/22/2026
B District of Columbia	Agent	Approved	07/10/2025
B Florida	Agent	Approved	07/11/2025
IA Florida	Investment Adviser Representative	Approved	07/11/2025
B Georgia	Agent	Approved	07/10/2025
B Hawaii	Agent	Approved	07/10/2025
B Illinois	Agent	Approved	07/10/2025
B Indiana	Agent	Approved	07/10/2025
B Kentucky	Agent	Approved	07/10/2025
B Maryland	Agent	Approved	07/10/2025
B Massachusetts	Agent	Approved	11/14/2025
B Michigan	Agent	Approved	07/10/2025
B Minnesota	Agent	Approved	07/10/2025
B Mississippi	Agent	Approved	07/10/2025
B Missouri	Agent	Approved	07/10/2025
B Nevada	Agent	Approved	07/10/2025



### Qualifications

Regulator	Registration	Status	Date
B New Jersey	Agent	Approved	07/10/2025
B New Mexico	Agent	Approved	07/10/2025
B New York	Agent	Approved	07/10/2025
IA New York	Investment Adviser Representative	Approved	07/10/2025
B North Carolina	Agent	Approved	07/10/2025
B Ohio	Agent	Approved	07/10/2025
B Oregon	Agent	Approved	07/10/2025
B Pennsylvania	Agent	Approved	07/10/2025
B South Carolina	Agent	Approved	07/10/2025
B Tennessee	Agent	Approved	07/10/2025
B Texas	Agent	Approved	07/10/2025
IA Texas	Investment Adviser Representative	Restricted Approval	07/10/2025
B Utah	Agent	Approved	07/10/2025
B Virginia	Agent	Approved	07/10/2025

### Branch Office Locations

**LPL FINANCIAL LLC**  
5930 MAIN STREET SUITE 400  
WILLIAMSVILLE, NY 14221






## 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 3 principal/supervisory exams, 4 general industry/product exams, and 2 state securities law exams.**



#### Principal/Supervisory Exams

Exam	Category	Date
 Municipal Securities Principal Examination (S53)	Series 53	03/30/2021
 Registered Options Principal Examination (S4)	Series 4	08/25/2020
 General Securities Principal Examination (S24)	Series 24	09/06/2011

#### General Industry/Product Exams

Exam	Category	Date
 Municipal Securities Representative Examination (S52TO)	Series 52TO	01/02/2023
 Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
 National Commodity Futures Examination (S3)	Series 3	07/03/1991
 General Securities Representative Examination (S7)	Series 7	10/19/1985

#### State Securities Law Exams

Exam	Category	Date
 Uniform Investment Adviser Law Examination (S65)	Series 65	06/23/1992
 Uniform Securities Agent State Law Examination (S63)	Series 63	11/11/1985



## 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
IA	05/24/2022 - 12/31/2025	RABENOLD ADVISORS, INC.	CRD# 283882	WILLIAMSVILLE, NY
IA	04/19/2011 - 07/10/2025	NEXT FINANCIAL GROUP, INC.	CRD# 46214	WILLIAMSVILLE, NY
B	08/20/2007 - 07/10/2025	NEXT FINANCIAL GROUP, INC.	CRD# 46214	WILLIAMSVILLE, NY
IA	08/23/2005 - 08/27/2007	JANNEY MONTGOMERY SCOTT LLC	CRD# 463	WILLIAMSVILLE, NY
B	04/22/2002 - 08/27/2007	JANNEY MONTGOMERY SCOTT LLC	CRD# 463	WILLIAMSVILLE, NY
B	01/27/1995 - 05/16/2002	PRUDENTIAL SECURITIES INCORPORATED	CRD# 7471	NEW YORK, NY
B	07/31/1993 - 02/09/1995	SMITH BARNEY INC.	CRD# 7059	NEW YORK, NY
B	07/03/1989 - 07/31/1993	LEHMAN BROTHERS INC.	CRD# 7506	NEW YORK, NY
B	09/23/1986 - 07/18/1989	PRUDENTIAL-BACHE SECURITIES INC.	CRD# 7471	NEW YORK, NY
B	10/23/1985 - 09/19/1986	AMERICAN HERITAGE SECURITIES CORPORATION	CRD# 16130	

### 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
07/2025 - Present	LPL FINANCIAL LLC	Registered Representative	Y	WILLIAMSVILLE, NY, United States
08/2007 - 07/2025	NEXT FINANCIAL GROUP INC	REGISTERED REPRESENTATIVE	Y	WILLIAMSVILLE, NY, United States



## Registration & Employment History



### 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- 07/2025 - Sweet Home Central School Board - Politics/ Government - Not Investment Related - Amherst, NY - Start Date 05/21/2024 - 25 hours per month/ 5 hours during trading

2- 07/2025 - Rabenold Wealth Management, Inc. - DBA for LPL Business (entity for LPL business) - Investment Related - At Reported Business Location(s) - Start Date 08/13/2007 - 160 hours per month/ 7 hours during trading

3- 07/2025 - Amherst Republican Committee - Politics/ Government - Not Investment Related - Buffalo, NY - Start Date 03/25/1996 - 10 hours per month/ 2 hours during trading

4- 07/2025 - Rabenold Insurance - Non-Variable Insurance - Investment Related - At Reported Business Location(s) - Start Date 08/17/2007 - 20 hours per month/ 5 hours during trading

5- 02/18/2026 - Rabenold Advisors, Inc. - Registered Investment Advisor DBA - IAR - Investment Related - At Reported Business Location(s) - Start Date 07/18/2016 - 80 hours per month/ 0 hours during trading - I provide investment advisory services through Rabenold Advisors, Inc., an independent investment advisor firm. I started this business activity in 07/2016. I expect to spend approximately 80 hours per month on this activity. Please see the advisory firm's Form ADV for more information about its address, the nature of its business, its owners, and its services at <http://www.adviserinfo.sec.gov/IAPD>. The firm is separate from and independent of LPL Financial.



## 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
Customer Dispute	2

### Customer Dispute

This section provides information regarding a customer dispute that was reported to the Investment Adviser Registration Depository (IARD) by the Investment Adviser Representative (IAR), an investment adviser and/or securities firm, and/or a securities regulator. The event may include a consumer-initiated, investment-related complaint, arbitration proceeding or civil suit that contains allegations of sales practice violations against the individual.

The customer dispute may be pending or may have resulted in a civil judgment, arbitration award, monetary settlement, closure without action, withdrawal, dismissal, denial, or other outcome.

#### Disclosure 1 of 2

<b>Reporting Source:</b>	Individual
<b>Employing firm when activities occurred which led to the complaint:</b>	NEXT FINANCIAL GROUP, INC.
<b>Allegations:</b>	In September 2021, the customer directed a \$450,000 wire transfer from the customer's investment account to the customer's personal bank account. The customer subsequently became a victim of a fraudulent telephone scam where the customer transferred the funds from the customer's bank account to a third party in a fraudulent investment. The customer now alleges that she did not understand what she was doing at the time and the registered representative should not have honored the customer's directive to transfer funds from the customer's investment account to the customer's personal bank account.
<b>Product Type:</b>	No Product
<b>Alleged Damages:</b>	\$5,000.00
<b>Alleged Damages Amount Explanation (if amount not exact):</b>	Damages unspecified but reasonably believe damages to be in excess of \$5,000
<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
<b>Arbitration/Reparation forum or court name and location:</b>	FINRA
<b>Docket/Case #:</b>	22-01805



Filing date of arbitration/CFTC reparation or civil litigation: 08/10/2022

### Customer Complaint Information

Date Complaint Received: 08/18/2022

Complaint Pending? No

Status: Evolved into Arbitration/CFTC reparation (the individual is a named party)

Status Date: 08/12/2022

Settlement Amount:

Individual Contribution Amount:

### Arbitration Information

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

Docket/Case #: [22-01805](#)

Date Notice/Process Served: 08/18/2022

Arbitration Pending? No

Disposition: Settled

Disposition Date: 02/09/2024

Monetary Compensation Amount: \$117,500.00

Individual Contribution Amount: \$0.00

Broker Statement

I deny any wrongdoing in connection with this complaint. I investigated the customer's request prior to initiating the wire transfer to her personal bank account. The disputed funds were transferred by the customer from her bank to a third party without my involvement. This matter was settled for business reasons to avoid the cost and uncertainty of proceeding to hearing. I did not individually contribute to the settlement payment.

### Disclosure 2 of 2

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: PRUDENTIAL SECURITIES

Allegations: CLIENTS ALLEGE MISREPRESENTATION AND UNSUITABLE INVESTMENT RECOMMENDATIONS RELATING TO THEIR ACCOUNT.

Product Type: Equity Listed (Common & Preferred Stock)

Alleged Damages: \$65,674.65

### Customer Complaint Information

Date Complaint Received: 11/05/1999

Complaint Pending? No



**Status:** Arbitration/Reparation

**Status Date:** 12/15/2000

**Settlement Amount:**

**Individual Contribution Amount:**

**Arbitration Information**

**Arbitration/Reparation Claim filed with and Docket/Case No.:** NASD ARBITRATION NUMBER 99-04143

**Date Notice/Process Served:** 11/05/1999

**Arbitration Pending?** No

**Disposition:** Settled

**Disposition Date:** 12/15/2000

**Monetary Compensation Amount:** \$70,000.00

**Individual Contribution Amount:** \$14,000.00

**Broker Statement** COST TO DEFEND WAS GREATER THAN THE AMOUNT TO SETTLE. IN NO WAY DO I ADMIT TO ANY WRONG DOING OF ANY KIND.



## End of Report

This page is intentionally left blank.