IAPD Report

DANNY J VIOLA

CRD# 1459036

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

[User Guidance](#)

[www.adviserinfo.sec.gov](#)

Report Summary

DANNY J VIOLA (CRD# 1459036)

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 **04/14/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	RBC CAPITAL MARKETS, LLC	CRD# 31194	11/04/2010
IA	RBC CAPITAL MARKETS, LLC	CRD# 31194	11/04/2010

QUALIFICATIONS

This representative is currently registered in **22** SRO(s) and **12** 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	UBS FINANCIAL SERVICES INC.	8174	BROOKFIELD, WI	08/12/2006 - 11/11/2010
IA	UBS FINANCIAL SERVICES INC.	8174	BROOKFIELD, WI	08/12/2006 - 11/11/2010
B	PIPER JAFFRAY & CO.	665	DELAFIELD, WI	02/16/2001 - 08/12/2006

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	3

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 **12** jurisdiction(s) and 22 SRO(s) through his or her employer(s).

Employment 1 of 1

Firm Name:	**RBC CAPITAL MARKETS, LLC**
Main Address:	200 VESEY ST. NEW YORK, NY 10281
Firm ID#:	31194

	Regulator	Registration	Status	Date
B	BOX Exchange LLC	General Securities Representative	Approved	05/11/2012
B	Cboe BYX Exchange, Inc.	General Securities Representative	Approved	11/18/2020
B	Cboe BZX Exchange, Inc.	General Securities Representative	Approved	11/18/2020
B	Cboe C2 Exchange, Inc.	General Securities Representative	Approved	11/18/2020
B	Cboe EDGA Exchange, Inc.	General Securities Representative	Approved	11/18/2020
B	Cboe EDGX Exchange, Inc.	General Securities Representative	Approved	11/18/2020
B	Cboe Exchange, Inc.	General Securities Representative	Approved	11/04/2010
B	FINRA	General Securities Representative	Approved	11/04/2010
B	Investors' Exchange LLC	General Securities Representative	Approved	11/18/2020
B	Long-Term Stock Exchange, Inc.	General Securities Representative	Approved	11/02/2020
B	MEMX LLC	General Securities Representative	Approved	11/01/2020
B	MIAX PEARL, LLC	General Securities Representative	Approved	11/02/2020
B	NYSE American LLC	General Securities Representative	Approved	11/04/2010

Qualifications

	Regulator	Registration	Status	Date
B	NYSE Arca, Inc.	General Securities Representative	Approved	11/04/2010
B	NYSE National, Inc.	General Securities Representative	Approved	11/18/2020
B	NYSE Texas, Inc.	General Securities Representative	Approved	11/18/2020
B	Nasdaq GEMX, LLC	General Securities Representative	Approved	11/18/2020
B	Nasdaq ISE, LLC	General Securities Representative	Approved	11/04/2010
B	Nasdaq PHLX LLC	General Securities Representative	Approved	11/04/2010
B	Nasdaq Stock Market	General Securities Representative	Approved	11/04/2010
B	Nasdaq Texas, LLC	General Securities Representative	Approved	11/04/2010
B	New York Stock Exchange	General Securities Representative	Approved	11/04/2010
B	Arizona	Agent	Approved	09/30/2013
B	California	Agent	Approved	11/04/2010
B	Colorado	Agent	Approved	01/02/2020
B	Florida	Agent	Approved	11/04/2010
IA	Florida	Investment Adviser Representative	Approved	12/21/2023
B	Illinois	Agent	Approved	11/04/2010
B	Michigan	Agent	Approved	11/04/2010
B	Oregon	Agent	Approved	04/14/2026
B	South Carolina	Agent	Approved	02/23/2023
B	Tennessee	Agent	Approved	10/06/2016

Qualifications

	Regulator	Registration	Status	Date
B	Texas	Agent	Approved	07/08/2013
IA	Texas	Investment Adviser Representative	Restricted Approval	07/20/2016
B	Washington	Agent	Approved	11/13/2019
B	Wisconsin	Agent	Approved	11/04/2010
IA	Wisconsin	Investment Adviser Representative	Approved	11/04/2010

Branch Office Locations

RBC CAPITAL MARKETS, LLC
18500 W CORPORATE DRIVE
SUITE 100
BROOKFIELD, WI 53045

RBC CAPITAL MARKETS, LLC
Waukesha, WI

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 2 state securities law exams.

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	Futures Managed Funds Examination (S31)	Series 31	07/17/2003
B	General Securities Representative Examination (S7)	Series 7	02/15/1986

State Securities Law Exams

	Exam	Category	Date
IA	Uniform Investment Adviser Law Examination (S65)	Series 65	08/01/1994
B	Uniform Securities Agent State Law Examination (S63)	Series 63	03/12/1986

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	08/12/2006 - 11/11/2010	UBS FINANCIAL SERVICES INC.	CRD# 8174	BROOKFIELD, WI
IA	08/12/2006 - 11/11/2010	UBS FINANCIAL SERVICES INC.	CRD# 8174	BROOKFIELD, WI
B	02/16/2001 - 08/12/2006	PIPER JAFFRAY & CO.	CRD# 665	DELAFIELD, WI
B	04/12/1990 - 02/27/2001	PAINEWEBBER INCORPORATED	CRD# 8174	WEEHAWKEN, NJ
B	02/15/1988 - 05/01/1990	SHEARSON LEHMAN HUTTON INC.	CRD# 7506	NEW YORK, NY
B	02/19/1986 - 02/15/1988	E. F. HUTTON & COMPANY INC	CRD# 235	

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	RBC CAPITAL MARKETS, LLC	FINANCIAL ADVISOR	Y	BROOKFIELD, WI, 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.

No information reported.

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	3

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 3

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	UBS FINANCIAL SERVICES INC.
Allegations:	TIME FRAME: 2006-JANUARY 2009. CLAIMANT ALLEGES UNSUITABLE INVESTMENTS ADVICE.
Product Type:	Other: EQUITIES
Alleged Damages:	$20,000.00
Is this an oral complaint?	No
Is this a written complaint?	Yes
Is this an arbitration/CFTC reparation or civil litigation?	Yes
Arbitration/Reparation forum or court name and location:	FINRA
Docket/Case #:	10-00993
Filing date of arbitration/CFTC reparation or civil litigation:	04/15/2010

Customer Complaint Information

Date Complaint Received:	04/15/2010
Complaint Pending?	No

Status:	Closed/No Action
Status Date:	09/17/2010
Settlement Amount:	
Individual Contribution Amount:	
Broker Statement	ALL OF THE CLAIMANT"S ASSERTIONS ARE UNFOUNDED. AT ALL TIMES CLAIMANT'S ASSETS WERE INVESTED WITH FULL KNOWLEDGE AND CONSENT. IN A DIVERSIFIED AND SUITABLE MANNER AMONG ASSET CLASSES CONSISTENT WITH CLAIMANT'S STATED INVESTMENT OBJECTIVES AS NOTED ON HER ACCOUNTS. CLAIMANT'S AND I MET AT LEAST ONCE EVERY YEAR AND AVERAGED 7 PHONE CONSULTATIONS ANNUALLY TO DISCUSS PORTFOLIO, MARKET/ECONOMIC CONDITIONS AND INVESTMENT OBJECTIVES. CLAIAMANT WAS, AT ALL TIMES, WELL INFORMED ON ALL INVESTMENT POSITIONS. CLAIMANT'S COMPLAINT WAS DIRECTED AT UBS. I, THE FINANCIAL ADVISOR, WAS NOT A NAMED PARTY IN THE COMPLAINT. OUTCOME: ON SEPTEMBER 15, 2010 ARBITRATOR DENIED ALL CLAIMS AND RELIEF REQUESTS MADE BY CLAIMANT. THIS MATTER IS CLOSED

Disclosure 2 of 3

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	UBS FINANCIAL SERVICES INC.
Allegations:	PARTICIPANT IN EMPLOYER'S PROFIT SHARING PLAN ALLEGES THAT THE PLAN ADMINISTATORS INVESTED THE PLAN IN AN UNSUITABLE MANNER BETWEEN 2006 AND 2008, AND ALSO BLAMES FINANCIAL ADVISOR TO THE PLAN, FOR HIS ALLEGED LOSSES.
Product Type:	Other: EQUITIES
Alleged Damages:	$500,000.00

Customer Complaint Information

Date Complaint Received:	
Complaint Pending?	
Status:	
Status Date:	04/08/2009
Settlement Amount:	
Individual Contribution Amount:	

Civil Litigation Information

Type of Court:	Federal Court
Name of Court:	WISCONSIN EASTERN DISTRICT FEDERAL COURTHOUSE
Location of Court:	WISCONSIN - MILWAUKEE
Docket/Case #:	09- C-0365
Date Notice/Process Served:	04/08/2009
Litigation Pending?	No

Disposition:	Settled
Disposition Date:	07/13/2010
Monetary Compensation Amount:	$7,500.00
Individual Contribution Amount:	$0.00
Broker Statement	THE ALLEGATION WHICH PLAINTIFF MAKES AGAINST ME AND MY FIRM ARE WITHOUT MERIT. PLAINTIFF, A PARTICIPANT IN A PROFIT SHARING PLAN FOR WHICH I AM BROKER OF RECORD, ALLEGES BREACH IF FIDUCIARY DUTY AGAINST THE TRUSTEES OF THE PLAN FOR THEIR ALLEGED MISHANDLING OF THE PLAN'S INVESTMENTS. I HAVE NEVER MET NOR SPOKEN WITH THE PLAINTIFF, NOR HAVE I PROVIDED ANY INVESTMENT ADVICE TO HIM, YET HE INCLUDES ME AND MY FIRM IN HIS SUIT. THE CHALLENGED INVESTMENT WAS PURCHASED AT THE SOLE DISCRETION OF ONE OF THE TRUSTEES, WAS NOT RECOMMENDED BY ME, AND IN FACT I HAVE RECORD SHOWING THAT I REPEATEDLY RECOMMENDED TOT HE TRUSTEES TO REALLOCATE THE ASSETS IN A MORE DIVERSIFIED FASHION. AS I NOTED WHEN THE CASE WAS FILED, THE ALLEGATIONS THAT PLAINTIFF MADE AGAINST UBS AND ME LACK MERIT. PLAINTIFF, A PARTICIPANT IN A PROFIT SHARING PLAN FOR WHICH I AM BROKER OF RECORD ALLEGED THAT THE TRUSTEES OF THE PLAN MISHANDLED THE PLAN'S INVESTMENTS, AND ALSO INCLUDED UBS AND ME AS DEFENDANTS EVEN THOUGH (I) I NEVER PROVIDED INVESTMENT ADVICE TO HIM AND (II) THE INVESTMENT AT ISSUE WAS PURCHASED AT THE DIRECTION OF ONE OT THE TRUSTEES, WAS NOT RECOMMEDED BY ME, AND IN FACT MY RECORDS SHOW THAT I REPEATLY RECOMMENDED THAT THE TRUSTEES REALLOCATE THE PLAN'S ASSETS. WHILE UBS DECIDED TO SETTLE THE CASE FOR NUISANCE VALUE, I WAS NOT A PARTY TO THAT SETTLEMENT NOR WAS I TO CONTRIBUTE TO THE SETTLEMENT.

Disclosure 3 of 3

Reporting Source:	Firm
Employing firm when activities occurred which led to the complaint:	UBS PAINEWEBBER INC.
Allegations:	CLIENT ALLEGES THAT PURCHASE OF PAINEWEBBER HIGH INCOME FUND B, "WAS NOT MADE PRUDENTLY, NOR WAS IT IN LINE WITH THE PARAMETERS [HE] SHARED WITH MR. VIOLA AT THE BEGINING OF [THEIR] INVESTMENT RELATIONSHIP." ALLAGES DAMAGES ESTIMATED TO EXCEED $5000.
Product Type:	Mutual Fund(s)
Alleged Damages:	

Customer Complaint Information

Date Complaint Received:	01/14/2002
Complaint Pending?	No
Status:	Denied
Status Date:	06/24/2002
Settlement Amount:	

Individual Contribution Amount:

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: UBS PAINEWEBBER INC.

Allegations: CLIENT ALLEGES THAT PURCHASE OF PAINEWEBBER HIGH INCOME FUND B, "WAS NOT MADE PRUDENTLY, NOR WAS IT IN LINE WITH THE PARAMETERS [HE] SHARED WITH MR. VIOLA AT THE BEGINNING OF [THEIR] INVESTMENT RELATIONSHIP." ALLEGES DAMAGES ESTIMATED TO EXCEED $5000.

Product Type: Mutual Fund(s)

Alleged Damages:

Customer Complaint Information

Date Complaint Received: 01/14/2002

Complaint Pending? No

Status: Denied

Status Date: 06/24/2002

Settlement Amount:

Individual Contribution Amount:

Broker Statement THIS CLIENT CLAIMED HE LOST MONEY IN A HIGH-YIELD BOND FUND THAT HE ASSERTS WAS AN UNSUITABLE INVESTMENT. CLIENT IS ALSO CLAIMING HE WAS/IS AN INEXPERIENCED INVESTOR & WAS NOT ADEQUATELY INFORMED OF RISKS INVOLVED. BOTH OF THESE CLAIMS ARE FRIVOLOUS. BEFORE THE INVESTMENT WAS RECOMMENDED THE CLIENT SPECIFICALLY STATED HE WANTED TO INVEST IN BOND FUNDS. THE CLIENT, HIMSELF, ADMITTED THIS IN A LETTER HELD ON FILE. FURTHERMORE, BEFORE MAKING THIS INVESTMENT THE CLIENT HAD SUBSTANTIAL PRIOR EXPERIENCE WITH BOND FUNDS, AS EVIDENCED BY LARGE HOLDINGS IN AT LEAST 2 OTHER BOND FUNDS WITH ANOTHER BROKERAGE. THEREFORE, HE UNDERSTOOD THE NATURE OF SUCH INVESTMENTS. HE FURTHER CLAIMS THAT TOO HIGH A PERCENTAGE OF HIS ASSETS WERE PLACED IN THIS INVESTMENT. AGAIN, NOT TRUE-THE INVESTMENT ACCOUNTED FOR APPROXIMATELY 9.6% OF TOTAL ASSETS, AND CONSISTED OF A DIVERSIFIED PORTFOLIO OF SEVERAL DOZEN BOND ISSUES. AFTER THIS INVESTMENT WAS IMPLEMENTED THE CLIENT & I SPOKE ON MULTIPLE OCCASIONS REGARDING HIS OVERALL PORTFOLIO. AT NO TIME DID HE MAKE ANY STATEMENTS THAT INDICATED HE WAS UNCOMFORTABLE HOLDING THIS PARTICULAR MUTUAL FUND. THE CLIENT HELD THIS INVESTMENT FOR APPROXIMATELY 28 MONTHS BEFORE SUDDENLY DECIDING IT WAS UNSUITABLE FOR HIM. CONVENIENTLY FOR THE CLIENT, THIS WAS ABOUT THE TIME THE FUND HAD FALLEN IN VALUE DUE TO A CONTRACTING ECONOMY. THIS INDIVIDUAL IS A KNOWLEDGEABLE & EXPERIENCED INVESTOR WHO IS SIMPLY ANGRY ABOUT LOSING MONEY & WHO IS NOW CLAIMING IGNORANCE IN AN ATTEMPT TO RECOUP HIS LOSS. THE FACT IS THIS INVESTMENT WAS SUITABLE AT THE TIME GIVEN THE CLIENT'S OBJECTIVES & WAS A PERFECTLY LEGITIMATE RECOMMENDATION THAT

ANY FINANCIAL ADVISOR WOULD MAKE IN GOOD CONSCIENCE.

End of Report

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