



IAPD Report

DEAN SALVATORE DIGNOTI

CRD# 1501042

<u>Section Title</u>	<u>Page(s)</u>
Report Summary	1
Qualifications	2 - 4
Registration and Employment History	5 - 6
Disclosure Information	7



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

DEAN SALVATORE DIGNOTI (CRD# 1501042)

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 **09/28/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	EQUITABLE ADVISORS, LLC	CRD# 6627	03/02/2023
IA	EQUITABLE ADVISORS, LLC	CRD# 6627	03/03/2023

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **10** 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	PRUDENTIAL FINANCIAL PLANNING SERVICES	5685	BOCA RATON, FL	06/14/2013 - 03/08/2023
B	PRUCO SECURITIES, LLC.	5685	BOCA RATON, FL	06/07/2013 - 03/08/2023
IA	VALIC FINANCIAL ADVISORS, INC.	42803	WEST PALM BEACH, FL	01/17/2008 - 05/30/2013

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

Employment 1 of 1

Firm Name: **EQUITABLE ADVISORS, LLC**
Main Address: 1345 AVENUE OF THE AMERICAS
NEW YORK, NY 10105
Firm ID#: 6627

	Regulator	Registration	Status	Date
B	FINRA	General Securities Principal	Approved	03/02/2023
B	FINRA	General Securities Representative	Approved	03/02/2023
B	Alabama	Agent	Approved	03/10/2023
B	Arizona	Agent	Approved	04/15/2026
B	Connecticut	Agent	Approved	05/27/2026
B	Florida	Agent	Approved	03/03/2023
IA	Florida	Investment Adviser Representative	Approved	03/03/2023
B	Georgia	Agent	Approved	03/10/2023
B	Maryland	Agent	Approved	05/04/2026
B	North Carolina	Agent	Approved	10/01/2026
B	Rhode Island	Agent	Approved	01/29/2025
B	Texas	Agent	Approved	04/06/2026
IA	Texas	Investment Adviser Representative	Restricted Approval	04/06/2026



Qualifications

Regulator	Registration	Status	Date
B Virginia	Agent	Approved	03/10/2023

Branch Office Locations

EQUITABLE ADVISORS, LLC
2255 GLADES ROAD
SUITE 412E
BOCA RATON, FL 33431

EQUITABLE ADVISORS, LLC
DELRAY BEACH, FL



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, 2 general industry/product exams, and 2 state securities law exams.

Principal/Supervisory Exams

Exam	Category	Date
 General Securities Sales Supervisor - General Module Examination (S10)	Series 10	06/30/2000
 General Securities Sales Supervisor - Options Module Examination (S9)	Series 9	05/26/2000
 General Securities Principal Examination (S24)	Series 24	03/03/1988

General Industry/Product Exams

Exam	Category	Date
 Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
 General Securities Representative Examination (S7)	Series 7	08/16/1986

State Securities Law Exams

Exam	Category	Date
 Uniform Investment Adviser Law Examination (S65)	Series 65	07/31/1995
 Uniform Securities Agent State Law Examination (S63)	Series 63	10/20/1986

PROFESSIONAL DESIGNATIONS

This section details that the representative has reported **0** professional designation(s).

No information reported.

Only professional designations listed in Question 8 of the Form U4 will appear in this section if the appropriate box is checked and verified by the issuing organization at the time of the filing. Learn more about eligible designations at [IARD](#) and [NASAA](#).



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	06/14/2013 - 03/08/2023	PRUDENTIAL FINANCIAL PLANNING SERVICES	CRD# 5685	BOCA RATON, FL
B	06/07/2013 - 03/08/2023	PRUCO SECURITIES, LLC.	CRD# 5685	BOCA RATON, FL
IA	01/17/2008 - 05/30/2013	VALIC FINANCIAL ADVISORS, INC.	CRD# 42803	WEST PALM BEACH, FL
B	01/15/2008 - 05/30/2013	VALIC FINANCIAL ADVISORS, INC.	CRD# 42803	WEST PALM BEACH, FL
IA	01/28/2005 - 01/11/2008	NEWBRIDGE FINANCIAL SERVICES GROUP, INC.	CRD# 130814	FT. LAUDERDALE, FL
B	02/06/2004 - 01/11/2008	NEWBRIDGE SECURITIES CORPORATION	CRD# 104065	FT. LAUDERDALE, FL
IA	10/14/2002 - 03/25/2003	RAYMOND JAMES FINANCIAL SERVICES	CRD# 6694	DUNEDIN, FL
B	06/03/2002 - 03/25/2003	RAYMOND JAMES FINANCIAL SERVICES, INC.	CRD# 6694	ST. PETERSBURG, FL
B	01/16/2001 - 06/11/2002	SALOMON SMITH BARNEY INC.	CRD# 7059	NEW YORK, NY
B	05/23/1995 - 01/17/2001	PRUDENTIAL SECURITIES INCORPORATED	CRD# 7471	NEW YORK, NY
B	07/27/1993 - 05/09/1995	MEYERS POLLOCK ROBBINS, INC.	CRD# 13436	NEW YORK, NY
B	01/18/1993 - 07/19/1993	EURO-ATLANTIC SECURITIES INC.	CRD# 21367	BOCA RATON, FL
B	07/07/1992 - 11/05/1992	OPPENHEIMER & CO., INC.	CRD# 630	NEW YORK, NY
B	01/02/1987 - 07/10/1992	J. W. GANT & ASSOCIATES, INC.	CRD# 7963	
B	08/21/1986 - 01/02/1987	MICHELIN AND COMPANY, INC.	CRD# 14447	



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
03/2023 - Present	Equitable Advisors LLC	Registered Representative	Y	New York, NY, United States
05/2013 - 03/2023	Pruco Securities Llc	Registered Representative	Y	BOCA RATON, FL, United States
05/2013 - 03/2023	The Prudential Insurance Company Of America	Financial Professional	N	BOCA RATON, FL, 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.

Independent Agent, sales and service of fixed insurance products.



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
Customer Dispute	3

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: TEXAS STATE SECURITIES BOARD

Sanction(s) Sought:

Other Sanction(s) Sought:

Date Initiated: 03/02/1993

Docket/Case Number: DOR-951

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

Product Type:

Other Product Type(s):

Allegations: Not Provided

Current Status: Final

Resolution: Consent

Resolution Date: 03/02/1993

Sanctions Ordered: Revocation/Expulsion/Denial

Other Sanctions Ordered:

Sanction Details: ON MARCH 2, 1993, DEAN S. DIGNOTI ENTERED INTO A CONSENT ORDER WITH THE TEXAS SECURITIES COMMISSIONER. WITHOUT



ADMITTING OR DENYING THE ALLEGATIONS, MR. DIGNOTI AGREED TO AN ORDER DENYING HIS APPLICATION FOR REGISTRATION AS A SECURITIES AGENT AND SALESMAN WITH EURO-ATLANTIC WITH AN UNDERSTANDING THAT HE WILL NOT RE-APPLY FOR A PERIOD OF SIX MONTHS. MR. DIGNOTI WORKING FOR EURO-ATLANTIC OFFERED FOR SALE SECURITIES TO A TEXAS RESIDENT AT A TIME WHEN HE WAS NOT DULY REGISTERED TO DO SO.

Regulator Statement Not Provided

Reporting Source: Individual

Regulatory Action Initiated By: STATE SECURITIES BOARD, STATE OF TEXAS

Sanction(s) Sought: Denial

Other Sanction(s) Sought:

Date Initiated: 02/08/1993

Docket/Case Number: DOR-951

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

Product Type: Equity - OTC

Other Product Type(s):

Allegations: ON OR ABOUT JANUARY 5TH AND 6TH, 1993, I OFFERED FOR SALE IN TEXAS A SECURITY AND AT THE TIME OF THE OFFER I WAS NOT REGISTERED IN TEXAS. VIOLATION OF SECTION 12 OF THE ACT.

Current Status: Final

Resolution: Consent

Resolution Date: 03/02/1993

Sanctions Ordered: Revocation/Expulsion/Denial

Other Sanctions Ordered:

Sanction Details: ON MARCH 2, 1993, DEAN S. DIGNOTI ENTERED INTO A CONSENT ORDER WITH THE TEXAS SECURITIES COMMISSIONER WITHOUT ADMITTING OR DENYING THE ALLEGATIONS. MR. DIGNOTI AGREED TO AN ORDER DENYING HIS APPLICATION FOR REGISTRATION AS A SECURITIES AGENT AND SALESMAN WITH EURO ATLANTIC WITH AN UNDERSTANDING THAT HE WILL NOT RE-APPLY FOR A PERIOD OF SIX MONTHS. MR. DIGNOTI WORKING FOR EURO ATLANTIC OFFERED FOR SALE SECURITIES TO A TEXAS RESIDENT AT A TIME WHEN HE WAS NOT DULY REGISTERED TO DO SO.



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:	PRUCO SECURITIES, LLC.
Allegations:	REGARDING THE 2013 INSURANCE POLICY, THE CLIENT ALLEGES THAT THE REPRESENTATIVE DID NOT FULLY DISCLOSE ALL THE FACTS REGARDING THE FREE LOOK PROVISION
Product Type:	Annuity-Variable
Alleged Damages:	\$0.00
Alleged Damages Amount Explanation (if amount not exact):	NO DAMAGE AMOUNT IS ALLEGED
Is this an oral complaint?	No
Is this a written complaint?	Yes
Is this an arbitration/CFTC reparation or civil litigation?	No

Customer Complaint Information

Date Complaint Received:	10/30/2013
Complaint Pending?	No
Status:	Withdrawn
Status Date:	11/14/2013
Settlement Amount:	
Individual Contribution Amount:	

Disclosure 2 of 3

Reporting Source:	Firm
Employing firm when activities occurred which led to the complaint:	NEWBRIDGE SECURITIES CORP.
Allegations:	CUSTOMER, THROUGH HIS COUNSEL, CLAIMS DIGNOTI RECOMMENDED THAT CUSTOMER PURCHASE AN INVESTMENT AWAY FROM NEWBRIDGE, AND THAT DIGNOTI CLAIMED TO HAVE INVESTED HIS OWN MONEY IN THIS ENTITY.
Product Type:	Direct Investment-DPP & LP Interests
Alleged Damages:	\$120,000.00



Customer Complaint Information

Date Complaint Received: 09/26/2008

Complaint Pending? No

Status: Settled

Status Date: 12/20/2011

Settlement Amount: \$35,000.00

Individual Contribution Amount: \$0.00

Civil Litigation Information

Type of Court: MONROE COUNTY

Name of Court: MONROE COUNTY CIRCUIT COURT

Location of Court: MONROE COUNTY

Docket/Case #: 08-CA-593-P

Date Notice/Process Served: 09/26/2008

Litigation Pending? No

Disposition: Settled

Disposition Date: 12/20/2011

Monetary Compensation Amount: \$35,000.00

Individual Contribution Amount: \$0.00

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: NEWBRIDGE SECURITIES, INC.

Allegations: CUSTOMER [CUSTOMER] ALLEGED THAT HE PURCHASED \$120,000 OF CHEMCO INTERNATIONAL, INC. BASED ON MY RECOMMENDATION IN MAY 2007

Product Type: No Product

Alleged Damages: \$120,000.00

Customer Complaint Information

Date Complaint Received: 09/26/2008

Complaint Pending? No

Status: Settled

Status Date: 12/20/2011

Settlement Amount: \$35,000.00

Individual Contribution Amount: \$0.00

Civil Litigation Information



Type of Court:	State Court
Name of Court:	CIRCUIT COURT OF THE 16TH JUDICIAL CIRCUIT
Location of Court:	MONROE COUNTY, FLORIDA
Docket/Case #:	08-CA-593-P
Date Notice/Process Served:	09/26/2008
Litigation Pending?	No
Disposition:	Settled
Disposition Date:	12/20/2011
Monetary Compensation Amount:	\$35,000.00
Individual Contribution Amount:	\$0.00
Broker Statement	[CUSTOMER] ALLEGED \$120,000 INVESTMENT IN CHEMCO INTERNATIONAL. CHEMCO IS A PRIVATE BUSINESS OWNED BY ONE PERSON. THERE ARE NO SHARES ISSUED OR OUTSTANDING WITH REGARDS TO CHEMCO. [CUSTOMER] MADE A PERSONAL LOAN TO CHEMCO INTERNATIONAL AFTER DISCUSSING WITH HIS ACCOUNTANT AND ATTORNEY. [CUSTOMER'S] DECISION TO PROVIDE FUNDING TO CHEMCO WAS NOT BASED SOLELY ON MY RECOMMENDATION. THERE WERE NO COMMISSIONS OR FEES PAID TO ME. THERE WAS NO TANGIBLE OR INTANGIBLE GAIN TO ME PERSONALLY. I HAVE NEVER SERVED AS A DIRECTOR NOR AM I INVOLVED IN THE OPERATIONS OF CHEMCO. MY ONLY RELATIONSHIP IS THAT THE OWNER OF CHEMCO IS A PERSONAL FRIEND.

Disclosure 3 of 3

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	PRUDENTIAL SECURITIES, INC.
Allegations:	CUSTOMER VERBALLY ALLEGED THAT HE WAS MISINFORMED AS TO ABILITY TO EXCHANGE WITHIN A MUTUAL FUND FAMILY PRIOR TO SETTLEMENT OF HIS INTIIAL PURCHASE.
Product Type:	Mutual Fund(s)
Alleged Damages:	\$47,500.00

Customer Complaint Information

Date Complaint Received:	06/06/1997
Complaint Pending?	No
Status:	Settled
Status Date:	06/30/1997
Settlement Amount:	\$47,500.00
Individual Contribution Amount:	\$0.00
Broker Statement	PRUDENTIAL SECURITIES INCORPORATED AGREED TO PAY THE



CUSTOMER \$47,500.00 TO SETTLE HIS CLAIMS. MR. DIGNOTI WAS NOT ASKED TO CONTRIBUTE TOWARD THE SETTLEMENT. THE CUSTOMER'S CLAIM AROSE SOLELY FROM A MISUNDERSTANDING BETWEEN PRUDENTIAL SECURITIES INCORPORATED AND THE CUSTOMER.



End of Report

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