



IAPD Report

DANIEL LAWRENCE PIMENTAL

CRD# 2196343

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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

DANIEL LAWRENCE PIMENTAL (CRD# 2196343)

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 **03/25/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
IA	ALIGNMENT FINANCIAL GROUP	CRD# 306644	03/26/2026

QUALIFICATIONS

This representative is currently registered in **0** SRO(s) and **1** 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	ALIGNMENT FINANCIAL GROUP	306644	EXETER, NH	04/19/2023 - 12/31/2025
IA	WELLS FARGO ADVISORS FINANCIAL NETWORK, LLC	11025	HINGHAM, MA	10/05/2015 - 02/26/2021
B	WELLS FARGO ADVISORS FINANCIAL NETWORK, LLC	11025	HINGHAM, MA	10/02/2015 - 02/26/2021

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 **1** jurisdiction(s) and **0** SRO(s) through his or her employer(s).

Employment 1 of 1

Firm Name: **ALIGNMENT FINANCIAL GROUP**

Main Address: EXETER, NH

Firm ID#: 306644

	Regulator	Registration	Status	Date
IA	New Hampshire	Investment Adviser Representative	Approved	03/26/2026

Branch Office Locations

ALIGNMENT FINANCIAL GROUP

EXETER, NH



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

Principal/Supervisory Exams

	Exam	Category	Date
	General Securities Principal Examination (S24)	Series 24	02/05/2003

General Industry/Product Exams

	Exam	Category	Date
	National Commodity Futures Examination (S3)	Series 3	04/22/2021
	Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
	General Securities Representative Examination (S7)	Series 7	08/27/1992

State Securities Law Exams

	Exam	Category	Date
 	Uniform Combined State Law Examination (S66)	Series 66	09/11/2007
	Uniform Securities Agent State Law Examination (S63)	Series 63	09/09/1992

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	04/19/2023 - 12/31/2025	ALIGNMENT FINANCIAL GROUP	CRD# 306644	EXETER, NH
IA	10/05/2015 - 02/26/2021	WELLS FARGO ADVISORS FINANCIAL NETWORK, LLC	CRD# 11025	HINGHAM, MA
B	10/02/2015 - 02/26/2021	WELLS FARGO ADVISORS FINANCIAL NETWORK, LLC	CRD# 11025	HINGHAM, MA
IA	07/10/2009 - 10/05/2015	RAYMOND JAMES FINANCIAL SERVICES ADVISORS, INC	CRD# 149018	HINGHAM, MA
B	01/08/2009 - 10/05/2015	RAYMOND JAMES FINANCIAL SERVICES, INC.	CRD# 6694	HINGHAM, MA
B	05/18/2007 - 12/31/2008	GOLDMAN, SACHS & CO.	CRD# 361	NEW YORK, NY
B	10/10/2003 - 04/30/2007	CREDIT SUISSE SECURITIES (USA) LLC	CRD# 816	BOSTON, MA
B	06/26/2002 - 10/13/2003	JEFFERIES & COMPANY, INC.	CRD# 2347	NEW YORK, NY
B	02/01/2000 - 11/09/2001	J.P. MORGAN SECURITIES INC.	CRD# 18718	NEW YORK, NY
B	11/12/1997 - 02/01/2000	HAMBRECHT & QUIST LLC	CRD# 940	SAN FRANCISCO, CA
B	10/15/1997 - 11/06/1997	HAMBRECHT & QUIST LLC	CRD# 940	
B	08/31/1992 - 10/28/1997	GRUNTAL & CO., L.L.C.	CRD# 372	NEW YORK, NY

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
01/2009 - Present	ALIGNMENT FINANCIAL GROUP, LLC	PRINCIPAL	Y	EXETER, NH, United States
10/2015 - 02/2021	WELLS FARGO ADVISORS FINANCIAL NETWORK, LLC	REGISTERED REPRESENTATIVE AND INVESTMENT ADVISOR REPRESENTATIVE	Y	HINGHAM, MA, 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.

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: Regulator

Employing firm when activities occurred which led to the complaint: Raymond James Financial Services, Inc.; Wells Fargo Advisors Financial Network

Allegations: Pimental was named in a customer complaint that asserted the following causes of action: churning; unsuitability; unauthorized trading; negligent supervision; breach of fiduciary duty; negligence; material misrepresentations and omissions; fraud; breach of contract; violations of federal securities laws by unsuitable and unauthorized trading, and making materially false statements; violations of state Blue Sky Laws and Massachusetts General Laws, Chapter 93A; and violations of FINRA, NYSE, NASD and SEC regulations.

Product Type: Other: Unspecified Securities

Alleged Damages: \$37,761,429.00

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: FINRA - CASE #20-00107

Date Notice/Process Served: 01/10/2020

Arbitration Pending? No

Disposition: Award

Disposition Date: 08/29/2022

Disposition Detail: Pimental is jointly and severally liable for and shall pay to Claimants the sum of \$67,917.00 in compensatory damages, and is jointly and severally liable for and shall pay to Claimants interest on the aforementioned sum.



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Reporting Source:	Firm
Employing firm when activities occurred which led to the complaint:	Raymond James Financial Services, Inc
Allegations:	Client alleging churning, unauthorized trading, and unsuitable investments
Product Type:	Options Other: Unspecified Securities
Alleged Damages:	\$37,761,429.00

Arbitration Information

Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.):	FINRA
Docket/Case #:	20-00107
Date Notice/Process Served:	01/14/2020
Arbitration Pending?	No
Disposition:	Award to Customer
Disposition Date:	08/29/2022
Monetary Compensation Amount:	\$67,917.00
Individual Contribution Amount:	\$0.00
Firm Statement	Pimental is jointly and severally liable for and shall pay to Claimants the sum of \$67,917.00 in compensatory damages, and is jointly and severally liable for and shall pay to Claimants interest on the aforementioned sum.

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Reporting Source:	Firm
Employing firm when activities occurred which led to the complaint:	WELLS FARGO ADVISORS FINANCIAL NETWORK, LLC
Allegations:	Between October 2015 and October 2019, when they were customers of Wells Fargo Financial Network, Claimants allege that their FA made unsuitable investments, engaged in unauthorized trading, and that the FA churned their accounts while he represented to them that he was managing their wealth in a conservative manner in accordance with their investment objectives.
Product Type:	Other: Miscellaneous
Alleged Damages:	\$0.00
Alleged Damages Amount Explanation (if amount not exact):	Claimants seek to recover an unspecified amount of damages.

Arbitration Information



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

Docket/Case #: 20-00107

Date Notice/Process Served: 01/14/2020

Arbitration Pending? No

Disposition: Settled

Disposition Date: 12/03/2021

Monetary Compensation Amount: \$325,000.00

Individual Contribution Amount: \$0.00

Firm Statement Without admitting liability, Respondent Wells Fargo Financial Network, LLC, settled this matter to avoid the expense of further arbitration.

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Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: Wells Fargo Advisors Financial Network, LLC

Allegations: In the Amended Statement of Claim, Claimants asserted the following causes of action: churning; unsuitability; unauthorized trading; negligent supervision; breach of fiduciary duty; negligence; material misrepresentations and omissions; fraud; breach of contract; violations of federal securities laws by unsuitable and unauthorized trading, and making materially false statements; violations of state Blue Sky Laws and Massachusetts General Laws, Chapter 93A; and violations of FINRA, NYSE, NASD and SEC regulations. The causes of action relate to unspecified securities.

Product Type: Other: Miscellaneous

Alleged Damages: \$0.00

Alleged Damages Amount Explanation (if amount not exact): CLAIMANTS SOUGHT COMPENSATORY DAMAGES RANGING FROM \$34,552,674 TO \$37,761,429; AMOUNTS TO BE DOUBLED OR TREBLED UNDER MASSACHUSETTS STATUTORY LAW; PLUS INTEREST, LEGAL FEES, AND COSTS.

Arbitration Information

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

Docket/Case #: 20-00107

Date Notice/Process Served: 01/14/2020

Arbitration Pending? No

Disposition: Award to Customer

Disposition Date: 08/26/2020



Monetary Compensation Amount: \$67,917.00

Individual Contribution Amount: \$67,917.00

Broker Statement

From 2009 to 2019, Claimants engaged Pimental as a broker. In January 2020, they initiated an arbitration against Pimental, Raymond James Financial Services, Inc. and Wells Fargo Advisors Network, LLC, claiming that the Claimants did not authorize trades in their accounts and that they had no knowledge of the trading activity in their accounts for 10 years. Based on these claims, they sought compensatory damages of over \$37 million (as well as multiple damages and attorneys' fees under M.G.L. c. 93A). The parties arbitrated the case from October 2021 through August 2022. Far from having no knowledge of the trading activity, the Claimants repeatedly acknowledged in at least five contemporaneous letters that they: (i) were aware of the transactions in their account; (ii) these transactions were in keeping with their investment objectives; (iii) discussed each transaction with their investment advisor prior to execution; (iv) reviewed their trade confirmations and account statements; and (v) were aware of the investments, commissions charged, and profit and losses incurred in their account. After 21 days of hearings, the panel denied 99.8% of the requested compensatory damages and awarded the Claimant's 0.2% of the requested damages. The Panel's Award did not provide any reasoning for its findings or the small award.

Disclosure 2 of 3

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: GOLDMAN, SACHS AND CO.

Allegations: CUSTOMER ALLEGED INVESTMENTS MADE IN HIS ACCOUNT WERE INCONSISTENT WITH STATED INVESTMENT OBJECTIVES.

Product Type: Mutual Fund(s)

Alleged Damages: \$0.00

Customer Complaint Information

Date Complaint Received: 05/30/2008

Complaint Pending? No

Status: Settled

Status Date: 10/13/2008

Settlement Amount: \$14,138.00

Individual Contribution Amount: \$0.00

Disclosure 3 of 3

Reporting Source: Firm

Employing firm when activities occurred which led to the complaint: J.P. MORGAN SECURITIES INC.

Allegations: FROM APRIL 1999 THROUGH DECEMBER 2001, THE CUSTOMERS INVESTED IN TECHNOLOGY STOCKS AND INCURRED A SUBSTANTIAL AGGREGATE NET LOSS AS A RESULT. IN MARCH 2002 THEY ORALLY



COMPLAINED, FOR THE FIRST TIME (NO WRITTEN COMPLAINT WAS EVER RECEIVED), THAT THE AMOUNT OF THEIR LOSS EXCEEDED THEIR RISK TOLERANCE AND THEY THREATENED THROUGH THEIR COUNSEL TO INSTITUTE CIVIL OR ARBITRATION PROCEEDINGS TO RECOVER THEIR LOSSES. IN SEPTEMBER 2002, IN ORDER TO AVOID THE EXPENSE AND UNCERTAINTIES OF LITIGATION, THE PARTIES AGREED TO MEDIATE THE DISPUTE AND THE MEDIATION RESULTED IN A SETTLEMENT OF THE MATTER. THE FIRM BELIEVED, AND CONTINUES TO BELIEVE, THAT THE THREATENED CLAIM WAS WITHOUT MERIT, PARTICULARLY SINCE THE CUSTOMERS AUTHORIZED EACH TRADE IN ADVANCE, RECEIVED PROMPT CONFIRMATION THERAFTER, AND NEVER OBJECTED TO ANY ASPECT OF THE HANDLING OF THEIR ACCOUNTS UNTIL WELL AFTER THE TWO AND ONE-HALF YEARS DURING WHICH THEY DID BUSINESS WITH THE FIRM.

Product Type: Equity - OTC

Alleged Damages: \$3,000,000.00

Customer Complaint Information

Date Complaint Received: 03/12/2002

Complaint Pending? No

Status: Settled

Status Date: 09/13/2002

Settlement Amount: \$700,000.00

Individual Contribution Amount: \$75,000.00

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: J.P. MORGAN SECURITIES INC.

Allegations: I HANDLED [CUSTOMER'S] NON-DISCRETIONARY ACCOUNT AT JP MORGAN FOR ALMOST THREE YEARS, WITHOUT INCIDENT. [CUSTOMER] WAS A SOPHISTICATED AND AGGRESSIVE INVESTOR WITH A MULTIMILLION DOLLAR NET WORTH. MR. [CUSTOMER] INSTRUCTED ME TO INVEST AGGRESSIVELY IN TECHNOLOGY STOCKS IN ORDER TO REAP SIGNIFICANT GAINS IN HIS ACCOUNT. [CUSTOMER] AND I SPOKE AND MET FACE TO FACE FREQUENTLY. [CUSTOMER] AUTHORIZED EACH TRADE IN ADVANCE, RECEIVED PROMPT CONFIRMATIONS OF EACH TRADE, AND NEVER OBJECTED TO ANY TRADE. [CUSTOMER'S] TRADING STRATEGY WAS AT TIMES SUCCESSFUL, BUT OVERALL HE INCURRED SIGNIFICANT NET LOSSES, AS A RESULT OF HIS SPECULATIVE TRADES AND A DOWNTURN IN THE MARKET. AT NO TIME DID [CUSTOMER] EVER EXPRESS DISPLEASURE TO ME, OR TO MY KNOWLEDGE TO JP MORGAN, REGARDING THE HANDLING OF HIS ACCOUNT. IN THE SPRING OF 2002, 6 MONTHS AFTER I LEFT JP MORGAN, AND TWO AND A HALF YEARS AFTER [CUSTOMER] TERMINATED HIS JP MORGAN ACCOUNT, I WAS ADVISED BY JP MORGAN THAT [CUSTOMER'S] LAWYER HAD ORALLY INFORMED JP MORGAN THAT HE WAS DISSATISFIED WITH THE HANDLING OF HIS ACCOUNT. [CUSTOMER] DID NOT PUT ANY SUCH COMPLAINT IN WRITING. IN THE SUMMER OF 2002 I WAS INFORMED BY JP MORGAN THAT IT HAD AGREED TO MEDIATE THE DISPUTE. I WAS NOT A PARTY TO THE MEDIATION. I WAS LATER ADVISED THAT JP MORGAN HAD AGREED TO PAY [CUSTOMER] \$700,000 TO SETTLE THE DISPUTE. I WAS NOT ADVISED



BEFORE THE AGREEMENT OF THE SETTLEMENT. MOREOVER, I WAS INFORMED BY JP MORGAN THAT I HAD TO PAY \$75,000 TOWARD THE SETTLEMENT, WHICH I RELUCTANTLY AGREED TO DO. I KNOW THAT JP MORGAN DID NOT SETTLE THE DISPUTE BECAUSE OF ANY WRONGDOING BY IT OR ME, RATHER, I WAS TOLD THAT THE SETTLEMENT OCCURRED SOLELY BECAUSE OF THE RISKS AND EXPENSE OF LITIGATION.

Product Type: Equity - OTC
Alleged Damages: \$3,000,000.00

Customer Complaint Information

Date Complaint Received: 03/12/2002
Complaint Pending? No
Status: Settled
Status Date: 09/13/2002
Settlement Amount: \$700,000.00
Individual Contribution Amount: \$75,000.00



End of Report

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