



IAPD Report

RONALD BRETT DORUSHKIN

CRD# 2245185

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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

RONALD BRETT DORUSHKIN (CRD# 2245185)

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 **03/13/2024**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	WILMINGTON CAPITAL SECURITIES, LLC	CRD# 133839	11/09/2007
IA	WILMINGTON CAPITAL SECURITIES, LLC	CRD# 133839	06/17/2014

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **39** 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	CLARK DODGE & CO. INC.	23288	GARDEN CITY, NY	03/27/2007 - 03/11/2008
B	CLARK DODGE & CO., INC.	23288	GARDEN CITY, NY	02/28/2007 - 03/11/2008
IA	S.W. BACH & COMPANY	43522	PORT WASHINGTON, NY	12/21/2005 - 03/01/2007

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

Employment 1 of 1

Firm Name: **WILMINGTON CAPITAL SECURITIES, LLC**
Main Address: 666 OLD COUNTRY ROAD
SUITE 505
GARDEN CITY, NY 11530
Firm ID#: 133839

Regulator	Registration	Status	Date
B FINRA	General Securities Principal	Approved	11/09/2007
B FINRA	General Securities Representative	Approved	11/09/2007
B FINRA	Investment Banking Representative	Approved	11/04/2009
B FINRA	Operations Professional	Approved	10/18/2011
B FINRA	Municipal Securities Representative	Approved	11/17/2011
B FINRA	Investment Banking Principal	Approved	10/01/2018
B Alabama	Agent	Approved	08/09/2023
B Alaska	Agent	Approved	03/11/2008
B Arizona	Agent	Approved	03/19/2008
B Arkansas	Agent	Approved	08/04/2023
B California	Agent	Approved	01/30/2008
B Colorado	Agent	Approved	01/31/2008
B Connecticut	Agent	Approved	03/11/2008



Qualifications

	Regulator	Registration	Status	Date
B	District of Columbia	Agent	Approved	01/17/2014
B	Florida	Agent	Approved	01/25/2008
IA	Florida	Investment Adviser Representative	Approved	06/05/2019
B	Georgia	Agent	Approved	01/25/2008
B	Idaho	Agent	Approved	09/23/2020
B	Illinois	Agent	Approved	01/25/2008
B	Indiana	Agent	Approved	03/12/2008
B	Kansas	Agent	Approved	09/25/2018
B	Maine	Agent	Approved	06/27/2019
B	Maryland	Agent	Approved	01/24/2008
B	Massachusetts	Agent	Approved	03/12/2008
B	Michigan	Agent	Approved	03/12/2008
B	Minnesota	Agent	Approved	03/12/2008
B	Mississippi	Agent	Approved	10/11/2018
B	Nevada	Agent	Approved	08/15/2016
B	New Hampshire	Agent	Approved	12/01/2021
B	New Jersey	Agent	Approved	01/24/2008
IA	New Jersey	Investment Adviser Representative	Approved	06/17/2014
B	New Mexico	Agent	Approved	08/29/2013



Qualifications

Regulator	Registration	Status	Date
B New York	Agent	Approved	02/20/2008
IA New York	Investment Adviser Representative	Approved	07/18/2021
B North Carolina	Agent	Approved	03/14/2008
B Ohio	Agent	Approved	03/14/2008
B Oregon	Agent	Approved	01/11/2013
B Pennsylvania	Agent	Approved	03/12/2008
B Rhode Island	Agent	Approved	01/24/2008
B South Carolina	Agent	Approved	11/15/2019
B Tennessee	Agent	Approved	04/18/2018
B Texas	Agent	Approved	01/24/2008
B Utah	Agent	Approved	01/31/2012
B Vermont	Agent	Approved	06/20/2022
B Virginia	Agent	Approved	03/11/2008
B Washington	Agent	Approved	01/25/2008
B West Virginia	Agent	Approved	05/13/2022
B Wisconsin	Agent	Approved	03/11/2008

Branch Office Locations

WILMINGTON CAPITAL SECURITIES, LLC
666 OLD COUNTRY ROAD
SUITE 505
GARDEN CITY, NY 11530

WILMINGTON CAPITAL SECURITIES, LLC
666 OLD COUNTRY ROAD
SUITE 505
GARDEN CITY, NY 11530



Qualifications

WILMINGTON CAPITAL SECURITIES, LLC

365 Fifth Avenue South
Suite 218
Naples, FL 34102



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

Principal/Supervisory Exams

Exam	Category	Date
General Securities Principal Examination (S24)	Series 24	10/24/1995

General Industry/Product Exams

Exam	Category	Date
Municipal Securities Representative Examination (S52TO)	Series 52TO	01/02/2023
Operations Professional Examination (S99TO)	Series 99TO	01/02/2023
Investment Banking Registered Representative Examination (S79TO)	Series 79TO	01/02/2023
Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
General Securities Representative Examination (S7)	Series 7	07/27/1992

State Securities Law Exams

Exam	Category	Date
Uniform Investment Adviser Law Examination (S65)	Series 65	01/07/2005
Uniform Securities Agent State Law Examination (S63)	Series 63	07/31/1992

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
IA	03/27/2007 - 03/11/2008	CLARK DODGE & CO. INC.	CRD# 23288	GARDEN CITY, NY
B	02/28/2007 - 03/11/2008	CLARK DODGE & CO., INC.	CRD# 23288	GARDEN CITY, NY
IA	12/21/2005 - 03/01/2007	S.W. BACH & COMPANY	CRD# 43522	PORT WASHINGTON, N
B	11/02/2005 - 03/01/2007	S.W. BACH & COMPANY	CRD# 43522	PORT WASHINGTON, N
IA	11/23/2005 - 12/19/2005	S.W. BACH & COMPANY	CRD# 43522	PORT WASHINGTON, N
B	09/06/2001 - 11/23/2005	KIRLIN SECURITIES INC.	CRD# 21210	ISELIN, NJ
B	08/28/1998 - 09/10/2001	GBI CAPITAL PARTNERS INC.	CRD# 14623	BETHPAGE, NY
B	07/29/1992 - 09/04/1998	FIRST ASSET MANAGEMENT, INC.	CRD# 17341	GARDEN CITY, 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
02/2010 - Present	WILMINGTON CAPITAL SECURITIES, LLC (RIA)	CCO	Y	GARDEN CITY, NY, United States
10/2007 - Present	WILMINGTON CAPITAL SECURITIES, LLC	CEO	Y	GARDEN CITY, 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.

WILMINGTON CAPITAL GROUP, 600 OLD COUNTRY ROAD GARDEN CITY NY 11530, NON-INVESTMENT RELATED, HOLDING COMPANY OF WILMINGTON CAPITAL SECURITIES LLC, CEO, FEB 2006, LESS THEN 5 HOURS PER MONTH, LESS THEN 1 HOUR PER DAY DURING MARKET HOURS, PARENT CO FOR BD FIRM.



Registration & Employment History



OTHER BUSINESS ACTIVITIES

WILMINGTON CAPITAL MANAGEMENT, 600 OLD COUNTRY ROAD GARDEN CITY NY 11530, NON-INVESTMENT RELATED, INSURANCE INVESTMENT MANAGEMENT, CEO, FEB 2007, LESS THEN 5 HOURS PER MONTH, LESS THEN 1 HOUR PER DAY DURING MARKET HOURS, CORPORATION REGISTERED WITH NYS DEPARTMENT OF INSURANCE FOR LIFE INSURANCE.

PATRON SILVER ROKS LLC, 5660 NE TRIESTE WAY BOCA RATON FL 33437, NON-INVESTMENT RELATED, SHORT TERM OFFICE SPACE LEASING, NO ACTIVE ROLE, MARCH 2016, ZERO HOURS PER MONTH AND PER DAY DURING MARKET HOURS.

THE MERIDIAN; 1 NORTH OCEAN BOULEVARD, BOCA RATON, FL 33432; NON-INVESTMENT RELATED; CONDOMIUM; MEMBER OF BOARD OF DIRECTORS; START DATE 4/16/2024; VARIABLE HOURS PER MONTH, ZERO HOURS PER DAY DURING MARKET HOURS; 5-MEMBER BOARD TO CREATE AND ENFORCE CONDO RULES AND REGULATIONS.



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

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	FIRST ASSET MANAGEMENT, INC.
Allegations:	MISREPRESENTATION
Product Type:	Equity - OTC
Alleged Damages:	\$90,000.00

Customer Complaint Information

Date Complaint Received:	05/14/2001
Complaint Pending?	No
Status:	Arbitration/Reparation
Status Date:	05/14/2001

Settlement Amount:

Individual Contribution Amount:

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.:	NASD-DR ARBITRATION NO. 01-01058
Date Notice/Process Served:	05/14/2001
Arbitration Pending?	No



Disposition: Settled
Disposition Date: 11/01/2002
Monetary Compensation Amount: \$50,000.00
Individual Contribution Amount: \$25,000.00
Broker Statement CUSTOMER FILED THIS ARBITRATION SIX YEARS ATER THE ALLEGED WRONGFUL CONDUCT. I DID NOTHING WRONG IN HANDLING THIS ACCOUNT. I AM VIGOROUSLY DEFENDING MYSELF, THROUGH COUNSEL, AND I EXPECT TO BE VINDICATED AT THE CONCLUSION OF THE HEARINGS.

Disclosure 2 of 2

Reporting Source: Regulator
Employing firm when activities occurred which led to the complaint: FIRST ASSET MANAGEMENT, INC.
Allegations: EXECUTIONS-FAILURE TO EXECUTE; CHURNING
Product Type:
Alleged Damages: \$9,132.25

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: [UNKNOWN - CASE #96-03570](#)
Date Notice/Process Served: 09/05/1996
Arbitration Pending? No
Disposition: Other
Disposition Date: 06/09/1997
Disposition Detail: AWARD AGAINST PARTY ACTUAL/COMPENSATORY DAMAGES, RELIEF HAS BEEN AWARDED, \$5,675.00 JOINTLY AND SEVERALLY; ALL OTHER RELIEF HAS BEEN DENIED IN FULL.

Reporting Source: Individual
Employing firm when activities occurred which led to the complaint: FIRST ASSET MANAGEMENT, INC.
Allegations: ALLEGED FAILURE TO SELL STOCK: ALLEGED DAMAGES \$9,132.25
Product Type:
Alleged Damages: \$9,132.25

Customer Complaint Information

Date Complaint Received:
Complaint Pending? No



Status: Arbitration/Reparation

Status Date:

Settlement Amount:

Individual Contribution Amount:

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: [National Assoc. of Securities Dealers; 96-03570](#)

Date Notice/Process Served: 09/05/1996

Arbitration Pending? No

Disposition: Award to Customer

Disposition Date: 06/09/1997

Monetary Compensation Amount: \$5,675.00

Individual Contribution Amount:

Broker Statement

THE ARBITRATOR DETERMINED RESPONDENTS LEW LIEBERBAUM AND CO INC AND RONALD B DORUSHKIN ARE JOINTLY AND SEVERALLY LIABLE AND SHALL PAY THE CLAIMANT \$5,875. ALL OTHER REQUESTS FOR RELIEF WERE DENIED
Not Provided



End of Report

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