



## IAPD Report

# VICTOR JOSEPH DIMAGGIO III

CRD# 2539385

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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

### VICTOR JOSEPH DIMAGGIO III (CRD# 2539385)

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 **01/14/2026**.

### CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	CRESCENT SECURITIES GROUP, INC.	CRD# 114993	11/11/2008
IA	CRESCENT ADVISOR GROUP, INC.	CRD# 115974	11/17/2008

### QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **4** 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	CROWN FINANCIAL ADVISORS, LLC	140346	CROWN POINT, IN	02/28/2008 - 11/21/2008
B	MITRE GROUP LLC	140356	NEWPORT BEACH, CA	10/02/2006 - 11/21/2008
B	CENTURION SECURITIES L.L.C.	120419	NEW YORK, NY	11/07/2005 - 09/16/2008

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
Judgment/Lien	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 **4** jurisdiction(s) and 1 SRO(s) through his or her employer(s).

### Employment 1 of 2

Firm Name: **CRESCENT SECURITIES GROUP, INC.**

Main Address: 4975 PRESTON PARK BLVD. SUITE 820  
PLANO, TX 75093

Firm ID#: 114993

	Regulator	Registration	Status	Date
<b>B</b>	FINRA	Financial and Operations Principal	Approved	11/11/2008
<b>B</b>	FINRA	General Securities Representative	Approved	11/11/2008
<b>B</b>	FINRA	Operations Professional	Approved	10/01/2018
<b>B</b>	Florida	Agent	Approved	03/10/2009
<b>B</b>	Illinois	Agent	Approved	11/12/2008
<b>B</b>	Indiana	Agent	Approved	12/02/2008
<b>B</b>	Missouri	Agent	Approved	11/24/2008

### Branch Office Locations

SCHERERVILLE, IN

### Employment 2 of 2


Firm Name: **CRESCENT ADVISOR GROUP, INC.**

Main Address: 4975 PRESTON PARK BLVD.  
SUITE 820  
PLANO, TX 75093

Firm ID#: 115974



## Qualifications

Regulator	Registration	Status	Date
 Indiana	Investment Adviser Representative	Approved	11/17/2008

## Branch Office Locations

**CRESCENT ADVISOR GROUP, INC.**  
SCHERERVILLE, IN



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

#### Principal/Supervisory Exams

	Exam	Category	Date
B	Financial and Operations Principal Examination (S27)	Series 27	09/17/2004

#### General Industry/Product Exams

	Exam	Category	Date
B	Operations Professional Examination (S99TO)	Series 99TO	01/02/2023
B	Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
B	General Securities Representative Examination (S7)	Series 7	11/09/1999
B	Investment Company Products/Variable Contracts Representative Examination (S6)	Series 6	07/28/1995

#### State Securities Law Exams

	Exam	Category	Date
IA	Uniform Investment Adviser Law Examination (S65)	Series 65	07/22/1998
B	Uniform Securities Agent State Law Examination (S63)	Series 63	12/28/1994



### 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	02/28/2008 - 11/21/2008	CROWN FINANCIAL ADVISORS, LLC	CRD# 140346	CROWN POINT, IN
B	10/02/2006 - 11/21/2008	MITRE GROUP LLC	CRD# 140356	NEWPORT BEACH, CA
B	11/07/2005 - 09/16/2008	CENTURION SECURITIES L.L.C.	CRD# 120419	NEW YORK, NY
B	07/27/2006 - 09/12/2008	HARD EIGHT TRADING, LLC	CRD# 137099	CHICAGO, IL
B	05/06/2008 - 05/22/2008	XENERGY FINANCIAL CORPORATION	CRD# 144436	LOS ANGELES, CA
B	09/01/2006 - 01/03/2008	JACKSON FINANCIAL GROUP, INC.	CRD# 124258	CHICAGO, IL
IA	05/01/2003 - 05/16/2007	H.D. VEST ADVISORY SERVICES, INC	CRD# 104556	SCHERERVILLE, IN
B	08/01/1995 - 05/16/2007	H.D. VEST INVESTMENT SERVICES	CRD# 13686	SCHERERVILLE, IN
B	06/28/2005 - 06/15/2006	ZEPHYR TRADING LLC	CRD# 104252	WINNETKA, IL

### 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
11/2008 - Present	CRESCENT SECURITIES GROUP, INC.	REGISTERED REPRESENTATIVE	Y	DALLAS, TX, United States
11/2008 - Present	Crescent Advisor Group, Inc.	Investment Advisor Representative	Y	Dallas, TX, United States
11/1988 - Present	DIMAGGIO & ROBINSON, LTD.	PRESIDENT	N	CHICAGO, IL, 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.

DIMAGGIO & ROBINSON, LTD. NOT INVESTMENT RELATED. 422 N. NORTHWEST HIGHWAY, SUITE 180, PARK RIDGE, IL, 60068. TAX ACCOUNTING/BUSINESS CONSULTATION SERVICES. PARTNER. 12/2000. 40HRS MONTH/20 DURING TRADING HOURS. CPA. GALLERIA REALTY CORPORATION. NOT INVESTMENT RELATED. 425 U.S. ROUTE 425 STE 410, DYER, IN. REAL ESTATE OPERATIONS. PRESIDENT. 12/2007. 6 HOURS/MONTH, 0 DURING TRADING HOURS. OPERATE COMMERCIAL REAL ESTATE BUILDING. HR ONE SOURCE, INC. NOT INVESTMENT RELATED. 140 S. DEARBORN ST., SUITE 1603 CHICAGO, IL. PROFESSIONAL EMPLOYER ORGANIZATION. PRESIDENT. 1/2014. 20HOURS/MONTH, 10 DURING TRADING HOURS. HUMAN RESOURCES SERVICES FIRM. INVEST AMERICA FINANCIAL SERVICES. NOT INVESTMENT RELATED. 140 S. DEARBORN ST., SUITE 1603 CHICAGO, IL. ADMINISTRATIVE COMPANY FOR BOOKKEEPING. PRESIDENT. 9/1994. LESS THAN 4 HOURS/MONTH, 0 DURING TRADING HOURS. TRADITIONAL BOOKKEEPING/ACCOUNTING. FINANCIAL ADVANTAGE CORPORATION. NOT INVESTMENT RELATED. 140 S. DEARBORN ST., SUITE 1603 CHICAGO, IL. HOLDING COMPANY. PRESIDENT. 11/2000. LESS THAN 4 HOURS/MONTH, 0 DURING TRADING HOURS. PARENT HOLDING COMPANY FOR SUBSIDIARIES. VICTOR J. DIMAGGIO HEALTH INSURANCE. NOT INVESTMENT RELATED. 1314 MCCOY DR., SCHEREVILLE, IN. HEALTH INSURANCE SALES. PRESIDENT. 3/2006. 4 HOURS/MONTH, 0 DURING TRADING HOURS. Crescent Securities Group, Inc. Investment related. 8750 N. Central Expy #750 Dallas, TX 75231. Registered Representative. 11/2008. 0 hours/month, 0 during trading hours.





## 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
Judgment/Lien	2

### 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:** CHICAGO BOARD OPTIONS EXCHANGE

**Sanction(s) Sought:** Civil and Administrative Penalt(ies) /Fine(s)

**Other Sanction(s) Sought:**

**Date Initiated:** 02/21/2007

**Docket/Case Number:** 07-0024

**Employing firm when activity occurred which led to the regulatory action:**

**Product Type:** Options

**Other Product Type(s):**

**Allegations:** CENTURION SECURITIES, LLC, AN EXCHANGE MEMBER ORGANIZATION, GARY ANDERSON, AN ASSOCIATED PERSON AND COMPLIANCE OFFICER OF CENTURION, AND VICTOR DIMAGGIO III, AN ASSOCIATED PERSON AND FINOP OF CENTURION WERE EACH CENSURED AND JOINTLY AND SEVERALLY FINED \$20,000. (I) CENTURION IMPROPERLY MARKED ITS STOCK ACTIVITY WHEN CENTURION'S STOCK ACTIVITY RECORDED ON ITS TRADE BLOTTER DID NOT ACCURATELY REFLECT THE STOCK ACTIVITY RECORDED IN CENTURION'S NET POSITION RECORDS AND HAIRCUT REPORT; (II) CENTURION IMPROPERLY MARKED 105 OF 319 TRADES, OF WHICH 98 OF 158 SHORT SALE STOCK TRADES, OR 62%, WERE IMPROPERLY MARKED AS SELL LONG INSTEAD OF SELL SHORT WHEN CENTURION WAS NOT LONG THE POSITION; (III) CENTURION FAILED TO



PERFORM A STOCK LOCATE FOR ANY OF THE SHORT SALE STOCK TRANSACTIONS; (IV) CENTURION FAILED TO UPDATE ITS FORM BD ON WEB CRD TO ACCURATELY REFLECT CENTURION'S CURRENT MEMBERS AND CURRENT OWNERSHIP PERCENTAGES; (V) CENTURION OVERSTATED ITS NET CAPITAL BY \$5,243,739 OR APPROXIMATELY 844%; (VI) ANDERSON FAILED TO MONITOR THE ACCURACY OF CENTURION'S BOOKS AND RECORDS; AND (VII) DIMAGGIO FAILED TO MONITOR THE ACCURACY OF CENTURION'S NET CAPITAL COMPUTATIONS. (CBOE RULES 4.2 - ADHERENCE TO LAW; 3.7 CERTAIN DOCUMENTS REQUIRED OF MEMBERS, APPLICANTS AND ASSOCIATED PERSONS; 15.1 MAINTENANCE, RETENTION AND FURNISHING OF BOOKS, RECORDS AND OTHER INFORMATION; SECTION 15(C) OF THE SECURITIES EXCHANGE ACT OF 1934, AS AMENDED (THE "ACT") AND RULE 15C3-1 - NET CAPITAL THEREUNDER; SECTION 17(A) OF THE ACT AND RULES 17A-3 RECORDS TO BE MADE BY CERTAIN EXCHANGE MEMBERS, BROKERS AND DEALERS; 17A-4 RECORDS TO BE PRESERVED BY CERTAIN MEMBERS, BROKERS AND DEALER AND 17A-5 REPORTS TO BE MADE BY CERTAIN BROKERS AND DEALERS THEREUNDER; SECURITIES AND EXCHANGE COMMISSION ("SEC") REGULATION SHO SHORT SALES AND RULES 200 DEFINITIONS AND MARKING REQUIREMENTS FOR SHORT SALES AND 203(B) LOCATE AND REQUIREMENTS FOR SHORT SALES THEREUNDER)

**Current Status:** Final

**Resolution:** Decision

**Resolution Date:** 03/23/2007

**Sanctions Ordered:** Censure  
Monetary/Fine \$20,000.00

**Other Sanctions Ordered:** A TWENTY THOUSAND DOLLAR (\$20,000) JOINT AND SEVERAL FINE AND A CENSURE OF EACH SUBJECT.

**Sanction Details:** A TWENTY THOUSAND DOLLAR (\$20,000) JOINT AND SEVERAL FINE AND A CENSURE OF EACH SUBJECT.

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**Reporting Source:** Individual

**Regulatory Action Initiated By:** CHICAGO BOARD OPTIONS EXCHANGE, INC.

**Sanction(s) Sought:** Other

**Other Sanction(s) Sought:** MONETARY AND CENSURE

**Date Initiated:** 02/21/2007

**Docket/Case Number:** 07-0024

**Employing firm when activity occurred which led to the regulatory action:** CENTURION SECURITIES, LLC

**Product Type:** Equity Listed (Common & Preferred Stock)

**Other Product Type(s):**

**Allegations:** WITHOUT ADMITTING OR DENYING THAT A VIOLATION OF CBOE EXCHANGE RULES HAD BEEN COMMITTED, CENTURION SECURITIES, LLC, GARY ANDERSON, AND VICTOR DIMAGGIO III SUBMITTED A LETTER OF CONSENT WHICH WAS ACCEPTED BY THE CBOE AND THEY JOINTLY AND



**Current Status:** SEVERALLY AGREED TO A SANCTION IN THE AMOUNT OF \$20,000 ALONG WITH CENSURE.  
Final

**Resolution:** Consent

**Resolution Date:** 03/23/2007

**Sanctions Ordered:** Censure  
Monetary/Fine \$20,000.00

**Other Sanctions Ordered:**

**Sanction Details:** \$20,000 FINE PAID IN FULL TO THE CHICAGO BOARD OPTIONS EXCHANGE, INC. ON APRIL 4, 2007.



## Judgment/Lien

This disclosure event involves an unsatisfied and outstanding judgment or lien against the Investment Adviser Representative.

### Disclosure 1 of 2

<b>Reporting Source:</b>	Individual
<b>Judgment/Lien Holder:</b>	IRS
<b>Judgment/Lien Amount:</b>	\$1,541,202.72
<b>Judgment/Lien Type:</b>	Tax
<b>Date Filed with Court:</b>	09/23/2015
<b>Date Individual Learned:</b>	08/23/2016
<b>Type of Court:</b>	Not Known
<b>Name of Court:</b>	Not Known
<b>Location of Court:</b>	Lake County, IN
<b>Docket/Case #:</b>	65710
<b>Judgment/Lien Outstanding?</b>	Yes
<b>Broker Statement</b>	This lien was from a business I owned that is now dissolved. Because the business is dissolved the lien was filed against me personally. I have entered into an installment agreement with the IRS to repay the monies due.

### Disclosure 2 of 2

<b>Reporting Source:</b>	Individual
<b>Judgment/Lien Holder:</b>	IRS
<b>Judgment/Lien Amount:</b>	\$1,573,576.29
<b>Judgment/Lien Type:</b>	Tax
<b>Date Filed with Court:</b>	05/01/2015
<b>Date Individual Learned:</b>	08/23/2016
<b>Type of Court:</b>	Not Known
<b>Name of Court:</b>	Not Known
<b>Location of Court:</b>	Lake County, IN
<b>Docket/Case #:</b>	26390
<b>Judgment/Lien Outstanding?</b>	Yes
<b>Broker Statement</b>	This lien was from a business I owned that is now dissolved. Because the business is dissolved the lien was filed against me personally. I have entered into an installment agreement with the IRS to repay the monies due.



## End of Report

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