



IAPD Report

DOUGLAS ANTHONY DIDOMINICA

CRD# 2801817

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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

DOUGLAS ANTHONY DIDOMINICA (CRD# 2801817)

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
B	COMMONWEALTH FINANCIAL NETWORK	CRD# 8032	05/01/2023
IA	COMMONWEALTH FINANCIAL NETWORK	CRD# 8032	05/01/2023
IA	IMPERITY WEALTH ALLIANCE LLC	CRD# 339113	03/25/2026

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **14** 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	PRINCIPAL SECURITIES, INC.	1137	Melville, NY	06/30/2021 - 05/11/2023
B	PRINCIPAL SECURITIES, INC.	1137	Melville, NY	09/05/2007 - 05/11/2023
B	OBSIDIAN FINANCIAL GROUP, LLC	104255	WOODBURY, NY	02/16/2001 - 07/28/2008

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
Customer Dispute	1



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

Employment 1 of 2

Firm Name: **IMPERITY WEALTH ALLIANCE LLC**
Main Address: 445 BROADHOLLOW ROAD
SUITE 203
MELVILLE, NY 11747
Firm ID#: 339113

Regulator	Registration	Status	Date
IA New York	Investment Adviser Representative	Approved	03/25/2026

Branch Office Locations

IMPERITY WEALTH ALLIANCE LLC
445 BROADHOLLOW ROAD
SUITE 203
MELVILLE, NY 11747

Employment 2 of 2

Firm Name: **COMMONWEALTH FINANCIAL NETWORK**
Main Address: 275 WYMAN STREET
SUITE 400
WALTHAM, MA 02451-1200
Firm ID#: 8032

Regulator	Registration	Status	Date
B FINRA	General Securities Principal	Approved	05/01/2023
B FINRA	General Securities Representative	Approved	05/01/2023
B FINRA	Introducing BD/Finan Operation Principal	Approved	05/01/2023
B FINRA	Operations Professional	Approved	05/01/2023
B FINRA	Registered Options Principal	Approved	05/01/2023



Qualifications

Regulator	Registration	Status	Date
B California	Agent	Approved	04/04/2025
B Colorado	Agent	Approved	05/01/2023
B Connecticut	Agent	Approved	05/01/2023
B Florida	Agent	Approved	05/01/2023
B Iowa	Agent	Approved	05/01/2023
B Massachusetts	Agent	Approved	06/21/2023
B New Hampshire	Agent	Approved	05/01/2023
B New Jersey	Agent	Approved	05/01/2023
B New York	Agent	Approved	05/01/2023
IA New York	Investment Adviser Representative	Approved	05/01/2023
B Oregon	Agent	Approved	05/01/2023
B Pennsylvania	Agent	Approved	05/01/2023
B Rhode Island	Agent	Approved	05/01/2023
B South Carolina	Agent	Approved	05/01/2023
B Virginia	Agent	Approved	05/01/2023

Branch Office Locations

COMMONWEALTH FINANCIAL NETWORK
 445 Broadhollow Road
 Suite 203 & 230
 Melville, NY 11747

COMMONWEALTH FINANCIAL NETWORK
 295 Madison Ave
 Ste 915
 New York, NY 10017






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, 3 general industry/product exams, and 1 state securities law exam.


Principal/Supervisory Exams

Exam	Category	Date
 Registered Options Principal Examination (S4)	Series 4	07/31/2000
 Introducing Broker/Dealer Financial Operations Principal Examination (S28)	Series 28	10/07/1999
 General Securities Principal Examination (S24)	Series 24	06/23/1998

General Industry/Product Exams

Exam	Category	Date
 Operations Professional Examination (S99TO)	Series 99TO	01/02/2023
 Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
 General Securities Representative Examination (S7)	Series 7	10/09/1996

State Securities Law Exams

Exam	Category	Date
 Uniform Securities Agent State Law Examination (S63)	Series 63	10/23/1996

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	06/30/2021 - 05/11/2023	PRINCIPAL SECURITIES, INC.	CRD# 1137	Melville, NY
B	09/05/2007 - 05/11/2023	PRINCIPAL SECURITIES, INC.	CRD# 1137	Melville, NY
B	02/16/2001 - 07/28/2008	OBSIDIAN FINANCIAL GROUP, LLC	CRD# 104255	WOODBURY, NY
B	02/26/1999 - 04/24/2001	THE INVESTMENT CENTER, INC.	CRD# 17839	BEDMINSTER, NJ
B	02/09/1998 - 03/10/1999	WALL STREET FINANCIAL GROUP, INC.	CRD# 35830	VICTOR, NY
B	10/10/1996 - 02/11/1998	INVESTMENT MANAGEMENT & RESEARCH, INC	CRD# 6694	ST. PETERSBURG, FL

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
03/2026 - Present	Imperity Wealth Alliance LLC	Advisor	Y	Melville, NY, United States
05/2023 - Present	Commonwealth Financial Network	Advisor	Y	Waltham, MA, United States
05/2023 - Present	Imperity Advisors, LLC	Advisor	Y	Melville, NY, United States
03/2016 - 05/2023	PRINCIPAL SECURITIES INC	REGISTERED REP	Y	MELVILLE, NY, United States
09/2007 - 05/2023	PRINCIPAL LIFE INSURANCE CO	AGENT	Y	MELVILLE, 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.

1. Fixed insurance sales; as of 04/28/2023; 10% of time spent during business hours; Conducted at branch location; Investment related.
2. Co-Owner, Bear Point Properties, LLC, an entity created for the purpose of buying and managing residential real estate at 153 Neil Bunker Rd., T9 SD, Hancock County, ME, as of 02/08/2021; 5% of time spent during business hours; Not Conducted at



Registration & Employment History



OTHER BUSINESS ACTIVITIES

branch; Investment related.

3. Subleasing Office Space to Imperity Advisors, LLC, as of 05/10/2023; 10% of time spent during business hours; Conducted at branch location; Investment related.

4. Co-owner, Imperity Group, LLC, an entity involved in ownership of Imperity Advisors, LLC and Imperity Insurance, LLC; as of 05/10/2023; 10% of time spent during business hours; Conducted at branch location; Investment related.

5. Owner, Northern Rock Holdings, Inc.; an entity involved in ownership of Imperity Group, LLC, as of 05/10/2023; 5% of time spent during business hours; Conducted at branch location; Not Investment related.

6. Co-Owner, Imperity Advisors, LLC, a private entity established to facilitate securities, advisory, and insurance business; ownership through Imperity Group, LLC as of 05/10/2023; 90% of time spent; Conducted at branch; Investment related.

7. Co-owner, Imperity Insurance Services, LLC, DBA Imperity Insurance & Benefits Consulting; a private entity established to facilitate insurance business; as of 07/06/2023; 10% of time spent during business hours; Conducted at branch location; Investment related.

8. Tax preparation and planning, Imperity Group, LLC DBA Imperity Tax; as of 11/10/2023; 15% of time spent during business hours; conducted at branch; Not investment related.

9. Co-owner, Imperity Tax Planning, LLC dba Imperity Tax; tax preparation, consulting and planning services; as of 7/01/2025; Less than 5% of time spent during business hours; Conducted at branch location; Not investment related.

10. Co-owner, Imperity Wealth Alliance, LLC; a private entity established as an RIA; as of 09/29/25; 5% of time spent during business hours; Conducted at branch location; Investment related.



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	1

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 1

Reporting Source:	Regulator
Employing firm when activities occurred which led to the complaint:	OBSIDIAN FINANCIAL GROUP, LLC F/K/A GRANITE SECURITIES, LLC
Allegations:	FRAUD; BREACH OF FIDUCIARY DUTY; CONVERSION; CONSPIRACY
Product Type:	Other: UNSPECIFIED ANNUITY
Alleged Damages:	\$89,438.81

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.:	FINRA - CASE #08-03396
Date Notice/Process Served:	09/22/2008
Arbitration Pending?	No
Disposition:	Dismissed
Disposition Date:	01/12/2010
Disposition Detail:	ON OR ABOUT JANUARY 12, 2010, CLAIMANT FILED WITH FINRA A STIPULATION OF DISMISSAL, WITH PREJUDICE, OF CLAIMANT'S CLAIMS AGAINST RESPONDENT.

Reporting Source:	Individual
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Employing firm when activities occurred which led to the complaint: GRANITE SECURITIES LLC

Allegations: CLAIMANT ALLEGES THAT DEFENDANT SHOULD HAVE SUPERVISED A TRANSACTION BY A REG REP WHICH WAS EXECUTED BY THE REG REP AFTER HE LEFT THE FIRM. THE REP LEFT THE FIRM ON 10/13/05, THE CLIENT GAVE THE FUNDS TO THE REG REP THERE AFTER ON 10/18/05

Product Type: No Product

Alleged Damages: \$96,287.67

Arbitration Information

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

Docket/Case #: 08-03396

Date Notice/Process Served: 08/19/2009

Arbitration Pending? No

Disposition: Settled

Disposition Date: 01/25/2010

Monetary Compensation Amount: \$50,000.00

Individual Contribution Amount: \$25,000.00

Broker Statement AS STATED IN ITEM 4 REG REP LEFT THE FIRM PRIOR TO RECEIVING ANY FINDS FROM CLAIMANT. DEPENDENT WAS AN OWNER OF THE FIRM, NOT THE SUPERVISOR OF THE REG REP, AND MADE THE BUSINESS DECISION TO SETTLE FOR AN AGREEABLE AMOUNT WITHOUT ADMITTING ANY WRONG DOING, IN THE BEST INTEREST OF ALL INVOLVED.



End of Report

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