



IAPD Report

DOUGLAS SAMUEL WEISS

CRD# 2833656

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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

DOUGLAS SAMUEL WEISS (CRD# 2833656)

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 **02/05/2014**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
IA	DSW INVESTMENT, LLC	CRD# 156697	08/30/2011

QUALIFICATIONS

This representative is currently registered in **0** SRO(s) and **3** 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
B	CIBC WORLD MARKETS CORP.	630	NEW YORK, NY	01/13/1998 - 03/03/2000
B	SALOMON BROTHERS INC.	740	NEW YORK, NY	02/10/1997 - 01/16/1998

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

Employment 1 of 1

Firm Name: **DSW INVESTMENT, LLC**
Main Address: PRINCETON, NJ
Firm ID#: 156697

	Regulator	Registration	Status	Date
	Connecticut	Investment Adviser Representative	Approved	08/30/2011
	Massachusetts	Investment Adviser Representative	Approved	10/18/2011
	New Jersey	Investment Adviser Representative	Approved	01/12/2012

Branch Office Locations

DSW INVESTMENT, LLC
PRINCETON, NJ



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 0 principal/supervisory exams, 1 general industry/product exam, and 1 state securities law exam.

Principal/Supervisory Exams

Exam	Category	Date
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No information reported.

General Industry/Product Exams

Exam	Category	Date
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B General Securities Representative Examination (S7)	Series 7	02/07/1997
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State Securities Law Exams

Exam	Category	Date
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B Uniform Securities Agent State Law Examination (S63)	Series 63	10/21/1997
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PROFESSIONAL DESIGNATIONS

This section details that the representative has reported 1 professional designation(s).

Chartered Financial Analyst

This representative holds or did hold 1 professional designation(s) that may have been used to qualify as an Investment Advisor representative. Please check with the appropriate designation authority for verification that the designation is still in effect. The contact information for these professional designation authorities can be found on the website for the North American Securities Administrators Association at <http://www.nasaa.org>



Registration & Employment History

PREVIOUSLY REGISTERED WITH THE FOLLOWING FIRMS

This representative held registrations with the following firms:

	Registration Dates	Firm Name	ID#	Branch Location
B	01/13/1998 - 03/03/2000	CIBC WORLD MARKETS CORP.	CRD# 630	NEW YORK, NY
B	02/10/1997 - 01/16/1998	SALOMON BROTHERS INC.	CRD# 740	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
02/2014 - Present	DSW INVESTMENT, LLC	SOLE MEMBER AND CHIEF COMPLIANCE OFFICER	Y	PRINCETON, NJ, 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.

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
Regulatory Event	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 2

Reporting Source: Individual
Regulatory Action Initiated By: SECURITIES DIVISION OF THE SECRETARY OF THE COMMONWEALTH OF MASSACHUSETTS

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

Date Initiated: 02/15/2011

Docket/Case Number: 2011-0045

Employing firm when activity occurred which led to the regulatory action: DOUGLAS S. WEISS, SOLE PROPRIETOR

Product Type: Equity Listed (Common & Preferred Stock)

Allegations: ON OCTOBER 18, AS A RESULT OF AN APPLICATION BY DOUGLAS WEISS TO REGISTER AS AN INVESTMENT ADVISER IN THE COMMONWEALTH OF MASSACHUSETTS, THE SECURITIES DIVISION OF THE SECRETARY OF THE COMMONWEALTH ENTERED A FINAL CONSENT ORDER AGAINST MR. WEISS ALLEGING THAT FOR A BRIEF PERIOD IN 2009, THE NUMBER OF MR. WEISS'S INVESTMENT ADVISORY CLIENTS INADVERTENTLY EXCEEDED THE "DE MINIMIS" AMOUNT PERMITTED BY A STATUTORY DEFINITION OF "INVESTMENT ADVISER", AND MR. WEISS WAS THEREFORE ACTING AS AN INVESTMENT ADVISER IN MASSACHUSETTS IN 2009 WITHOUT REGISTERING AS SUCH.

Current Status: Final

Resolution: Acceptance, Waiver & Consent(AWC)



Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct?

No

Resolution Date:

10/18/2011

Sanctions Ordered:

Civil and Administrative Penalty(ies)/Fine(s)

Monetary Sanction 1 of 1

Monetary Related Sanction:

Civil and Administrative Penalty(ies)/Fine(s)

Total Amount:

\$500.00

Portion Levied against individual:

\$150.00

Payment Plan:

PAID IN FULL

Is Payment Plan Current:

Yes

Date Paid by individual:

10/18/2011

Was any portion of penalty waived?

No

Amount Waived:

Disclosure 2 of 2

Reporting Source:

Individual

Regulatory Action Initiated By:

STATE OF CONNECTICUT, DEPARTMENT OF BANKING, SECURITIES AND BUSINESS INVESTMENTS DIVISION.

Sanction(s) Sought:

Civil and Administrative Penalty(ies)/Fine(s)

Date Initiated:

02/01/2011

Docket/Case Number:

CO-11-7956-S

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

DOUGLAS S. WEISS, SOLE PROPRIETOR

Product Type:

Equity-OTC
Equity Listed (Common & Preferred Stock)
Money Market Fund
Mutual Fund
Options
Real Estate Security

Allegations:

(1) FROM AT LEAST 2007 TO MARCH 11, 2011--THE DATE OF HIS APPLICATION FOR INVESTMENT ADVISER REGISTRATION--, WEISS TRANSACTED BUSINESS AS AN INVESTMENT ADVISER ABSENT REGISTRATION IN VIOLATION OF SECTION 36B-6(C) OF THE CONNECTICUT UNIFORM SECURITIES ACT ("THE ACT"); AND

(2) FROM AT LEAST 2007 TO MARCH 11, 2011--THE DATE OF HIS APPLICATION FOR INVESTMENT ADVISER REGISTRATION--, WEISS FAILED TO ENTER INTO WRITTEN INVESTMENT ADVISORY CONTRACTS WITH



CLIENTS AS REQUIRED BY SECTION 36B-5(B) OF THE ACT.

Current Status: Final

Resolution: Acceptance, Waiver & Consent(AWC)

Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct? No

Resolution Date: 08/09/2011

Sanctions Ordered: Civil and Administrative Penalty(ies)/Fine(s)

Monetary Sanction 1 of 1

Monetary Related Sanction: Civil and Administrative Penalty(ies)/Fine(s)

Total Amount: \$5,180.00

Portion Levied against individual: \$5,180.00

Payment Plan:

Is Payment Plan Current: Yes

Date Paid by individual: 08/09/2011

Was any portion of penalty waived? No

Amount Waived:

Broker Statement

ON AUGUST 9, 2011, FOLLOWING AN APPLICATION FROM DOUGLAS WEISS FOR REGISTRATION IN THE STATE OF CONNECTICUT AS AN INVESTMENT ADVISOR, THE CONNECTICUT DEPARTMENT OF BANKING ENTERED A FINAL CONSENT ORDER AGAINST MR. WEISS THAT ALLEGED THAT FROM AT LEAST 2007 TO MARCH 11, 2011, MR. WEISS TRANSACTED BUSINESS AS AN INVESTMENT ADVISER ABSENT REGISTRATION IN VIOLATION OF SECTION 36B-6(C) OF THE CONNECTICUT UNIFORM SECURITIES ACT ("THE ACT") AND DID NOT HAVE WRITTEN INVESTMENT ADVISORY CONTRACTS WITH CLIENTS AS REQUIRED BY SECTION 36B-5(B) OF THE ACT. MR. WEISS ACCEPTED THE CONSENT ORDER AND REMITTED TO THE CONNECTICUT DEPARTMENT OF BANKING A TOTAL OF \$5,180, \$4,000 OF WHICH CONSTITUTED AN ADMINISTRATIVE FINE, \$580 OF WHICH REPRESENTED REIMBURSEMENT FOR PAST-DUE INVESTMENT ADVISER REGISTRATION FEES AND \$500 OF WHICH WAS APPLIED TO DEFRAY THE COSTS ASSOCIATED WITH THE SECURITIES DIVISION'S INVESTIGATION OF THE MATTER. MR. WEISS WAS REQUIRED TO REFRAIN FROM CONDUCT THAT VIOLATED THE CONNECTICUT UNIFORM SECURITIES ACT. THE SECURITIES DIVISION THEN APPROVED HIS APPLICATION FOR REGISTRATION AS AN INVESTMENT ADVISER IN CONNECTICUT.



End of Report

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