



IAPD Report

DOMINIC JULIO BALDINI

CRD# 3082081

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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

DOMINIC JULIO BALDINI (CRD# 3082081)

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 **03/05/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
IA	EMERSON EQUITY LLC	CRD# 130032	03/05/2004
B	EMERSON EQUITY LLC	CRD# 130032	04/12/2004

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **28** 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	SHARESPOST FINANCIAL CORPORATION	134596	San Francisco, CA	06/16/2011 - 01/04/2016
B	PACIFIC COAST SECURITIES LLC	109681	ASTORIA, NY	05/30/2001 - 04/26/2004
B	GOLDEN TRIANGLE SECURITIES LLC	45641	CARMEL, CA	03/11/1999 - 02/01/2001

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

Employment 1 of 1

Firm Name: **EMERSON EQUITY LLC**
Main Address: 155 BOVET ROAD, SUITE 725
SAN MATEO, CA 94402
Firm ID#: 130032

	Regulator	Registration	Status	Date
B	FINRA	General Securities Representative	Approved	04/12/2004
B	FINRA	Investment Banking Representative	Approved	03/22/2010
B	FINRA	Operations Professional	Approved	11/11/2011
B	FINRA	Securities Trader	Approved	01/04/2016
B	FINRA	Financial and Operations Principal	Approved	02/17/2022
B	FINRA	General Securities Principal	Approved	02/17/2022
B	FINRA	Investment Banking Principal	Approved	02/17/2022
B	FINRA	Municipal Securities Principal	Approved	02/17/2022
B	FINRA	Municipal Securities Representative	Approved	02/17/2022
B	FINRA	Registered Options Principal	Approved	02/17/2022
B	FINRA	Securities Trader Principal	Approved	02/17/2022
B	Arizona	Agent	Approved	01/07/2014
IA	California	Investment Adviser Representative	Approved	03/05/2004



Qualifications

Regulator	Registration	Status	Date
B California	Agent	Approved	04/12/2004
B Colorado	Agent	Approved	04/07/2009
B Florida	Agent	Approved	02/25/2014
B Georgia	Agent	Approved	06/02/2011
B Hawaii	Agent	Approved	07/02/2007
B Idaho	Agent	Approved	11/22/2011
B Illinois	Agent	Approved	02/21/2014
B Indiana	Agent	Approved	12/11/2013
B Louisiana	Agent	Approved	04/26/2006
B Maryland	Agent	Approved	04/05/2005
B Massachusetts	Agent	Approved	02/24/2014
B Nevada	Agent	Approved	05/06/2004
B New Hampshire	Agent	Approved	02/26/2014
B New Jersey	Agent	Approved	01/31/2012
B New Mexico	Agent	Approved	11/14/2013
B New York	Agent	Approved	08/06/2004
B North Carolina	Agent	Approved	03/11/2019
B Ohio	Agent	Approved	05/11/2010
B Oklahoma	Agent	Approved	12/04/2017



Qualifications

Regulator	Registration	Status	Date
B Oregon	Agent	Approved	08/13/2012
B South Carolina	Agent	Approved	01/02/2019
B Texas	Agent	Approved	04/20/2005
IA Texas	Investment Adviser Representative	Approved	06/29/2012
B Utah	Agent	Approved	01/20/2011
B Virginia	Agent	Approved	03/25/2005
IA Virginia	Investment Adviser Representative	Approved	04/08/2005
B Washington	Agent	Approved	02/01/2012
B West Virginia	Agent	Approved	01/04/2019
B Wisconsin	Agent	Approved	02/21/2014
IA Wisconsin	Investment Adviser Representative	Approved	07/17/2020

Branch Office Locations

EMERSON EQUITY LLC
155 BOVET ROAD, SUITE 725
SAN MATEO, CA 94402








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 5 principal/supervisory exams, 7 general industry/product exams, and 2 state securities law exams.

Principal/Supervisory Exams

Exam	Category	Date
 Compliance Officer Examination (S14)	Series 14	01/02/2023
 General Securities Principal Examination (S24)	Series 24	08/12/1999
 Registered Options Principal Examination (S4)	Series 4	04/22/1999
 Municipal Securities Principal Examination (S53)	Series 53	01/29/1999
 Financial and Operations Principal Examination (S27)	Series 27	09/30/1998

General Industry/Product Exams



Exam	Category	Date
 Securities Trader Exam (S57TO)	Series 57TO	01/02/2023
 Investment Banking Registered Representative Examination (S79TO)	Series 79TO	01/02/2023
 Municipal Securities Representative Examination (S52TO)	Series 52TO	01/02/2023
 Operations Professional Examination (S99TO)	Series 99TO	01/02/2023
 Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
 Limited Representative-Equity Trader Exam (S55)	Series 55	01/10/2000
 General Securities Representative Examination (S7)	Series 7	08/31/1998



Qualifications

PASSED INDUSTRY EXAMS

State Securities Law Exams

	Exam	Category	Date
	Uniform Investment Adviser Law Examination (S65)	Series 65	01/03/2001
	Uniform Securities Agent State Law Examination (S63)	Series 63	10/30/1998

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
B	06/16/2011 - 01/04/2016	SHARESPOST FINANCIAL CORPORATION	CRD# 134596	San Francisco, CA
B	05/30/2001 - 04/26/2004	PACIFIC COAST SECURITIES LLC	CRD# 109681	ASTORIA, NY
B	03/11/1999 - 02/01/2001	GOLDEN TRIANGLE SECURITIES LLC	CRD# 45641	CARMEL, CA

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
12/2003 - Present	EMERSON EQUITY LLC	MANAGING MEMBER Y LLC, GENERAL SECURITIES PRINCIPAL, CHIEF COMPLIANCE OFFICER, REGISTERED OPTIONS PRINCIPAL, MUNICIPAL SECURITIES PRINCIPAL, FINANCIAL & OPERATIONS PRINCIPAL		SAN MATEO, CA, 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)-OCEANIC PARTNERS, INC., NOT INVESTMENT RELATED; 3030 BRIDGEWAY, SUITE 120; SAUSALITO, CA 94965; ADVISOR; 04/2017; HOURS/MONTH: ~2; HRS; HOURS/MONTH SECURITIES TRADING HOURS: 0; DUTIES INVOLVE ON GENERAL CORPORATE MATTERS.
- 2)- DJB COASTAL LLC-NOT INVESTMENT RELATED; 155 BOVET ROAD SUITE 725, SAN MATEO, CA 94402; LLC CREATED FOR ESTATE PLANNING PURPOSES; MANAGING MEMBER; MANAGE AFFAIRS FOR THE LLC; ZERO HOURS DURING SECURITIES TRADING HOURS; 05/2022
- 3)- STICK, INC. NOT INVESTMENT RELATED, 155 BOVET ROAD STE 725 SAN MATEO, CA 94402, CLOTHING, CEO, DESIGN, MARKETING, BUSINESS STRATEGY, 15 HOURS MONTHLY AND ZERO HOURS DURING SECURITIES TRADING HOURS, 07/2023
- 4) GFB CLOTHING, NOT INVESTMENT RELATED, 155 BOVET ROAD, STE 725, SAN MATEO, CA 94402, CLOTHING



Registration & Employment History



OTHER BUSINESS ACTIVITIES

COMPANY, CEO, DESIGN, MARKETING, BUSINESS STRATEGY, 15 HRS A MONTH, 0 HRS DURING SECURITIES TRADING HOURS, 02/2024

5) DJB SOLAR LLC-INVESTMENT RELATED(NOT SECURITIES RELATED) 155 BOVET ROAD, STE. 725, SAN MATEO, CA 94402, SOLAR ASSET MANAGEMENT, MANAGING MEMBER, RESEARCH AND DEVELOPMENT AND MANAGEMENT OF LLC., 8.5 HRS PER MONTH, 0 HRS DURING SECURITIES TRADING HOURS, 12/2025



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
Customer Dispute	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:	Regulator
Regulatory Action Initiated By:	FINRA
Sanction(s) Sought:	
Date Initiated:	12/22/2021
Docket/Case Number:	2020066078202
Employing firm when activity occurred which led to the regulatory action:	Emerson Equity, LLC
Product Type:	Mutual Fund

Allegations: Without admitting or denying the findings, Baldini and his member firm consented to the sanctions and to the entry of findings that they failed to establish, maintain and enforce a supervisory system, including written procedures, reasonably designed to achieve compliance with FINRA's suitability rule as it pertains to short-term trading of mutual fund Class A and Class B shares, and further failed to reasonably supervise short-term mutual fund trading activity by one of the firm's registered representatives. The findings stated that the firm and Baldini's review of mutual fund transactions was limited to Baldini's manual review of a daily order/trade status report that lacked critical information such as the mutual fund share class, the mutual fund holding period, mutual fund sales charges, and investor profiles that would have allowed them to detect that the representative was engaged in unsuitable mutual fund trading. The firm did not use any exception reports or other tools to review mutual fund trading activity for suitability. As a result, the representative's unsuitable trading in his customers' accounts continued unabated for more than five years, causing them to incur front-end loads and/or contingent deferred sales charges of \$1,641,929.94. The representative also



engaged in frequent mutual fund switching, which occurs when a customer sells mutual fund shares and reinvests the proceeds in another mutual fund family, thus incurring additional charges and commissions.

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:

12/22/2021

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

If the regulator is the SEC, CFTC, or an SRO, did the action result in a finding of a willful violation or failure to supervise?

No

(1) willfully violated any provision of the Securities Act of 1933, the Securities Exchange Act of 1934, the Investment Advisers Act of 1940, the Investment Company Act of 1940, the Commodity Exchange Act, or any rule or regulation under any of such Acts, or any of the rules of the Municipal Securities Rulemaking Board, or to have been unable to comply with any provision of such Act, rule or regulation?

(2) willfully aided, abetted, counseled, commanded, induced, or procured the violation by any person of any provision of the Securities Act of 1933, the Securities Exchange Act of 1934, the Investment Advisers Act of 1940, the Investment Company Act of 1940, the Commodity Exchange Act, or any rule or regulation under any of such Acts, or any of the rules of the Municipal Securities Rulemaking Board? or



(3) failed reasonably to supervise another person subject to your supervision, with a view to preventing the violation by such person of any provision of the Securities Act of 1933, the Securities Exchange Act of 1934, the Investment Advisers Act of 1940, the Investment Company Act of 1940, the Commodity Exchange Act, or any rule or regulation under any such Acts, or any of the rules of the Municipal Securities Rulemaking Board?

Sanction 1 of 1

Sanction Type:	Suspension
Capacities Affected:	Any principal capacity
Duration:	20 business days
Start Date:	01/18/2022
End Date:	02/14/2022

Monetary Sanction 1 of 1

Monetary Related Sanction:	Civil and Administrative Penalty(ies)/Fine(s)
Total Amount:	\$5,000.00
Portion Levied against individual:	\$5,000.00
Payment Plan:	
Is Payment Plan Current:	
Date Paid by individual:	12/31/2021
Was any portion of penalty waived?	No

Amount Waived:

.....

Reporting Source:	Individual
Regulatory Action Initiated By:	Financial Industry Regulatory Authority
Sanction(s) Sought:	Civil and Administrative Penalty(ies)/Fine(s) Suspension
Date Initiated:	03/09/2021
Docket/Case Number:	2020066078202



Employing firm when activity occurred which led to the regulatory action:	Emerson Equity LLC
Product Type:	Mutual Fund
Allegations:	Mr. Baldini, as the Chief Compliance Officer of Emerson Equity LLC, failed to establish, maintain, and enforce a supervisory system, including written procedures, reasonably designed to achieve compliance with FINRA's suitability rule as it pertained to short-term trading of mutual fund A and B shares from January, 2015 - June, 2020.
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:	12/22/2021
Sanctions Ordered:	Civil and Administrative Penalty(ies)/Fine(s) Suspension
Sanction 1 of 1	
Sanction Type:	Suspension
Capacities Affected:	All principal capacities
Duration:	20 business-days
Start Date:	01/18/2022
End Date:	02/14/2022
Monetary Sanction 1 of 1	
Monetary Related Sanction:	Civil and Administrative Penalty(ies)/Fine(s)
Total Amount:	\$5,000.00
Portion Levied against individual:	\$5,000.00
Payment Plan:	
Is Payment Plan Current:	
Date Paid by individual:	12/31/2021
Was any portion of penalty waived?	No
Amount Waived:	
Broker Statement	Immediately upon notification from FINRA of the events outlined in the enforcement action, the representative was terminated, we began conducting our own internal review of the matter including immediately calculating and beginning restitution payments, as well as updating the internal policies and procedures to better ensure against similar events in the future. As provided in the AWC, the firm and Mr. Baldini were credited for extraordinary cooperation.



Disclosure 2 of 2

Reporting Source: Regulator
Regulatory Action Initiated By: NATIONAL ASSOCIATION OF SECURITIES DEALERS
Sanction(s) Sought:
Other Sanction(s) Sought:
Date Initiated: 03/22/2001
Docket/Case Number: C01010002
Employing firm when activity occurred which led to the regulatory action:
Product Type: No Product
Other Product Type(s):
Allegations: NASD RULE 2110 - A MEMBER FIRM, ACTING THROUGH BALDINI, USED THE INSTRUMENTALITIES OF INTERSTATE COMMERCE TO ENGAGE IN THE SECURITIES BUSINESS WHILE FAILING TO MAINTAIN MINIMUM NET CAPITAL; AND, ENGAGED IN PRINCIPAL TRADING IN CONTRAVENTION OF ITS MEMBERSHIP AGREEMENT.
Current Status: Final
Resolution: Acceptance, Waiver & Consent(AWC)
Resolution Date: 03/22/2001
Sanctions Ordered: Monetary/Fine \$3,500.00
Other Sanctions Ordered:
Sanction Details: A \$1,000 JOINT AND SEVERAL FINE, AND A JOINT AND SEVERAL FINE OF \$2,500.

Reporting Source: Individual
Regulatory Action Initiated By: NASD REGULATION, INC.
Sanction(s) Sought:
Date Initiated: 12/26/2000
Docket/Case Number: AWC NO. 01010002
Employing firm when activity occurred which led to the regulatory action: GOLDEN TRIANGLE SECURITIES LLC
Product Type: No Product
Allegations: ALLEGATIONS RELATED TO ALLEGED VIOLATIONS OF MEMBERSHIP AGREEMENT AND NET CAPITAL VIOLATION.
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:

03/20/2001

Sanctions Ordered:

Other: ACCEPTANCE, WAIVER & CONSENT, WHICH WAS FOR MINIMUM AMOUNT PERMITTED TO BE ASSESSED UNDER SANCTIONING GUIDELINES. FOR VIOLATION OF MEMBERSHIP AGREEMENT, SANCTION WAS \$1,000.00; AND FOR THE NET CAPITAL VIOLATION, THE SANCTION WAS \$2,500.00.

Broker Statement

ACCEPTANCE, WAIVER & CONSENT PENALTY WAS FOR MINIMUM AMOUNT PERMITTED TO BE ASSESSED UNDER SANCTIONING GUIDELINES.



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:	Emerson Equity LLC
Allegations:	The claim alleges control person liability with respect to an investment which it indicates occurred on March 21, 2022.
Product Type:	Other: Private Placement
Alleged Damages:	\$1,083,919.00

Arbitration Information

Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.):	FINRA
Docket/Case #:	25-02505
Date Notice/Process Served:	11/18/2025
Arbitration Pending?	Yes
Broker Statement	Mr. Baldini denies the allegations in their entirety, and intends to vehemently defend himself.

Disclosure 2 of 2

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	EMERSON EQUITY LLC
Allegations:	The claim alleges control person liability with respect to an investment which it indicates occurred on 11/3/2021.
Product Type:	Other: DST/Private Placement
Alleged Damages:	\$643,509.94
Alleged Damages Amount Explanation (if amount not exact):	The claim provides the above alleged investment amount while stating that the customer is seeking compensatory damages in an amount determined by the arbitration panel.

Arbitration Information

Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.):	FINRA
Docket/Case #:	26-00150



Date Notice/Process Served:	01/27/2026
Arbitration Pending?	Yes
Broker Statement	Mr. Baldini denies the allegations in their entirety, and intends to vehemently defend himself.



End of Report

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