



IAPD Report

DALE KLINE BLACK

CRD# 4312705

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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

DALE KLINE BLACK (CRD# 4312705)

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 **11/17/2023**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
IA	GLOBAL VIEW CAPITAL MANAGEMENT LLC	CRD# 158292	01/02/2014

QUALIFICATIONS

This representative is currently registered in **0** SRO(s) and **2** 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	PURSHE KAPLAN STERLING INVESTMENTS	35747	PLEASANT GROVE, UT	01/02/2014 - 10/11/2022
IA	THE STRATEGIC FINANCIAL ALLIANCE	126514	PLEASANT GROVE, UT	10/20/2010 - 12/31/2013
B	THE STRATEGIC FINANCIAL ALLIANCE, INC.	126514	PLEASANT GROVE, UT	10/20/2010 - 12/31/2013

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

Employment 1 of 1

Firm Name: **GLOBAL VIEW CAPITAL MANAGEMENT LLC**

Main Address: N14 W23833 STONE RIDGE DR - SUITE 350
WAUKESHA, WI 53188

Firm ID#: 158292

	Regulator	Registration	Status	Date
IA	Texas	Investment Adviser Representative	Restricted Approval	10/17/2023
IA	Utah	Investment Adviser Representative	Approved	01/03/2014

Branch Office Locations

GLOBAL VIEW CAPITAL MANAGEMENT LLC

233 SOUTH PLEASANT GROVE BOULEVARD
SUITE 102
PLEASANT GROVE, UT 84062





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 2 principal/supervisory exams, 4 general industry/product exams, and 2 state securities law exams.



Principal/Supervisory Exams

	Exam	Category	Date
	Direct Participation Programs Principal Examination (S39)	Series 39	07/15/2013
	Investment Company Products/Variable Contracts Principal Examination (S26)	Series 26	05/15/2001

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
	Direct Participation Programs Representative Examination (S22)	Series 22	09/28/2012
	Investment Company Products/Variable Contracts Representative Examination (S6)	Series 6	11/28/2000

State Securities Law Exams

	Exam	Category	Date
	Uniform Investment Adviser Law Examination (S65)	Series 65	04/29/2005
	Uniform Securities Agent State Law Examination (S63)	Series 63	01/05/2001

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	01/02/2014 - 10/11/2022	PURSHE KAPLAN STERLING INVESTMENTS	CRD# 35747	PLEASANT GROVE, UT
IA	10/20/2010 - 12/31/2013	THE STRATEGIC FINANCIAL ALLIANCE	CRD# 126514	PLEASANT GROVE, UT
B	10/20/2010 - 12/31/2013	THE STRATEGIC FINANCIAL ALLIANCE, INC.	CRD# 126514	PLEASANT GROVE, UT
IA	08/08/2006 - 10/15/2010	INVESTMENT ADVISORS INTERNATIONAL, INC.	CRD# 139233	SANDY, UT
B	04/12/2002 - 10/15/2010	WORLD GROUP SECURITIES, INC.	CRD# 114473	PLEASANT GROVE, UT
IA	06/24/2005 - 08/24/2006	INTERSECURITIES, INC.	CRD# 16164	SANDY, UT
B	11/29/2000 - 04/12/2002	WMA SECURITIES, INC.	CRD# 32625	DULUTH, GA

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
01/2014 - Present	GLOBAL VIEW CAPITAL MANAGEMENT, LLC	INVESTMENT ADVISER REPRESENTATIVE	Y	WAUKESHA, WI, United States
05/2013 - Present	GLOBAL VIEW CAPITAL ADVISORS, LLC	INDEPENDENT CONTRACTOR	Y	WAUKESHA, WI, United States
11/2010 - Present	GLOBAL VIEW CAPITAL INSURANCE SERVICES, LLC	INSURANCE AGENT	Y	WAUKESHA, WI, United States
03/2008 - Present	DALEMAR, INCORPORATED	SHAREHOLDER	N	MAPLETON, UT, United States
01/2014 - 10/2022	PURSHE KAPLAN STERLING INVESTMENTS	REGISTERED REPRESENTATIVE	Y	ALBANY, NY, 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.

[1] DALEMAR, INCORPORATED; NOT INVESTMENT RELATED; ADDRESS: 36 E. 400 S., MAPLETON, UT 84664; STARTED: 03.04.2008; APPROX. 3 HRS/MONTH DURING TRADING HOURS; APPROX. 1 HR/MONTH OUTSIDE TRADING HOURS; POSITION: SHAREHOLDER; RESPONSIBILITIES: MANAGE S-CORP PASS-THROUGH ENTITY USED FOR PERSONAL BUSINESS EXPENDITURES.

[2] GLOBAL VIEW CAPITAL INSURANCE SERVICES, LLC, AN AFFILIATE OF GLOBAL VIEW CAPITAL ADVISORS, LLC; YES- INVESTMENT RELATED; HEADQUARTERS ADDRESS: N14W23833 STONE RIDGE DRIVE, SUITE 350, WAUKESHA, WI 53188; NATURE: INSURANCE; POSITION: INSURANCE AGENT; STARTED: NOVEMBER 2010; APPROX. 20 HRS/MONTH DURING TRADING HOURS; APPROX. 12 HRS/MONTH OUTSIDE TRADING HOURS; RESPONSIBILITIES: MARKETING, EDUCATION AND SALES OF FIXED INSURANCE PRODUCTS FOR MULTIPLE PROVIDER COMPANIES TO PROSPECTIVE CLIENTS AND EXISTING CLIENTS WITH FOCUS ON SALE OF LIFE, LONG TERM CARE AND DISABILITY INSURANCE PRODUCTS AND FIXED ANNUITIES.

[3] GVC PARTNERS, LLC; NOT INVESTMENT RELATED; ADDRESS: 223 S. PLEASANT GROVE BOULEVARD, SUITE 201, PLEASANT GROVE, UT 84062; NATURE: PARTNERSHIP; POSITION: MEMBER; STARTED: 09.21.2011 AND NAME OF THE OTHER MEMBERS CHANGED AS OF 02.01.2023; APPROX. 5 HRS/MONTH OUTSIDE TRADING HOURS; APPROX. 5 HR/MONTH DURING TRADING HOURS ; RESPONSIBILITIES: PASS-THROUGH ENTITY CONSISTING OF FOUR PARTNERS, EACH PARTNER IS AN INDEPENDENT CONTRACTOR WITH GLOBAL VIEW CAPITAL ADVISORS EARNING COMMISSIONS AND/OR FEES THAT ARE DEPOSITED INTO GVC PARTNERS WHICH PAYS OFFICE EXPENDITURES AND THE PARTNERS PAYROLL AND DOES THE TAX FILINGS.

[4] GLOBAL VIEW CAPITAL ADVISORS, LLC, AN AFFILIATE OF GLOBAL VIEW CAPITAL MANAGEMENT, LLC; YES- INVESTMENT RELATED; HEADQUARTERS ADDRESS: N14W23833 STONE RIDGE DRIVE, SUITE 350, WAUKESHA, WI 53188; NATURE: MARKETING FIRM FOR INSURANCE AND ADVISORY SERVICES; POSITION: INDEPENDENT CONTRACTOR; AFFILIATION DATE: 05.07.2013; APPROX. 143 ADVISORY HRS/MONTH DURING TRADING HOURS; APPROX. 149 ADVISORY HRS/MONTH OUTSIDE TRADING HOURS; RESPONSIBILITIES: MARKETING, EDUCATION AND SALES OF GVCM ADVISORY SERVICES AND GVC I INSURANCE SERVICES. GVC I HOURS LISTED SEPARATELY IF APPLICABLE.

[5] EXPERIOR FINANCIAL GROUP, INC.; YES-INVESTMENT RELATED; HEADQUARTERS ADDRESS: 300 AIRBORNE PARKWAY, SUITE 208, CHEEKTOWAGO, NY 14225; NATURE: INSURANCE; POSITION: INSURANCE AGENT; STARTED: 01.13.2023; APPROX. 20 HRS/MONTH DURING TRADING HOURS; APPROX. 20 HRS/MONTH OUTSIDE TRADING HOURS; RESPONSIBILITIES: MARKET, EDUCATE AND SELL LIFE PRODUCTS INCLUDING FIXED AND INDEXED ANNUITIES FOR MULTIPLE PROVIDER COMPANIES AND SERVICE CLIENTS.



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: WORLD GROUP SECURITIES

Allegations: TWO YEARS AFTER PURCHASING A VARIABLE ANNUITY FROM REPRESENTATIVE, CLIENT ATTENDED A DINNER EVENT HELD BY THE VARIABLE ANNUITY COMPANY AND THE ADVISOR. AFTER THE EVENT, THE CLIENT COMPLAINED VIA EMAIL ON 2/10/12 THAT THE DIFFERENCE BETWEEN THE PROTECTED WITHDRAWAL VALUE AND ACCOUNT VALUE (DISCUSSED DURING THE EVENT) WAS NOT ORIGINALLY EXPLAINED TO HIM AT THE TIME OF PURCHASE. THE CLIENT INDICATED THAT HE WOULD NOT HAVE PURCHASED THE PRODUCT IF HE HAD UNDERSTOOD THAT THEY WERE NOT "ONE IN THE SAME". THE CLIENT REQUESTED THE FULL AMOUNT PURCHASED INTO THE PRODUCT PLUS 6% INTEREST FOR A 16 MONTH PERIOD BE RETURNED TO HIM. THE REPRESENTATIVE IMMEDIATELY MET WITH THE CLIENT LATER ON THE SAME DATE 2/10/12 TO DISCUSS THE CONCERNS AND REQUEST. THE CLIENT WAS SATISFIED WITH THE MEETING AND EXPRESSED NO FURTHER CONCERN.

Product Type: Annuity-Variable

Alleged Damages: \$302,641.35

Alleged Damages Amount Explanation (if amount not exact): ORIGINAL PURCHASE 280,223.47 + 16 MONTHS INTEREST @ 6%

Is this an oral complaint? No

Is this a written complaint? Yes



Is this an arbitration/CFTC
reparation or civil litigation? No

Customer Complaint Information

Date Complaint Received: 02/10/2012

Complaint Pending? No

Status: Closed/No Action

Status Date: 02/10/2012

Settlement Amount:

Individual Contribution
Amount:

Disclosure 2 of 2

Reporting Source: Firm

Employing firm when
activities occurred which led
to the complaint: WORLD GROUP SECURITIES, INC. (WGS)

Allegations: BLACK DID NOT ACTIVELY MANAGE AN ACCOUNT AS HE ORIGINALLY PROMISED TO THE CUSTOMER. SEE ITEM #24 BELOW FOR FURTHER DETAILS.

Product Type: Insurance

Alleged Damages: \$0.00

Alleged Damages Amount
Explanation (if amount not
exact): NO SPECIFIC DAMAGE AMOUNT WAS ALLEGED IN THE COMPLAINT. THE FIRM'S GOOD FAITH DETERMINATION IS THAT THE ALLEGED COMPENSATORY DAMAGES WOULD BE GREATER THAN \$5,000.00

Is this an oral complaint? No

Is this a written complaint? Yes

Is this an arbitration/CFTC
reparation or civil litigation? No

Customer Complaint Information

Date Complaint Received: 03/27/2012

Complaint Pending? No

Status: Denied

Status Date: 04/19/2012

Settlement Amount:

Individual Contribution
Amount:

Firm Statement THE CUSTOMER ALLEGED THAT BLACK FAILED TO ACTIVELY MANAGE THE CUSTOMER'S VUL POLICY THAT HE PURCHASED IN 11/2006. FURTHER, BLACK ALLEGEDLY FAILED TO PROCESS A CHANGE IN THE VUL POLICY'S SUBACCOUNT WHICH THE CUSTOMER STATED HE AUTHORIZED BLACK TO MAKE. THE CUSTOMER SURRENDERED THE POLICY IN 3/2012. AS A RESULT OF THE MISHANDLED REALLOCATION, AND THE 3/2012 SURRENDER, THE CUSTOMER STATED THAT HE INCURRED HUGE LOSSES.



Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: WORLD GROUP SECURITIES

Allegations: BLACK DID NOT ACTIVELY MANAGE AN ACCOUNT AS HE ORIGINALLY PROMISED TO THE CUSTOMER. SEE ITEM #24 BELOW FOR FURTHER DETAILS.

Product Type: Insurance

Alleged Damages: \$0.00

Alleged Damages Amount Explanation (if amount not exact): NO SPECIFIC DAMAGE AMOUNT WAS ALLEGED IN THE COMPLAINT. WSG INVESTIGATED THE COMPLAINT AND DETERMINED THAT THE ALLEGED COMPENSATORY DAMAGES WOULD BE GREATER THAN \$5000.00.

Is this an oral complaint? No

Is this a written complaint? Yes

Is this an arbitration/CFTC reparation or civil litigation? No

Customer Complaint Information

Date Complaint Received: 03/27/2012

Complaint Pending? No

Status: Denied

Status Date: 04/19/2012

Settlement Amount:

Individual Contribution Amount:

Broker Statement THE CUSTOMER ALLEGED THAT BLACK FAILED TO ACTIVELY MANAGE THE CUSTOMER'S VUL POLICY THAT HE PURCHASED IN 11/2006. FURTHER, BLACK ALLEGEDLY FAILED TO PROCESS A CHANGE IN THE VUL POLICY'S SUBACCOUNT WHICH THE CUSTOMER STATED HE AUTHORIZED BLACK TO MAKE. THE CUSTOMER SURRENDERED THE POLICY IN 3/2012. AS A RESULT OF THE MISHANDLED REALLOCATION, AND THE 3/2012 SURRENDER, THE CUSTOMER STATED THAT HE INCURRED HUGE LOSSES.



End of Report

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