



## IAPD Report

# DONALD W DORMEIER

CRD# 70557

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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

### DONALD W DORMEIER (CRD# 70557)

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 **08/15/2024**.

### CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
IA	KINGSVIEW WEALTH MANAGEMENT, LLC	CRD# 148107	12/13/2019

### QUALIFICATIONS

This representative is currently registered in **0** SRO(s) and **1** 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	WELLS FARGO CLEARING SERVICES, LLC	19616	FORT WAYNE, IN	01/16/2009 - 12/18/2019
IA	WELLS FARGO CLEARING SERVICES, LLC	19616	FORT WAYNE, IN	11/24/2008 - 12/18/2019
IA	DORMEIER CAPITAL MANAGEMENT	143870	FORT WAYNE, IN	04/24/2007 - 08/07/2008

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	2
Termination	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 **1** jurisdiction(s) and **0** SRO(s) through his or her employer(s).

#### Employment 1 of 1

Firm Name: **KINGSVIEW WEALTH MANAGEMENT, LLC**  
Main Address: 509 SE 7TH STREET  
2ND FLOOR  
GRANTS PASS, OR 97526  
Firm ID#: 148107

Regulator	Registration	Status	Date
IA Indiana	Investment Adviser Representative	Approved	12/13/2019

#### Branch Office Locations

**KINGSVIEW WEALTH MANAGEMENT, LLC**  
10431 Illinois Road  
Fort Wayne, IN 46814




## 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 1 state securities law exam.**


#### Principal/Supervisory Exams

Exam	Category	Date
 General Securities Sales Supervisor Examination (Options Module & General Module) (S8)	Series 8	06/12/1986

#### General Industry/Product Exams

Exam	Category	Date
 Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
 General Securities Representative Examination (S7)	Series 7	01/15/2009
 AMEX Put and Call Exam (PC)	PC	09/08/1977
 Registered Representative Examination (S1)	Series 1	03/06/1974

#### State Securities Law Exams

Exam	Category	Date
 Uniform Securities Agent State Law Examination (S63)	Series 63	01/29/2009

### 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	01/16/2009 - 12/18/2019	WELLS FARGO CLEARING SERVICES, LLC	CRD# 19616	FORT WAYNE, IN
IA	11/24/2008 - 12/18/2019	WELLS FARGO CLEARING SERVICES, LLC	CRD# 19616	FORT WAYNE, IN
IA	04/24/2007 - 08/07/2008	DORMEIER CAPITAL MANAGEMENT	CRD# 143870	FORT WAYNE, IN
IA	02/19/1986 - 07/20/2006	UBS FINANCIAL SERVICES INC.	CRD# 8174	FT WAYNE, IN
B	10/01/1979 - 07/20/2006	UBS FINANCIAL SERVICES INC.	CRD# 8174	FT WAYNE, IN
B	10/30/1979 - 01/31/1980	PAINE, WEBBER, JACKSON & CURTIS INCORPORATED	CRD# 640	
B	09/26/1978 - 11/12/1979	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	CRD# 7691	
B	03/08/1974 - 09/26/1978	MERRILL LYNCH, PIERCE, FENNER & SMITH, INC.	CRD# 572	

#### 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
12/2019 - Present	KINGSVIEW PARTNERS LLC	PARTNER   WEALTH MANAGER	Y	GRANTS PASS, OR, United States
12/2019 - Present	KINGSVIEW WEALTH MANAGEMENT LLC	PARTNER   WEALTH MANAGER	Y	FORT WAYNE, IN, United States
11/2016 - 12/2019	WELLS FARGO CLEARING SERVICES, LLC	REGISTERED REP	Y	FORT WAYNE, IN, United States
05/2009 - 11/2016	WELLS FARGO ADVISORS LLC	REGISTERED REP	Y	FORT WAYNE, IN, 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.

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
Termination	1

### 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

<b>Reporting Source:</b>	Regulator
<b>Regulatory Action Initiated By:</b>	FINRA
<b>Sanction(s) Sought:</b>	
<b>Date Initiated:</b>	05/20/2008
<b>Docket/Case Number:</b>	<a href="#">2007009425101</a>
<b>Employing firm when activity occurred which led to the regulatory action:</b>	UBS FINANCIAL SERVICES INC.
<b>Product Type:</b>	Other: STOCK
<b>Allegations:</b>	NASD RULES 2110 AND 2510(B) - BETWEEN MAY 2004 AND AUGUST 2005, RESPONDENT DORMEIER EXECUTED SECURITIES TRANSACTIONS IN PUBLIC CUSTOMER ACCOUNTS, HOWEVER DORMEIER DID NOT CONTACT THESE CUSTOMERS AT THE TIME HE SOLD THEIR STOCK AND DID NOT HAVE WRITTEN AUTHORIZATION TO EXERCISE DISCRETION FOR THESE CLIENTS.
<b>Current Status:</b>	Final
<b>Resolution:</b>	Acceptance, Waiver & Consent(AWC)
<b>Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct?</b>	No



**Resolution Date:** 05/20/2008

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

**Regulator Statement** WITHOUT ADMITTING OR DENYING THE FINDINGS, RESPONDENT CONSENTED TO THE DESCRIBED SANCTIONS AND TO THE ENTRY OF FINDINGS; THEREFORE HE IS FINED \$5,000 AND SUSPENDED FROM ASSOCIATION WITH ANY FINRA MEMBER IN ANY CAPACITY FOR 10 BUSINESS DAYS. THE FINE SHALL BE DUE AND PAYABLE EITHER IMMEDIATELY UPON RESPONDENT'S REASSOCIATION WITH A FINRA FIRM FOLLOWING THE SUSPENSION, OR PRIOR TO ANY APPLICATION OR REQUEST FOR RELIEF FROM ANY STATUTORY DISQUALIFICATION RESULTING FROM THIS OR ANY OTHER EVENT OR PROCEEDING, WHICHEVER IS EARLIER. THE SUSPENSION IS EFFECTIVE FROM JUNE 16, 2008, THROUGH JUNE 27, 2008. FINES PAID ON 08/08/2008.

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**Reporting Source:** Individual

**Regulatory Action Initiated By:** NEW YORK STOCK EXCHANGE

**Sanction(s) Sought:** Other

**Other Sanction(s) Sought:** PURSUANT TO NASD RULE 9216 OF FINRA CODE OF PROCEDURE, I SUBMITTED AN "AWC" FOR THE PURPOSE OF PROPOSING A SETTLEMENT OF THE ALLEDGED NASD RULE VIOLATION 2510(B). THE SANCTIONS WERE A \$5000.00 FINE AND A 10 BUSINESS DAY SUSPENSIION FROM ASSOCIATING IN ANY CAPACITY WITH A MEMBER FIRM.

**Date Initiated:** 08/08/2006

**Docket/Case Number:** NO 20070094251

**Employing firm when activity occurred which led to the regulatory action:** UBS FINANCIAL INC.

**Product Type:** No Product

**Other Product Type(s):**

**Allegations:** FORMAL INVESTIGATION UNDER RULE 477 NYSE REGULATION INTO THE POSSIBILITY THAT I EXERCISED DISCRETIONARY POWER IN CUSTOMER ACCOUNTS WITHOUT FIRST OBTAINING WRITTEN AUTHORIZATION OF THE CUSTOMER.

**Current Status:** Final

**Resolution:** Acceptance, Waiver & Consent(AWC)

**Resolution Date:** 05/20/2008

**Sanctions Ordered:** Monetary/Fine \$5,000.00  
Suspension

**Other Sanctions Ordered:**

**Sanction Details:** A SUSPENSION FROM ASSOCIATING IN ANY CAPACITY WITH A MEMEBER FIRM FOR TEN (10) BUSINESS DAYS FOR VIOLATION OF NASD RULES 2510 (B) AND 2110 BY EXERCISING DISCRETION WITHOUT WRITTEN AUTHORIZATION IN THE ACCOUNTS OF HIS CUSTOMERS. THE SUSPENSION WAS IN EFFECT FROM JUNE 16, 2008 THROUGH JUNE 27, 2008. THE FINE WAS PAID ON AUGUST 7, 2008 ON AN AMERICAN EXPRESS



CREDIT CARD.

**Broker Statement**

SINCE MY DEPARTURE FROM UBS FINANCIAL SERVICES THERE HAVE BEEN NO COMPLAINTS FILED WITH UBS WITH REGARD TO THIS INQUIRY. ALSO NO ARBITRATION PETITIONS HAVE BEEN FILED AGAINST ME SINCE THIS INCIDENT OCCURRED. I HAVE BEEN REGISTERED FOR 34 YEARS AND HAVE ALWAYS ATTEMPTED TO SERVE MY CLIENT FIRST, AND I WILL CONTINUE TO DO SO IN THE FUTURE.

**Disclosure 2 of 2**

**Reporting Source:** Regulator

**Regulatory Action Initiated By:** FLORIDA

**Sanction(s) Sought:**

**Other Sanction(s) Sought:**

**Date Initiated:** 12/07/1979

**Docket/Case Number:**

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

**Product Type:**

**Other Product Type(s):**

**Allegations:**

**Current Status:** Final

**Resolution:** Decision

**Resolution Date:** 12/07/1979

**Sanctions Ordered:** Suspension

**Other Sanctions Ordered:**

**Sanction Details:**

**Regulator Statement** LAST KNOWN ADDRESS OR AFFILIATION: 1221 WESTWIND PL., FT. WAYNE, INDIANA 46825: STATE OF FLORIDA: ADMINISTRATIVE ACTIONS PAGE 77 ENFORCEMENT BULLETIN FROM 12-07-79 TO 12-12-79 FAILURE TO FILE FORM ON VERBAL APPROVAL PROGRAM.

**Reporting Source:** Individual

**Regulatory Action Initiated By:** FLORIDA

**Sanction(s) Sought:** Suspension

**Other Sanction(s) Sought:**

**Date Initiated:** 12/07/1979

**Docket/Case Number:** N/A



**Employing firm when activity occurred which led to the regulatory action:** PAINE, WEBBER, JACKSON & CURTIS INC

**Product Type:** No Product

**Other Product Type(s):**

**Allegations:** PURSUANT TO THE PROVISIONS OF DEPARTMENTAL RELE 3E-600.02(3)(A), DORMEIRS CONDITONAL REGISTRATION WAS SUSPENDED BY THE DEPARTMENT OF FLORIDA PENDING COMPLETION OF SAID PERSONS APPLICATION FOR REGISTRATION OM ACCORDANCE WITH THE PROVISIONS OF SECTION 517.12 FLORIDA STATUTE AND RULES.

**Current Status:** Final

**Resolution:** Order

**Resolution Date:** 12/07/1979

**Sanctions Ordered:** Suspension

**Other Sanctions Ordered:**

**Sanction Details:** THE SUSPENSION WAS ISSUED PENDING THE COMPLETION OF HIS APPLICATION OF REGISTRATION. THE SUSPENSION WAS ISSUED FROM 12/07/79 UNTIL 12/12/1979.



## Termination

This disclosure event involves a situation where the Investment Adviser Representative voluntarily resigned, was discharged or was permitted to resign after allegations were made that accused the Investment Adviser Representative of violating investment-related statutes, regulations, rules or industry standards of conduct; fraud or the wrongful taking of property; or failure to supervise in connection with investment-related statutes, regulations, rules or industry standards of conduct.

### Disclosure 1 of 1

<b>Reporting Source:</b>	Individual
<b>Firm Name:</b>	UBS FINANCIAL SERVICES INC
<b>Termination Type:</b>	Discharged
<b>Termination Date:</b>	06/21/2006
<b>Allegations:</b>	FA ADMITTED TO HAVING EXERCISED TIME AND PRICE DISCRETION IN NUMEROUS ACCOUNTS AND TO HAVING ENTERED A CLIENT ORDER FROM VOICE MAIL, BOTH IN VIOLATION OF FIRM POLICY. NO CLIENT COMPLAINT HAS BEEN RECEIVED IN CONNECTION WITH FA' CONDUCT.
<b>Product Type:</b>	No Product
<b>Other Product Types:</b>	
<b>Broker Statement</b>	THE CLIENT ORDER WAS ON MY HOME ANSWERING MACHINE. I TRIED TO CONTACT HIM THE NEXT DAY BUT WIFE TOLD ME HE HAD GONE FISHING FOR A WEEK. I DID NOT UNDERSTAND TIME AND PRICE DISCRETION AT THE TIME. EACH CLIENT HAD GIVEN VERBAL PERMISSION TO SELL ON FRIDAY'S IF STOCK WAS BELOW OUR PROTECTIVE STOP.



## End of Report

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