



IAPD Report

DANA PAUL GOLDFARB

CRD# 707304

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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

DANA PAUL GOLDFARB (CRD# 707304)

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 **10/15/2025**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	RAYMOND JAMES & ASSOCIATES, INC.	CRD# 705	02/19/2010
IA	RAYMOND JAMES & ASSOCIATES, INC.	CRD# 705	02/22/2010

QUALIFICATIONS

This representative is currently registered in **9** SRO(s) and **26** 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	OPPENHEIMER & CO. INC.	249	LOS ANGELES, CA	09/28/2005 - 02/19/2010
B	OPPENHEIMER & CO. INC.	249	LOS ANGELES, CA	11/24/2004 - 02/19/2010
IA	WACHOVIA SECURITIES, LLC	19616	WESTLAKE VILLAGE, CA	11/12/2002 - 11/29/2004

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	5



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 **26** jurisdiction(s) and 9 SRO(s) through his or her employer(s).

Employment 1 of 1

Firm Name: **RAYMOND JAMES & ASSOCIATES, INC.**
Main Address: 880 CARILLON PARKWAY
ST. PETERSBURG, FL 33716
Firm ID#: 705

Regulator	Registration	Status	Date
B FINRA	General Securities Representative	Approved	02/19/2010
B FINRA	General Securities Sales Supervisor	Approved	02/19/2010
B Investors' Exchange LLC	General Securities Representative	Approved	07/11/2025
B MEMX LLC	General Securities Representative	Approved	07/11/2025
B MEMX LLC	General Securities Sales Supervisor	Approved	07/11/2025
B NYSE American LLC	General Securities Representative	Approved	02/19/2010
B NYSE American LLC	General Securities Sales Supervisor	Approved	10/01/2018
B NYSE Arca, Inc.	General Securities Representative	Approved	07/11/2025
B NYSE Arca, Inc.	General Securities Sales Supervisor	Approved	07/11/2025
B NYSE Texas, Inc.	General Securities Representative	Approved	07/11/2025
B NYSE Texas, Inc.	General Securities Sales Supervisor	Approved	07/11/2025
B Nasdaq PHLX LLC	General Securities Representative	Approved	02/19/2010
B Nasdaq PHLX LLC	General Securities Sales Supervisor	Approved	02/19/2010



Qualifications

Regulator	Registration	Status	Date
B Nasdaq Stock Market	General Securities Representative	Approved	02/19/2010
B Nasdaq Stock Market	General Securities Sales Supervisor	Approved	02/19/2010
B New York Stock Exchange	General Securities Representative	Approved	02/19/2010
B New York Stock Exchange	General Securities Sales Supervisor	Approved	10/01/2018
B Arizona	Agent	Approved	12/11/2015
B California	Agent	Approved	02/19/2010
IA California	Investment Adviser Representative	Approved	02/22/2010
B Colorado	Agent	Approved	12/18/2017
B Florida	Agent	Approved	06/30/2010
B Georgia	Agent	Approved	09/24/2010
B Hawaii	Agent	Approved	12/26/2025
B Idaho	Agent	Approved	03/09/2022
B Illinois	Agent	Approved	11/30/2017
B Indiana	Agent	Approved	01/24/2022
B Massachusetts	Agent	Approved	04/12/2010
B Nevada	Agent	Approved	04/13/2010
B New Jersey	Agent	Approved	02/19/2010
B New York	Agent	Approved	04/04/2019
B North Carolina	Agent	Approved	01/13/2022



Qualifications

Regulator	Registration	Status	Date
B Ohio	Agent	Approved	03/16/2020
B Oklahoma	Agent	Approved	08/29/2024
B Oregon	Agent	Approved	12/15/2011
B Pennsylvania	Agent	Approved	06/20/2018
B South Dakota	Agent	Approved	12/09/2024
B Tennessee	Agent	Approved	11/23/2020
B Texas	Agent	Approved	02/19/2010
IA Texas	Investment Adviser Representative	Restricted Approval	05/21/2010
B Utah	Agent	Approved	02/19/2010
B Virginia	Agent	Approved	06/13/2023
B Washington	Agent	Approved	02/19/2010
B Wisconsin	Agent	Approved	02/11/2015
B Wyoming	Agent	Approved	08/22/2019

Branch Office Locations

RAYMOND JAMES & ASSOCIATES, INC.
3027 TOWNSGATE ROAD
SUITE 100
WESTLAKE VILLAGE, CA 91361






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



Principal/Supervisory Exams

Exam	Category	Date
 General Securities Sales Supervisor - General Module Examination (S10)	Series 10	01/02/2023
 General Securities Sales Supervisor - Options Module Examination (S9)	Series 9	01/02/2023
 General Securities Sales Supervisor Examination (Options Module & General Module) (S8)	Series 8	12/07/1987

General Industry/Product Exams

Exam	Category	Date
 Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
 Futures Managed Funds Examination (S31)	Series 31	04/21/2008
 Foreign Currency Options Examination (S15)	Series 15	12/01/1982
 General Securities Representative Examination (S7)	Series 7	04/19/1980

State Securities Law Exams

Exam	Category	Date
 Uniform Investment Adviser Law Examination (S65)	Series 65	01/23/2006
 Uniform Securities Agent State Law Examination (S63)	Series 63	04/24/1987



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	09/28/2005 - 02/19/2010	OPPENHEIMER & CO. INC.	CRD# 249	LOS ANGELES, CA
B	11/24/2004 - 02/19/2010	OPPENHEIMER & CO. INC.	CRD# 249	LOS ANGELES, CA
IA	11/12/2002 - 11/29/2004	WACHOVIA SECURITIES, LLC	CRD# 19616	WESTLAKE VILLAGE, CA
B	11/27/2000 - 11/29/2004	WACHOVIA SECURITIES, LLC	CRD# 19616	ST. LOUIS, MO
B	04/17/1995 - 12/14/2000	SUTRO & CO. INCORPORATED	CRD# 801	SAN FRANCISCO, CA
B	09/04/1990 - 04/05/1995	EVEREN SECURITIES, INC.	CRD# 19616	ST. LOUIS, MO
B	06/22/1987 - 09/04/1990	BATEMAN EICHLER, HILL RICHARDS, INCORPORATED	CRD# 76	
B	04/24/1980 - 06/30/1987	PAINWEBBER INCORPORATED	CRD# 8174	

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
02/2010 - Present	RAYMOND JAMES & ASSOCIATES, INC	FINANCIAL ADVISOR	Y	WEST LAKE VILLAGE, 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.

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
Customer Dispute	5

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 5

Reporting Source:	Firm
Employing firm when activities occurred which led to the complaint:	OPPENHEIMER CO. INC.
Allegations:	CLAIMANTS ALLEGE MISREPRESENTATION AND OMISSIONS, NEGLIGENCE BREACH OF FIDUCIARY DUTIES IN PRIVATE PLACEMENT OTC SALE OF SECURITIES, 2006-2007.
Product Type:	Equity-OTC
Alleged Damages:	\$140,197.51
Is this an oral complaint?	No
Is this a written complaint?	No
Is this an arbitration/CFTC reparation or civil litigation?	Yes
Arbitration/Reparation forum or court name and location:	FINRA
Docket/Case #:	15-00933
Filing date of arbitration/CFTC reparation or civil litigation:	04/23/2015

Customer Complaint Information

Date Complaint Received:	05/05/2015
Complaint Pending?	No



Status: Settled
Status Date: 05/27/2016
Settlement Amount: \$65,000.00
Individual Contribution Amount: \$0.00

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Reporting Source: Individual
Employing firm when activities occurred which led to the complaint: OPPENHEIMER CO. INC.
Allegations: CLAIMANTS ALLEGE MISREPRESENTATION AND OMISSIONS, NEGLIGENCE, BREACH OF FIDUCIARY DUTIES IN PRIVATE PLACEMENT OTC SALE OF SECURITIES 2006-2007.

Product Type: Equity-OTC

Alleged Damages: \$140,197.51

Is this an oral complaint? No

Is this a written complaint? No

Is this an arbitration/CFTC reparation or civil litigation? Yes

Arbitration/Reparation forum or court name and location: FINRA

Docket/Case #: 15-00933

Filing date of arbitration/CFTC reparation or civil litigation: 04/23/2015

Customer Complaint Information

Date Complaint Received: 05/05/2015

Complaint Pending? No

Status: Settled

Status Date: 05/27/2016

Settlement Amount: \$65,000.00

Individual Contribution Amount: \$0.00

Disclosure 2 of 5

Reporting Source: Firm
Employing firm when activities occurred which led to the complaint: OPPENHEIMER & CO. INC.

Allegations: UNAUTHORIZED TRADING, UNSUITABLE FROM 2004 - 2008

Product Type: Equity-OTC
Equity Listed (Common & Preferred Stock)



Alleged Damages: \$1,447,472.14

Is this an oral complaint? No

Is this a written complaint? Yes

**Is this an arbitration/CFTC
reparation or civil litigation?** Yes

**Arbitration/Reparation forum
or court name and location:** FINRA

Docket/Case #: 09-05876

**Filing date of
arbitration/CFTC reparation
or civil litigation:** 10/20/2009

Customer Complaint Information

Date Complaint Received: 10/23/2009

Complaint Pending? No

Status: Settled

Status Date: 02/18/2011

Settlement Amount: \$772,000.00

**Individual Contribution
Amount:** \$0.00

Firm Statement THIS FILING IS A PARTIAL DUPLICATE OF OCCURENCE #1452108, WHICH REFLECTS THE ORIGINAL CUSTOMER COMPLAINT ON BEHALF OF [CUSTOMER], AND WAS FILED TO REFLECT ADDITIONAL PARTIES TO THE ARBITRATION.

Reporting Source: Individual

**Employing firm when
activities occurred which led
to the complaint:** OPPENHEIMER & CO. INC.

Allegations: UNAUTHORIZED TRADING, UNSUITABLE FROM 2004-2008

Product Type: Equity-OTC
Equity Listed (Common & Preferred Stock)

Alleged Damages: \$1,447,472.14

Is this an oral complaint? No

Is this a written complaint? Yes

**Is this an arbitration/CFTC
reparation or civil litigation?** Yes

**Arbitration/Reparation forum
or court name and location:** FINRA

Docket/Case #: 09-05876

**Filing date of
arbitration/CFTC reparation
or civil litigation:** 10/20/2009

**Customer Complaint Information**

Date Complaint Received: 10/23/2009
Complaint Pending? No
Status: Settled
Status Date: 02/18/2011
Settlement Amount: \$772,000.00
Individual Contribution Amount: \$0.00

Disclosure 3 of 5

Reporting Source: Individual
Employing firm when activities occurred which led to the complaint: OPPENHEIMER & CO. INC.
Allegations: CLIENT ALLEGES THAT SHE MADE AN INVESTMENT BASED ON MISREPRESENTATIONS.
Product Type: Equity-OTC
Alleged Damages: \$69,000.00
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: 06/26/2009
Complaint Pending? No
Status: Closed/No Action
Status Date: 10/23/2009
Settlement Amount:
Individual Contribution Amount:

Broker Statement PER FINANCIAL ADVISOR, THIS COMPLAINT WAS "CLOSED-OUT" BECAUSE IT EVOLVED INTO A "SUBJECT OF AN ARBITRATION" AND WAS REFILED WITH FINRA UNDER OCCURANCE# 1551845, WHICH SETTLED FOR \$772,000.

Disclosure 4 of 5

Reporting Source: Individual
Employing firm when activities occurred which led to the complaint: OPPENHEIMER & CO. INC.
Allegations: DAUGHTER OF CLIENT, WHO HAS POWER OF ATTORNEY ALLEGES THAT THE USE OF MARGIN IN HER MOTHER'S ACCOUNT WAS UNSUITABLE. NO



TIME PERIOD SPECIFIED.

Product Type: Other: PRODUCT WAS NOT SPECIFIED BY "FIRM ON RECORD"

Alleged Damages: \$210,000.00

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: 04/07/2009

Complaint Pending? No

Status: Closed/No Action

Status Date: 10/23/2009

Settlement Amount:

**Individual Contribution
Amount:**

Broker Statement PER FINANCIAL ADVISOR, THIS COMPLAINT WAS "CLOSED-OUT" BECAUSE IT EVOLVED INTO A "SUBJECT OF AN ARBITRATION" AND WAS REFILED WITH FINRA UNDER OCCURANCE# 1551845, WHICH SETTLED FOR \$772,000.

Disclosure 5 of 5

Reporting Source: Firm

**Employing firm when
activities occurred which led
to the complaint:** OPPENHEIMER & CO. INC.

Allegations: CLAMANTNTS ALLEGE RESONDENTS FAILED TO SELL A SECURITYEY AFTER ITS VALUE FELL BELOW A CERTAIN PRICE AND ALSO FAILED TO LIQUIDATE CLAIMANTS' ACCOUNT AFTER RECEIVING A LETTER OF AUTHORIZATION FROM CLAIMANTS MARCH 24, 2006.

Product Type: Equity-OTC

Alleged Damages: \$300,000.00

Arbitration Information

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

Docket/Case #: 09-05034

Date Notice/Process Served: 10/15/2009

Arbitration Pending? No

Disposition: Settled

Disposition Date: 02/02/2011

**Monetary Compensation
Amount:** \$17,500.00



Individual Contribution Amount: \$0.00

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Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: OPPENHEIMER & CO. INC.

Allegations: CLAIMANTS ALLEGE THAT RESPONDENTS FAILED TO SELL A SECURITY AFTER ITS VALUE FELL BELOW A CERTAIN PRICE, AND ALSO FAILED TO LIQUIDATE CLAIMANTS' ACCOUNT AFTER RECEIVING A LETTER OF AUTHORIZATION FROM CLAIMANTS. UNKNOWN ALLEGED DAMAGES.

Product Type: Equity-OTC

Alleged Damages: \$300,000.00

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: 02/03/2008

Complaint Pending? No

Status: Evolved into Arbitration/CFTC reparation (the individual is a named party)

Status Date: 10/15/2009

Settlement Amount:

Individual Contribution Amount:

Arbitration Information

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

Docket/Case #: 09-05034

Date Notice/Process Served: 10/15/2009

Arbitration Pending? No

Disposition: Settled

Disposition Date: 02/02/2011

Monetary Compensation Amount: \$17,500.00

Individual Contribution Amount: \$0.00

Civil Litigation Information

Type of Court: State Court

Name of Court: 270TH JUDICIAL DISTRICT COURT OF HARRIS COUNTY, TEXAS



Location of Court:	HARRIS COUNTY, TEXAS
Docket/Case #:	2008-17538
Date Notice/Process Served:	02/12/2008
Litigation Pending?	No
Disposition:	Other: ORDERED TO ARBITRATION
Disposition Date:	01/12/2009
Broker Statement	I DENY ALL ALLEGATIONS



End of Report

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