



## IAPD Report

# Denny Hooten

CRD# 7278810

<b><u>Section Title</u></b>	<b><u>Page(s)</u></b>
Report Summary	1
Qualifications	2 - 5
Registration and Employment History	6 - 8
Disclosure Information	9



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

### Denny Hooten (CRD# 7278810)

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 **02/20/2026**.

### CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
<b>B</b>	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	CRD# 7691	05/17/2023
<b>IA</b>	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	CRD# 7691	05/17/2023

### QUALIFICATIONS

This representative is currently registered in **6** SRO(s) and **22** 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>B</b>	LPL FINANCIAL LLC	6413	PALM DESERT, CA	12/08/2021 - 05/30/2023
<b>IA</b>	LPL FINANCIAL LLC	6413	PALM DESERT, CA	12/07/2021 - 05/30/2023
<b>B</b>	AMERIPRISE FINANCIAL SERVICES, LLC	6363	Woodland Hills, CA	02/19/2021 - 12/10/2021

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
Criminal	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 **22** jurisdiction(s) and 6 SRO(s) through his or her employer(s).

### Employment 1 of 1

Firm Name: **MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED**  
Main Address: ONE BRYANT PARK  
NEW YORK, NY 10036  
Firm ID#: 7691

Regulator	Registration	Status	Date
B Cboe BYX Exchange, Inc.	General Securities Representative	Approved	05/17/2023
B Cboe BZX Exchange, Inc.	General Securities Representative	Approved	05/17/2023
B Cboe Exchange, Inc.	General Securities Representative	Approved	05/17/2023
B FINRA	General Securities Representative	Approved	05/17/2023
B FINRA	Invest. Co and Variable Contracts	Approved	05/17/2023
B Nasdaq Stock Market	General Securities Representative	Approved	05/17/2023
B New York Stock Exchange	General Securities Representative	Approved	05/17/2023
B Arizona	Agent	Approved	06/01/2023
B California	Agent	Approved	05/17/2023
IA California	Investment Adviser Representative	Approved	05/17/2023
B Colorado	Agent	Approved	06/27/2024
B Florida	Agent	Approved	05/23/2023
B Georgia	Agent	Approved	01/04/2024



### Qualifications

	Regulator	Registration	Status	Date
B	Indiana	Agent	Approved	12/19/2023
B	Iowa	Agent	Approved	03/11/2024
B	Louisiana	Agent	Approved	07/24/2023
B	Maryland	Agent	Approved	11/27/2023
B	Massachusetts	Agent	Approved	01/12/2024
B	Michigan	Agent	Approved	03/14/2024
B	Montana	Agent	Approved	12/17/2025
B	Nevada	Agent	Approved	05/30/2023
B	New York	Agent	Approved	06/08/2025
B	Ohio	Agent	Approved	08/05/2025
B	Oregon	Agent	Approved	05/24/2023
B	Pennsylvania	Agent	Approved	10/03/2023
B	Tennessee	Agent	Approved	02/23/2026
B	Texas	Agent	Approved	06/01/2023
IA	Texas	Investment Adviser Representative	Restricted Approval	06/01/2023
B	Virginia	Agent	Approved	07/21/2023
B	Washington	Agent	Approved	05/31/2023
B	Wisconsin	Agent	Approved	05/13/2025



## Qualifications

Regulator	Registration	Status	Date
IA Wisconsin	Investment Adviser Representative	Approved	05/13/2025

### Branch Office Locations

**MERRILL LYNCH, PIERCE, FENNER & SMITH  
INCORPORATED**  
520 NEWPORT CENTER DR  
NEWPORT BEACH, CA 92660



## 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, 3 general industry/product exams, and 2 state securities law exams.**

#### Principal/Supervisory Exams

Exam	Category	Date
------	----------	------

No information reported.

#### General Industry/Product Exams

Exam	Category	Date
------	----------	------

General Securities Representative Examination (S7TO)	Series 7TO	03/09/2021
Investment Company Products/Variable Contracts Representative Examination (S6TO)	Series 6TO	08/07/2020
Securities Industry Essentials Examination (SIE)	SIE	02/27/2020

#### State Securities Law Exams

Exam	Category	Date
------	----------	------

Uniform Investment Adviser Law Examination (S65)	Series 65	10/23/2020
Uniform Securities Agent State Law Examination (S63)	Series 63	08/28/2020

### 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	12/08/2021 - 05/30/2023	LPL FINANCIAL LLC	CRD# 6413	PALM DESERT, CA
IA	12/07/2021 - 05/30/2023	LPL FINANCIAL LLC	CRD# 6413	PALM DESERT, CA
B	02/19/2021 - 12/10/2021	AMERIPRISE FINANCIAL SERVICES, LLC	CRD# 6363	Woodland Hills, CA
IA	02/18/2021 - 12/10/2021	AMERIPRISE FINANCIAL SERVICES, LLC	CRD# 6363	Woodland Hills, CA
IA	10/23/2020 - 02/05/2021	TRANSAMERICA FINANCIAL ADVISORS, INC.	CRD# 16164	HUNTINGTON BEACH, CA
B	08/12/2020 - 02/05/2021	TRANSAMERICA FINANCIAL ADVISORS, INC	CRD# 16164	HUNTINGTON BEACH, 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
05/2023 - Present	Bank of America, N.A.	FSA - Merrill	Y	Irvine, CA, United States
04/2023 - Present	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	FSA - Merrill	Y	Irvine, CA, United States
06/2022 - Present	Van May LLC.	Joint owner with wife - no active role other than administrative help.	N	Burbank, CA, United States
02/2020 - Present	DLD INTERNATIONAL	OWNER	Y	BURBANK, CA, United States
02/2020 - Present	VINCO CONSULTING	OWNER	N	BURBANK, CA, United States
01/2018 - Present	UNIVERSITY OF SOUTHERN CALIFORNIA	ADJUNCT PROFESSOR	N	UNIVERSITY OF SOUTHERN CA, CA, United States
12/2022 - 04/2023	Insurance Agency Solutions Inc.	Agent	N	Santa Ana, CA, United States
12/2021 - 04/2023	LPL Financial, LLC	Registered Representative	Y	PALM DESERT, CA, United States



### Registration & Employment History

#### EMPLOYMENT HISTORY

Employment Dates	Employer Name	Position	Investment Related	Employer Location
04/2020 - 04/2023	PACIFIC DENTAL SERVICES	DIRECTOR	N	IRVINE, CA, United States
02/2021 - 12/2021	AMERIPRISE FINANCIAL SERVICES, LLC	Registered Rep	Y	Woodland Hill, CA, United States
07/2020 - 01/2021	TRANSAMERICA FINANCIAL ADVISORS, INC	Registered Representative	Y	HUNTINGTON BEACH, CA, United States
06/2020 - 01/2021	WORLD FINANCIAL GROUP, INC.	Agent	N	HUNTINGTON BEACH, CA, United States
03/2018 - 04/2020	HELATHCARE PARTNERS	DIRECTOR	N	SANTA ANA, CA, United States
10/2017 - 01/2018	Unemployed	Unemployed	N	STUDIO CITY, CA, United States
10/2015 - 10/2017	ELEMENTS BEHAVIORAL HEALTH	VP OF ADMISSIONS	N	LONG BEACH, 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.

I\*1272260 Entity For Profit Name: DLD Intl, LLC. Investment related: N Business Address: Burbank, CA, 91503 Nature of business: Lmt'd Liability Company Position, title, association: Owner, Start date: 2/12/2020 Number of hrs devoted: 1 Monthly Number of hours devoted during trading hours: 1 Duties: Passive real estate investing I\*1272267 For Profit Name Tri An LLC. Invstmnt related: N Business Address: Huntington Beach, CA, 92646 Nature of business: Limited Liability Company Position, title, association: Owner, Start date of relationship: 4/20/2023 Number of hrs devoted: 0 Number of hours devoted during trading hrs: 0 Duties: , I\*1272268 Entity For Profit Name Vinco Consulting Invstmnt related: N Address of business: Burbank, CA, 91503 Nature of business: Limited Liability Company Position, title, association: Owner, Start date of relationship: 2/13/2020 Number of hours devoted: 1 Monthly Number of hours devoted during trading hours: 0 Duties: Wife's media consulting business - voiceovers, commercials, medial I\*1272264 Entity For Profit Name Vanmay LLC. Invstmnt related: N Address of business: Burbank, CA, 91503 Nature of business: Limited Liability Company Position, title, association: Owner, Start date: 6/14/2022 Number of hrs devoted: 1 Monthly Number of hrs devoted during trading hours: 0 Duties: LLC created for my wife's insurance business, I just help with accounting. Spend about an hour a month helping her. I\*1272262 For profit or not for profit: Name USC Investment related: N Address of business: LA, CA, 90089 Nature of business: School, College or University Position, title, association: Employee, Start date of relationship: 1/1/2018 Number of hrs devoted: 90 Yearly Number of hours devoted during trading hrs: 0 Duties: , Teach graduate level courses nights/weekends. Classes are Healthcare Finance, Healthcare Operations and Managed Care. I\* 1612286 For profit or not for profit: Name : MDS Energy Development Invstmnt related: No Address of business: Lake Villa, IL Nature of business: Position, title, association: General Partner/Managing Member Start date of relationship: 12/19/2023 Number of hours devoted: 0 monthly Number of hours devoted during trading hours: Duties: General Partnership investor for tax benefits and income. Will transition to Lmt'd partnership I\* 1604284 For profit or not for profit: Name US Energy Development Corp Investment related: No Address of business: Arlington, TX Nature of business: Position, title, association: General Partner/Managing Member Start date of relationship: 10/24/2023 Number of hours devoted: 0 yearly Number of hours devoted during trading hours: Duties: The US Energy Dev Corp invstmnt is an Oil and Gas drilling investment. Investors start as general partners to get 80%



## Registration & Employment History



### OTHER BUSINESS ACTIVITIES

depreciation on investment for tangible drilling costs in 2023 and 60% depreciation in 2024, then investors transition to limited partnership. Investment pays income for 7 years. All drilling sites are established. Fudn information attached. I\* 1821299 For Profit Name of outside business organization: Qua Cam LLC. Invstmnt related: no Business Address: Costa Mesa, CA, 92627 Nature of business: S Corp Position, title, association: Owner Start date of relationship: 05/29/2024 hours devoted: 1 weekly Number of hours devoted during tra I\*1895347 For Profit Name of OBA: Vanmay LLC. Address:Irvine, CA Investment Related:No Position, Title, Association:Owner Start Date:08/09/2024 No Hours: 0 Monthly No Hours during trading:0 Duties:Commercial real estate - one floor for current business and bottom floor rented to Law firm I\*2108275, Entity For Profit, Name of OBA:Texas Standard Energy Fund II LP Address:Lake Villa,IL, 60046 Invstmnt Related:N Position, Title, Association:General Partner/Ma Employee Start Date:12/02/2024 No Hours:0 No Hours during trading:0 Duties: oil and gas drilling investment. Investors start as general partner to get 80% depreciation for tangible drilling costs in 2024 and 60% in 2025 then investors transition to lmted partne



## 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
Criminal	2

### Criminal

This disclosure event involves a criminal charge against the Investment Adviser Representative that has resulted in a dismissal, plea, acquittal or conviction. The criminal matter may relate to any felony or certain misdemeanor offenses (e.g., bribery, perjury, forgery, counterfeiting, extortion, fraud, wrongful taking of property).

#### Disclosure 1 of 2

<b>Reporting Source:</b>	Individual
<b>Formal Charges were brought in:</b>	State Court
<b>Name of Court:</b>	Municipal Court of Los Angeles Judicial District
<b>Location of Court:</b>	Los Angeles County, CA
<b>Docket/Case #:</b>	8SP02200
<b>Charge Date:</b>	08/06/1998
<b>Charge(s) 1 of 1</b>	
<b>Formal Charge(s)/Description:</b>	DUI ALCOHOL/DRUGS
<b>No of Counts:</b>	1
<b>Felony or Misdemeanor:</b>	Felony
<b>Plea for each charge:</b>	Not Guilty
<b>Disposition of charge:</b>	Dismissed
<b>Current Status:</b>	Final
<b>Status Date:</b>	10/20/1998
<b>Disposition Date:</b>	10/20/1998
<b>Sentence/Penalty:</b>	Dismissed
<b>Broker Statement</b>	I was charged with a DUI while in a minor crash. The case was dismissed and there have been no more incidents since 1998.

#### Disclosure 2 of 2

<b>Reporting Source:</b>	Individual
--------------------------	------------



<b>Formal Charges were brought in:</b>	State Court
<b>Name of Court:</b>	Municipal Courthouse Judicial District
<b>Location of Court:</b>	Los Angeles County, CA
<b>Docket/Case #:</b>	6IW05361
<b>Charge Date:</b>	06/03/1996
<b>Charge(s) 1 of 1</b>	
<b>Formal Charge(s)/Description:</b>	Petty Theft
<b>No of Counts:</b>	1
<b>Felony or Misdemeanor:</b>	Misdemeanor
<b>Plea for each charge:</b>	Not Guilty
<b>Disposition of charge:</b>	Dismissed
<b>Current Status:</b>	Final
<b>Status Date:</b>	06/24/1996
<b>Disposition Date:</b>	06/24/1996
<b>Sentence/Penalty:</b>	Dismissed on 6/24/1996.
<b>Broker Statement</b>	In 1996, I ate a hotdog in a 7-11 convenience store without paying. All charges were dismissed by the court.



## End of Report

This page is intentionally left blank.