



IAPD Report

DANIEL ROBERT BOTT SR

CRD# 810528

<u>Section Title</u>	<u>Page(s)</u>
Report Summary	1
Qualifications	2 - 3
Registration and Employment History	4 - 5
Disclosure Information	6

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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

DANIEL ROBERT BOTT SR (CRD# 810528)

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 **12/16/2025**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	CRD# 7691	05/29/2009
IA	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	CRD# 7691	05/29/2009

QUALIFICATIONS

This representative is currently registered in **6** SRO(s) and **3** 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	WELLS FARGO ADVISORS, LLC	19616	SCOTTSDALE, AZ	10/09/2002 - 06/01/2009
B	WELLS FARGO ADVISORS, LLC	19616	SCOTTSDALE, AZ	05/25/2001 - 06/01/2009
B	SALOMON SMITH BARNEY INC.	7059	NEW YORK, NY	07/31/1993 - 05/30/2001

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
Customer Dispute	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 3 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	05/13/2014
B Cboe BZX Exchange, Inc.	General Securities Representative	Approved	05/13/2014
B Cboe Exchange, Inc.	General Securities Representative	Approved	05/29/2009
B FINRA	General Securities Representative	Approved	05/29/2009
B Nasdaq Stock Market	General Securities Representative	Approved	05/29/2009
B New York Stock Exchange	General Securities Representative	Approved	05/29/2009
B Arizona	Agent	Approved	05/29/2009
B California	Agent	Approved	05/29/2009
IA California	Investment Adviser Representative	Approved	09/10/2025
B Massachusetts	Agent	Approved	01/02/2018

Branch Office Locations

**MERRILL LYNCH, PIERCE, FENNER & SMITH
INCORPORATED**
23655 N SCOTTSDALE RD
SCOTTSDALE, AZ 85255



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

Principal/Supervisory Exams

Exam	Category	Date
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No information reported.

General Industry/Product Exams

Exam	Category	Date
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Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
Futures Managed Funds Examination (S31)	Series 31	02/07/1995
AMEX Put and Call Exam (PC)	PC	08/15/1977
General Securities Representative Examination (S7)	Series 7	07/19/1975

State Securities Law Exams

Exam	Category	Date
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Uniform Investment Adviser Law Examination (S65)	Series 65	06/18/1992
Uniform Securities Agent State Law Examination (S63)	Series 63	01/23/1980

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	10/09/2002 - 06/01/2009	WELLS FARGO ADVISORS, LLC	CRD# 19616	SCOTTSDALE, AZ
B	05/25/2001 - 06/01/2009	WELLS FARGO ADVISORS, LLC	CRD# 19616	SCOTTSDALE, AZ
B	07/31/1993 - 05/30/2001	SALOMON SMITH BARNEY INC.	CRD# 7059	NEW YORK, NY
B	02/15/1988 - 07/31/1993	LEHMAN BROTHERS INC.	CRD# 7506	NEW YORK, NY
B	04/10/1987 - 02/15/1988	E. F. HUTTON & COMPANY INC	CRD# 235	
B	06/02/1986 - 04/07/1987	PAINWEBBER INCORPORATED	CRD# 8174	
B	04/23/1984 - 06/13/1985	WEDBUSH, NOBLE, COOKE, INC	CRD# 877	
B	05/19/1978 - 05/07/1984	KIDDER, PEABODY & CO. INCORPORATED	CRD# 7613	
B	08/01/1975 - 05/19/1978	KIDDER, PEABODY & CO., INCORPORATED	CRD# 488	

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
12/2009 - Present	BANK OF AMERICA, N.A.	FINANCIAL ADVISOR	Y	SCOTTSDALE, AZ, United States
05/2009 - Present	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	FINANCIAL ADVISOR	Y	SCOTTSDALE, AZ, 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*35079
FOR PROFIT OR NOT FOR PROFIT: FOR-PROFIT ORGANIZATION
NAME OF OUTSIDE BUSINESS ORGANIZATION: NEW FINANCIAL FRONTIERS LLC



Registration & Employment History



OTHER BUSINESS ACTIVITIES

INVESTMENT RELATED: N
ADDRESS OF BUSINESS:
CAREFREE, ARIZONA 85377
NATURE OF BUSINESS: LLC,
POSITION, TITLE, ASSOCIATION: OWNER,
START DATE OF RELATIONSHIP: 6/1/1999
NUMBER OF HOURS DEVOTED: 20 HOUR(S) QUARTERLY
NUMBER OF HOURS DEVOTED DURING TRADING HOURS: 0
DUTIES: KNOWLEDGE BASED INFORMATION, EDUCATION MATERIAL, PUBLICATIONS, SOFTWARE AND OTHER RELATED SERVICES TO THE PROFESSIONAL INVESTMENT MANAGEMENT CONSULTANT COMMUNITY.

VALLEY ICEPLEX PROFESSIONALS LLC, PARADIS VALLEY, AZ, MANAGEMENT COMPANY, OWNERSHIP IN THE COMPANY, 1996 TO PRESENT, 1 HR PER MONTH, NONE DURING TRADING, NO DUTIES.

I*40459
FOR PROFIT OR NOT FOR PROFIT: NON-PROFIT ORGANIZATION
NAME OF OUTSIDE BUSINESS ORGANIZATION: BOTT MOTORSPORTS
INVESTMENT RELATED: N
ADDRESS OF BUSINESS:
CAREFREE, ARIZONA 85377
NATURE OF BUSINESS: FAMILY BUSINESS,
POSITION, TITLE, ASSOCIATION: FAMILY HELD,
START DATE OF RELATIONSHIP: 3/1/2005
NUMBER OF HOURS DEVOTED: 50 HOUR(S) QUARTERLY
NUMBER OF HOURS DEVOTED DURING TRADING HOURS: 0
DUTIES: FATHER/SON NON-PROFESSIONAL DRAG RACING TEAM. WE PARTICIPATE IN REGIONAL EVENTS FOR PRIZES AND CASH.

I*70786
FOR PROFIT OR NOT FOR PROFIT: NON-PROFIT ORGANIZATION
NAME OF OUTSIDE BUSINESS ORGANIZATION: ACADEMY OF MODEL AERONAUTICS FOUNDATION
INVESTMENT RELATED: N
ADDRESS OF BUSINESS:
MUNCIE, INDIANA 47302
NATURE OF BUSINESS: CHARITABLE ORGANIZATION,
POSITION, TITLE, ASSOCIATION: DIRECTOR,
START DATE OF RELATIONSHIP: 4/11/2014
NUMBER OF HOURS DEVOTED: 5 HOUR(S) MONTHLY
NUMBER OF HOURS DEVOTED DURING TRADING HOURS: 0
DUTIES: THE AMA IS THE LEADING MEMBERSHIP ORGANIZATION THAT REPRESENTS AND SUPPORTS THE HOBBY AND THE BUSINESS OF MODEL AVIATION. THE FOUNDATION IS THE CHARITABLE ENTITY THAT PROVIDES FUNDING FOR AMA PROJECTS AND YOUTH SCHOLARSHIPS.



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	1

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 1

Reporting Source: Firm

Employing firm when activities occurred which led to the complaint: KIDDER, PEABODY & CO.

Allegations:

Product Type:

Alleged Damages: \$510,000.00

Customer Complaint Information

Date Complaint Received:

Complaint Pending? No

Status: Litigation

Status Date:

Settlement Amount:

Individual Contribution Amount:

Civil Litigation Information

Court Details: SUPERIOR; LOS ANGELES, CA; 442736

Date Notice/Process Served: 11/03/1981

Litigation Pending? No

Disposition: Settled



Disposition Date: 01/30/1986

Monetary Compensation Amount: \$42,500.00

Individual Contribution Amount: \$0.00

Firm Statement COMPLAINT BY CUSTOMER [CUSTOMER] (CALIFORNIA STATE SENATOR) AND HIS WIFE, [CUSTOMER]; FILED NOVEMBER 3, 1981, CLAIMING NEGLIGENCE AND BREACH OF FIDUCIARY DUTIES IN THEIR ACCOUNT. OPTIONS INVOLVED. ALLEGED DAMAGES OF \$510,000.00. DANIEL ROBERT BOTT NAMED AS THE RESPONDENT. SETTLED ON JANUARY 30, 1986 FOR \$42,500.00. MR. BOTT WAS AWARE OF THE SETTLEMENT CLAIM BY [CUSTOMER(S)] FOR \$42,500.00. MR. BOTT DID NOT PARTICIPATE IN THE SETTLEMENT OF THE ABOVE CLAIM. THE PLAINTIFFS IN THE SUIT ARE IMMEDIATE FAMILY MEMBERS.

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: KIDDER, PEABODY & CO.

Allegations:

Product Type:

Alleged Damages: \$40,000.00

Customer Complaint Information

Date Complaint Received:

Complaint Pending? No

Status: Litigation

Status Date: 11/03/1981

Settlement Amount:

Individual Contribution Amount:

Civil Litigation Information

Court Details: SUPERIOR; LOS ANGELES; 442736

Date Notice/Process Served: 11/03/1981

Litigation Pending? No

Disposition: Settled

Disposition Date:

Monetary Compensation Amount: \$40,000.00

Individual Contribution Amount: \$0.00

Broker Statement CIVIL ACTION NO. 442736 FILED 11/3/81 IN THE SUPERIOR COURT OF LOS ANGELES BY [CUSTOMERS] VS. KIDDER, PEABODY & CO. AND DANIEL BOTT. COMPLAINT FOR DAMAGES, ALLEGING NEGLIGENCE, BREACH OF FIDUCIARY DUTY, FRAUD



AND CONSTRUCTIVE TRUST. THE COMPLAINT ALLEGES THAT ON OR ABOUT APRIL 1981, PLAINTIFFS INVESTED WITH DEFENDANTS AND EACH OF THEM THE SUM OF \$100,000.00 FOR THE INVESTMENT OF SECURITIES; THAT ON OR ABOUT AUGUST THROUGH SEPTEMBER 1981, DEFENDANTS AND EACH OF THEM SO NEGLIGENTLY ENTRUSTED, MANAGED, MAINTAINED, MISAPPROPRIATED, AND SUPERVISED THEIR BUSINESS AS TO PROXIMATELY AND DIRECTLY CAUSE SAID AMOUNTS OF CAPITAL TO BE INVESTED IN INVESTMENTS OUTSIDE OF NORMAL AND BUSINESS GOOD JUDGMENT CAUSING LOSSES TO PLAINTIFFS. THE PLAINTIFFS SEEK JUDGMENT IN THE AMOUNT OF \$40,000.00 AND PUNITIVE DAMAGES OF \$100,000.00. *** KIDDER PEABODY & DANIEL BOTT FILED AN ANSWER TO COMPLAINT FOR DAMAGES IN THE ABOVE ACTION ASKING THAT PLAINTIFFS TAKE NOTHING BY THIS ACTION. IN FEBRUARY/MARCH 1986, PLAINTIFFS IN THE AFOREMENTIONED CIVIL COMPLAINT WITHDREW THE SUIT AND ARE NO LONGER SEEKING SETTLEMENT. ALL PARTIES HAVE CEASED ALL ACTIONS. THE ABOVE ACTION FILED BY [CUSTOMER] WAS SETTLED OUT OF COURT BY KIDDER, PEABODY FOR APPROXIMATELY \$40,000. BOTT WAS NOT AWARE OF THE SETTLEMENT UNTIL CONTACTED BY PAINWEBBER'S COMPLIANCE DEPARTMENT. BOTT WAS NOT INVOLVED IN ANY OF THE SETTLEMENT NEGOTIATIONS BETWEEN [CUSTOMER] AND KIDDER, PEABODY AND DID NOT CONTRIBUTE TO THE SETTLEMENT. HE STATES THAT KIDDER, PEABODY ALWAYS MAINTAINED THAT THE SUIT WAS WITHOUT MERIT; [CUSTOMER] "MADE MOST DECISIONS ON WHAT TRANSACTIONS WERE TO BE DONE AND GAVE DISCRETION ON TRADING TO HIS SON, WHO COMMUNICATED WITH BOTH BOTT AND THE BRANCH MANAGER."



End of Report

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