



IAPD Report

KEITH DUANE DUNN

CRD# 861857

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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

KEITH DUANE DUNN (CRD# 861857)

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 **06/24/2022**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
IA	JOHNSON DUNN CAPITAL ADVISORS, INC.	CRD# 320849	06/16/2022

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
IA	WELLS FARGO ADVISORS FINANCIAL NETWORK, LLC	11025	TARPON SPRINGS, FL	07/26/2010 - 06/24/2022
B	WELLS FARGO ADVISORS FINANCIAL NETWORK, LLC	11025	TARPON SPRINGS, FL	07/15/2010 - 06/24/2022
B	MORGAN STANLEY SMITH BARNEY	149777	PORT RICHEY, FL	06/01/2009 - 07/22/2010

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	4



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: **JOHNSON DUNN CAPITAL ADVISORS, INC.**
Main Address: PALM HARBOR, FL
Firm ID#: 320849

Regulator	Registration	Status	Date
IA Florida	Investment Adviser Representative	Approved	06/23/2022
IA Texas	Investment Adviser Representative	Restricted Approval	06/16/2022

Branch Office Locations

JOHNSON DUNN CAPITAL ADVISORS, INC.
36750 US 19 North
Innisbrook #2354
Palm Harbor, FL 34684




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 2 state securities law exams.



Principal/Supervisory Exams

Exam	Category	Date
 General Securities Principal Examination (S24)	Series 24	10/04/2012

General Industry/Product Exams

Exam	Category	Date
 Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
 Futures Managed Funds Examination (S31)	Series 31	05/04/2006
 Interest Rate Options Examination (S5)	Series 5	11/13/1981
 General Securities Representative Examination (S7)	Series 7	01/20/1979

State Securities Law Exams

Exam	Category	Date
 Uniform Investment Adviser Law Examination (S65)	Series 65	08/12/1994
 Uniform Securities Agent State Law Examination (S63)	Series 63	07/22/1983

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	07/26/2010 - 06/24/2022	WELLS FARGO ADVISORS FINANCIAL NETWORK, LLC	CRD# 11025	TARPON SPRINGS, FL
B	07/15/2010 - 06/24/2022	WELLS FARGO ADVISORS FINANCIAL NETWORK, LLC	CRD# 11025	TARPON SPRINGS, FL
B	06/01/2009 - 07/22/2010	MORGAN STANLEY SMITH BARNEY	CRD# 149777	PORT RICHEY, FL
IA	06/01/2009 - 07/22/2010	MORGAN STANLEY SMITH BARNEY LLC	CRD# 149777	PORT RICHEY, FL
B	03/01/2002 - 06/01/2009	CITIGROUP GLOBAL MARKETS INC.	CRD# 7059	PORT RICHEY, FL
IA	03/01/2002 - 06/01/2009	CITIGROUP GLOBAL MARKETS INC.	CRD# 7059	PORT RICHEY, FL
B	02/01/1979 - 03/11/2002	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	CRD# 7691	NEW YORK, NY

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
04/2022 - Present	JOHNSON DUNN CAPITAL ADVISORS, INC.	MANAGING DIRECTOR	Y	PALM HARBOR, FL, United States
07/2010 - 06/2022	WELLS FARGO ADVISORS FINANCIAL NETWORK LLC	REGISTERED REP	Y	TARPON SPRINGS, FL, 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	4

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 4

Reporting Source:	Firm
Employing firm when activities occurred which led to the complaint:	MERRILL LYNCH, PIERCE, FENNER & SMITH INC.
Allegations:	CLAIMANT ALLEGES THAT FA MADE UNSUITABLE RECOMMENDATIONS TO CONCENTRATE HIS RETIREMENT FUNDS IN TECHNOLOGY FUNDS A FEW YEARS BEFORE HIS PLANNED RETIREMENT. CLAIMANT ALLEGES FA OMITTED MATERIAL FACTS CONCERNING THE INHERENT RISKS OF SUCH ACTION.
Product Type:	Mutual Fund(s)
Alleged Damages:	\$250,000.00

Customer Complaint Information

Date Complaint Received:	11/15/2004
Complaint Pending?	No
Status:	Arbitration/Reparation
Status Date:	11/15/2004

Settlement Amount:

Individual Contribution Amount:

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.:	NASD DISPUTE RESOLUTION CASE NO. 04-07724
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Date Notice/Process Served: 11/15/2004
Arbitration Pending? No
Disposition: Settled
Disposition Date: 05/03/2006
Monetary Compensation Amount: \$70,000.00
Individual Contribution Amount: \$0.00
Firm Statement MERRILL LYNCH ULTIMATELY SETTLED THIS MATTER TO AVOID THE COSTS AND VAGARIES OF ARBITRATION.

Reporting Source: Individual
Employing firm when activities occurred which led to the complaint: MERRILL LYNCH, PIERCE, FENNER & SMITH INC.
Allegations: CLAIMANT ALLEGES THAT FA MADE UNSUITABLE RECOMMENDATIONS TO CONCENTRATE HIS RETIREMENT FUNDS IN TECHNOLOGY FUNDS A FEW YEARS BEFORE HIS PLANNED RETIREMENT. CLAIMANT ALLEGES FA OMITTED MATERIAL FACTS CONCERNING THE INHERENT RISKS OF SUCH ACTION.
Product Type: Mutual Fund(s)
Alleged Damages: \$250,000.00

Customer Complaint Information

Date Complaint Received: 11/15/2004
Complaint Pending? No
Status: Arbitration/Reparation
Status Date: 11/15/2004

Settlement Amount:
Individual Contribution Amount:

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: NASD DISPUTE RESOLUTION CASE NO. 04-07724

Date Notice/Process Served: 11/15/2004
Arbitration Pending? No
Disposition: Settled
Disposition Date: 05/03/2006
Monetary Compensation Amount: \$70,000.00
Individual Contribution Amount: \$0.00

Broker Statement MERRILL LYNCH ULTIMATELY SETTLED THIS MATTER TO AVOID THE COSTS



AND VAGARIES OF ARBITRATION.

Disclosure 2 of 4

Reporting Source: Firm

Employing firm when activities occurred which led to the complaint: MERRILL LYNCH, PIERCE, FENNER & SMITH INC.

Allegations: CUSTOMERS ALLEGE UNSUITABLE INVESTMENTS.

Product Type: Equity Listed (Common & Preferred Stock)

Alleged Damages: \$222,719.92

Customer Complaint Information

Date Complaint Received: 03/30/2004

Complaint Pending? No

Status: Settled

Status Date: 09/10/2004

Settlement Amount: \$76,750.00

Individual Contribution Amount: \$0.00

Firm Statement AFTER RECEIVING ADDITIONAL INFORMATION, THE CUSTOMERS DETERMINED THAT THEY WOULD RELEASE ALL CLAIMS AGAINST MR. DUNN. THE CUSTOMERS HAVE STATED THAT THEY HAVE NO OBJECTION TO EXPUNGEMENT OF THIS MATTER FROM MR. DUNN'S RECORD. IT IS MERRILL LYNCH'S UNDERSTANDING THAT MR. DUNN INTENDS TO SEEK EXPUNGEMENT. MERRILL LYNCH ULTIMATELY SETTLED THIS MATTER TO AVOID THE COSTS AND VAGARIES OF A POTENTIAL ARBITRATION.

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: MERRILL LYNCH

Allegations: CUSTOMER ALLEGES UNSUITABLE INVESTMENTS

Product Type: Equity Listed (Common & Preferred Stock)

Alleged Damages: \$222,719.92

Customer Complaint Information

Date Complaint Received: 03/30/2004

Complaint Pending? No

Status: Settled

Status Date: 09/10/2004

Settlement Amount: \$76,750.00

Individual Contribution Amount: \$0.00

Broker Statement AFTER RECEIVING ADDITIONAL INFORMATION THE CUSTOMERS



DETERMINED THAT THEY WOULD RELEASE ALL CLAIMS AGAINST MR DUNN. THE CUSTOMERS HAVE STATED THAT THEY HAVE NO OBJECTION TO EXPUNGEMENT OF THIS MATTER FROM MR DUNN'S RECORD. IT IS MERRILL LYNCH'S UNDERSTANDING THAT MR DUNN INTENDS TO SEEK EXPUNGEMENT. ML ULTIMATLEY SETTLED THIS MATTER TO AVOID THE COST AND VAGARIES OF A POTENTIAL ARBITRATION.

Disclosure 3 of 4

Reporting Source: Firm
Employing firm when activities occurred which led to the complaint: MERRILL LYNCH, PIERCE, FENNER & SMITH INC.

Allegations: THE CLAIMANTS ALLEGE THE FA MADE UNSUITABLE RECOMMENDATIONS AND INVESTMENTS. THE CLAIMANTS ALSO ALLEGE THE FA MISREPRESENTED AND OMITTED MATERIAL INFORMATION ABOUT THE RISKS INVOLVED WITH RECOMMENDATIONS. THE CLAIMANTS ALLEGE THAT FA FAILED TO DIVERSIFY THEIR INVESTMENTS AND OVER CONCENTRATED THEIR ACCOUNT IN EQUITIES.

Product Type: Other
Other Product Type(s): EUIY-OTC
Alleged Damages: \$1,892,199.93

Customer Complaint Information

Date Complaint Received: 06/01/2004
Complaint Pending? No
Status: Arbitration/Reparation
Status Date: 06/01/2004
Settlement Amount:

Individual Contribution Amount:

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: NASD DISPUTE RESOLUTION CASE NO. 04-03663
Date Notice/Process Served: 06/01/2004
Arbitration Pending? No
Disposition: Settled
Disposition Date: 09/13/2005
Monetary Compensation Amount: \$120,000.00
Individual Contribution Amount: \$0.00

Firm Statement MERRILL LYNCH SETTLED THIS MATTER TO AVOID THE COST AND VAGARIES OF ARBITRATION.



Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: MERRILL LYNCH PIERCE

Allegations: THE CLAIMANTS ALLEGE THE FA MADE UNSUITABLE RECOMMENDATIONS AND INVESTMENTS. THE CLAIMANTS ALSO ALLEGE THE FA MISREPRESENTED AND OMITTED MATERIAL INFORMATION ABOUT THE RISKS INVOLVED WITH RECOMMENDATIONS. THE CLAIMANTS ALLEGE THAT FA FAILED TO DIVERSIFY THEIR INVESTMENTS AND OVER CONCENTRATED THEIR ACCOUNT IN EQUITIES.

Product Type: Other

Other Product Type(s): EQUITY OTC

Alleged Damages: \$1,892,199.93

Customer Complaint Information

Date Complaint Received: 06/01/2004

Complaint Pending? No

Status: Arbitration/Reparation

Status Date: 06/01/2004

Settlement Amount:

Individual Contribution Amount:

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: NASD DISPUTE RESOLUTION CASE NO 04-03663

Date Notice/Process Served: 06/01/2004

Arbitration Pending? No

Disposition: Settled

Disposition Date: 09/13/2005

Monetary Compensation Amount: \$120,000.00

Individual Contribution Amount: \$0.00

Broker Statement MERRILL LYNCH SETTLED THIS MATTER TO AVOID THE COST AND VAGARIES OF ARBITRATION.

Disclosure 4 of 4

Reporting Source: Firm

Employing firm when activities occurred which led to the complaint: MERRILL LYNCH, PIERCE, FENNER & SMITH INC.

Allegations: CUSTOMERS ALLEGE UNSUITABLE INVESTMENTS.

Product Type: Mutual Fund(s)



Alleged Damages: \$136,304.00

Customer Complaint Information

Date Complaint Received: 09/19/2002

Complaint Pending? No

Status: Arbitration/Reparation

Status Date: 03/28/2003

Settlement Amount: \$0.00

Individual Contribution Amount: \$0.00

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: NASD-DR CASE NO. 03-01936

Date Notice/Process Served: 03/28/2003

Arbitration Pending? No

Disposition: Settled

Disposition Date: 05/06/2004

Monetary Compensation Amount: \$75,000.00

Individual Contribution Amount: \$0.00

Firm Statement AFTER RECEIVING ADDITIONAL INFORMATION, THE CUSTOMERS DETERMINED THAT ALL CLAIMS AGAINST MR. DUNN SHOULD BE WITHDRAWN AND/OR DISMISSED WITH PREJUDICE. THE CUSTOMERS HAVE STATED THAT THEY HAVE NO OBJECTION TO EXPUNGEMENT OF THIS MATTER FROM MR. DUNN'S RECORD. IT IS MERRILL LYNCH'S UNDERSTANDING THAT MR. DUNN INTENDS TO SEEK EXPUNGEMENT. MERRILL LYNCH ULTIMATELY SETTLED THIS MATTER TO AVOID THE COSTS AND VAGARIES OF ARBITRATION.

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: MERRILL LYNC, PIERCE, FENNER & SMITH INC.

Allegations: CUSTOMERS ALLEGE UNSUITABLE INVESTMENTS.

Product Type: Mutual Fund(s)

Alleged Damages: \$136,304.00

Customer Complaint Information

Date Complaint Received: 09/19/2002

Complaint Pending? No

Status: Arbitration/Reparation

Status Date: 03/28/2003

Settlement Amount: \$0.00



Individual Contribution Amount: \$0.00

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: NASD-DR CASE NO. 03-01936

Date Notice/Process Served: 03/28/2003

Arbitration Pending? No

Disposition: Settled

Disposition Date: 05/06/2004

Monetary Compensation Amount: \$75,000.00

Individual Contribution Amount: \$0.00

Broker Statement

AFTER RECEIVING ADDITIONAL INFORMATION THE CUSTOMERS DETERMINED THAT ALL CLAIMS AGAINST MR. DUNN SHOULD BE WITHDRAWN AND/OR DISMISSED WITH PREJUDICE. THE CUSTOMERS HAVE STATED THAT THEY HAVE NO OBJECTION TO EXPUNGEMENT OF THIS MATTER FROM MR. DUNN'S RECORD. IT IS MERRILL LYNCH'S UNDERSTANDING THAT MR. DUNN INTENDS TO SEEK EXPUNGEMENT. MERRILL LYNCH ULTIMATELY SETTLED THIS MATTER TO AVOID THE COSTS AND VAGARIES OF ABRITRATION.



End of Report

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