

BrokerCheck Report

DOUGLAS WALTER CAMPBELL

CRD# 1157205

<u>Section Title</u>	<u>Page(s)</u>
Report Summary	1
Broker Qualifications	2 - 3
Registration and Employment History	5 - 7
Disclosure Events	8



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.

About BrokerCheck®



BrokerCheck offers information on all current, and many former, registered securities brokers, and all current and former registered securities firms. FINRA strongly encourages investors to use BrokerCheck to check the background of securities brokers and brokerage firms before deciding to conduct, or continue to conduct, business with them.

- **What is included in a BrokerCheck report?**

- BrokerCheck reports for individual brokers include information such as employment history, professional qualifications, disciplinary actions, criminal convictions, civil judgments and arbitration awards. BrokerCheck reports for brokerage firms include information on a firm's profile, history, and operations, as well as many of the same disclosure events mentioned above.
- Please note that the information contained in a BrokerCheck 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 broker or brokerage firm, or concluded through a negotiated settlement with no admission or finding of wrongdoing.

- **Where did this information come from?**

- The information contained in BrokerCheck comes from FINRA's Central Registration Depository, or CRD® and is a combination of:
 - o information FINRA and/or the Securities and Exchange Commission (SEC) require brokers and brokerage firms to submit as part of the registration and licensing process, and
 - o information that regulators report regarding disciplinary actions or allegations against firms or brokers.

- **How current is this information?**

- Generally, active brokerage firms and brokers are required to update their professional and disciplinary information in CRD within 30 days. Under most circumstances, information reported by brokerage firms, brokers and regulators is available in BrokerCheck the next business day.

- **What if I want to check the background of an investment adviser firm or investment adviser representative?**

- To check the background of an investment adviser firm or representative, you can search for the firm or individual in BrokerCheck. If your search is successful, click on the link provided to view the available licensing and registration information in the SEC's Investment Adviser Public Disclosure (IAPD) website at <https://www.adviserinfo.sec.gov>. In the alternative, you may search the IAPD website directly or contact your state securities regulator at <http://www.finra.org/Investors/ToolsCalculators/BrokerCheck/P455414>.

- **Are there other resources I can use to check the background of investment professionals?**

- FINRA recommends that you learn as much as possible about an investment professional before deciding to work with them. Your state securities regulator can help you research brokers and investment adviser representatives doing business in your state.

Thank you for using FINRA BrokerCheck.



Using this site/information means that you accept the FINRA BrokerCheck Terms and Conditions. A complete list of Terms and Conditions can be found at brokercheck.finra.org



For additional information about the contents of this report, please refer to the User Guidance or www.finra.org/brokercheck. It provides a glossary of terms and a list of frequently asked questions, as well as additional resources. For more information about FINRA, visit www.finra.org.

DOUGLAS W. CAMPBELL

CRD# 1157205

This broker is not currently registered.

Report Summary for this Broker



This report summary provides an overview of the broker's professional background and conduct. Additional information can be found in the detailed report.

Broker Qualifications

This broker is not currently registered.

This broker has passed:

- 1 Principal/Supervisory Exam
- 4 General Industry/Product Exams
- 2 State Securities Law Exams

Registration History

This broker was previously registered with the following securities firm(s):

- B** LPL FINANCIAL LLC
CRD# 6413
CENTENNIAL, CO
11/2017 - 09/2018
- B** LPL FINANCIAL LLC
CRD# 6413
CENTENNIAL, CO
07/2015 - 10/2017
- B** WELLS FARGO ADVISORS, LLC
CRD# 19616
GREENWOOD VILLAGE, CO
12/2010 - 07/2015

Disclosure Events

All individuals registered to sell securities or provide investment advice are required to disclose customer complaints and arbitrations, regulatory actions, employment terminations, bankruptcy filings, and criminal or civil judicial proceedings.

Are there events disclosed about this broker? **Yes**

The following types of disclosures have been reported:

Type	Count
Customer Dispute	2

Investment Adviser Representative Information

The information below represents the individual's record as a broker. For details on this individual's record as an investment adviser representative, visit the SEC's Investment Adviser Public Disclosure website at

<https://www.adviserinfo.sec.gov>

Broker Qualifications



Registrations

This section provides the self-regulatory organizations (SROs) and U.S. states/territories the broker is currently registered and licensed with, the category of each license, and the date on which it became effective. This section also provides, for every brokerage firm with which the broker is currently employed, the address of each branch where the broker works.

This broker is not currently registered.



Broker Qualifications

Industry Exams this Broker has Passed

This section includes all securities industry exams that the broker has passed. Under limited circumstances, a broker may attain a registration after receiving an exam waiver based on exams the broker has passed and/or qualifying work experience. Any exam waivers that the broker has received are not included below. A passed exam or exam waiver does not permit a broker to do business without an active SRO or state registration.

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
B General Securities Principal Examination	Series 24	06/17/1985

General Industry/Product Exams

Exam	Category	Date
B Securities Industry Essentials Examination	SIE	09/14/2018
B Direct Participation Programs Representative Examination	Series 22	11/07/1984
B General Securities Representative Examination	Series 7	10/20/1984
B Investment Company Products/Variable Contracts Representative Examination	Series 6	09/22/1983

State Securities Law Exams

Exam	Category	Date
IA Uniform Investment Adviser Law Examination	Series 65	03/06/2007
B Uniform Securities Agent State Law Examination	Series 63	11/13/1984

Additional information about the above exams or other exams FINRA administers to brokers and other securities professionals can be found at www.finra.org/brokerqualifications/registeredrep/.

Broker Qualifications



Professional Designations

This section details that the representative has reported **0** professional designation(s).

No information reported.



Registration and Employment History

Registration History

The broker previously was registered with the following firms:

Registration Dates	Firm Name	CRD#	Branch Location
B 11/2017 - 09/2018	LPL FINANCIAL LLC	6413	CENTENNIAL, CO
B 07/2015 - 10/2017	LPL FINANCIAL LLC	6413	CENTENNIAL, CO
B 12/2010 - 07/2015	WELLS FARGO ADVISORS, LLC	19616	GREENWOOD VILLAGE, CO
B 02/2009 - 12/2010	UBS FINANCIAL SERVICES INC.	8174	ORLANDO, FL
B 04/2007 - 03/2009	MORGAN STANLEY & CO. INCORPORATED	8209	ORLANDO, FL
B 03/2005 - 04/2007	WACHOVIA SECURITIES, LLC	19616	CHARLOTTE, NC
B 01/2003 - 08/2004	JACKSON NATIONAL LIFE DISTRIBUTORS, INC.	40178	FRANKLIN, TN
B 01/1999 - 01/2003	MULTI-FINANCIAL SECURITIES CORPORATION	10299	GREENWOOD VILLAGE, CO
B 09/1999 - 09/2002	ING AMERICA EQUITIES, INC.	36259	WEST CHESTER, PA
B 03/1994 - 12/1998	MUTUAL SERVICE CORPORATION	4806	BOSTON, MA
B 03/1990 - 02/1994	MONY SECURITIES CORP.	4386	NEW YORK, NY
B 03/1990 - 10/1990	THE MUTUAL LIFE INSURANCE COMPANY OF NEW YORK	2873	NEW YORK, NY
B 03/1988 - 12/1989	MANEQUITY, INC.	5249	BOSTON, MA
B 07/1987 - 02/1988	TRANSAM SECURITIES, INC.	18923	
B 04/1986 - 09/1986	POE SECURITIES, INC.	16391	
B 11/1985 - 04/1986	FIRST PARK EQUITIES, INC.	5269	
B 10/1985 - 11/1985	GLOBAL INVESTOR SECURITIES, INC.	7514	
B 01/1985 - 11/1985	CAPITAL ANALYSTS, INCORPORATED	5478	
B 09/1984 - 01/1985	CFS SECURITIES CORP.	10815	
B 09/1983 - 08/1984	METROPOLITAN LIFE INSURANCE COMPANY	4095	



Registration and Employment History

Employment History

This section provides up to 10 years of an individual broker's employment history as reported by the individual broker on the most recently filed Form U4.

Please note that the broker is required to provide this information only while registered with FINRA or a national securities exchange and the information is not updated via Form U4 after the broker ceases to be registered. Therefore, an employment end date of "Present" may not reflect the broker's current employment status.

Employment	Employer Name	Position	Investment Related	Employer Location
03/2020 - Present	Alpha Capital Family Office	Investment Adviser Representative	Y	Greenwood Village, CO, United States
05/2016 - 03/2020	Alpha Capital Management Group LLC	Investment Adviser Representative	Y	Centennial, CO, United States
11/2017 - 09/2018	LPL FINANCIAL, LLC	REGISTERED REPRESENTATIVE	Y	CENTENNIAL, CO, United States
07/2015 - 10/2017	LPL FINANCIAL LLC	REGISTERED REPRESENTATIVE	Y	CENTENNIAL, CO, United States
07/2015 - 07/2016	GALLACHER CAPITAL MANAGEMENT, LLC	Investment Adviser Representative	Y	LONE TREE, CO, United States

Other Business Activities

This section includes information, if any, as provided by the broker regarding other business activities the broker 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.

1. 11/30/2017 - CHAMPIONS RETREAT LLC, MEMBER- REAL ESTATE RENTAL/ REAL ESTATE RENTAL/ 1%/ GREENWOOD VILLAGE, CO
2. 11/30/2017 - DIGC INVESTMENTS, MEMBER- LLC/ REAL ESTATE RENTAL/ 1%/ GREENWOOD VILLAGE, CO
3. 11/30/2017 - DD CAPITAL, MANAGING MEMBER, LLC/ BUSINESS ENTITY FOR TAX, INVESTMENT PURPOSES ONLY/ 1%/ GREENWOOD VILLAGE, CO.
4. ALPHA CAPITAL WEALTH PLANNING, LLC, OWNER- DORMANT ENTITY
5. Ulster Circle Partners- Member, serves as the ownership entity of real estate where ACFO is located.
6. BOARD MEMBER. POSITIVITEE/ NO CHECK WRITING AUTHORITY/ NOT INVESTMENT RELATED 1%/ GREENWOOD VILLAGE, CO.
7. BOARD MEMBER & TRUSTEE/ GREATER COLORADO COUNCIL, BOY SCOUTS OF AMERICA/ NOT CURRENT CLIENT OF ACFO / 1%/ GREENWOOD VILLAGE, CO.

Registration and Employment History



Other Business Activities, continued

8. BOARD OF GOVERNORS MEMBER/ EISENHOWER HEALTH FOUNDATION/ NO CHECK WRITING AUTHORITY/ NOT INVESTMENT RELATED/ 1% / GREENWOOD VILLAGE, CO.

Disclosure Events



What you should know about reported disclosure events:

1. All individuals registered to sell securities or provide investment advice are required to disclose customer complaints and arbitrations, regulatory actions, employment terminations, bankruptcy filings, and criminal or civil judicial proceedings.
2. **Certain thresholds must be met before an event is reported to CRD, for example:**
 - o A law enforcement agency must file formal charges before a broker is required to disclose a particular criminal event.
 - o A customer dispute must involve allegations that a broker engaged in activity that violates certain rules or conduct governing the industry and that the activity resulted in damages of at least \$5,000.
 - o
3. **Disclosure events in BrokerCheck reports come from different sources:**
 - o As mentioned at the beginning of this report, information contained in BrokerCheck comes from brokers, brokerage 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 BrokerCheck report. The different versions will be separated by a solid line with the reporting source labeled.
 - o
4. **There are different statuses and dispositions for disclosure events:**
 - o A disclosure event may have a status of *pending*, *on appeal*, or *final*.
 - A "pending" event involves allegations that have not been proven or formally adjudicated.
 - An event that is "on appeal" involves allegations that have been adjudicated but are currently being appealed.
 - A "final" event has been concluded and its resolution is not subject to change.
 - o A final 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 involves an agreement by the parties to resolve the matter. Please note that brokers and brokerage firms may choose to settle customer disputes or regulatory matters for business or other reasons.
 - A "resolved" matter usually involves no payment to the customer and no finding of wrongdoing on the part of the individual broker. Such matters generally involve customer disputes.

For your convenience, below is a matrix of the number and status of disclosure events involving this broker. Further information regarding these events can be found in the subsequent pages of this report. You also may wish to contact the broker to obtain further information regarding these events.

	Pending	Final	On Appeal
Customer Dispute	0	2	N/A



Disclosure Event Details

When evaluating this information, please keep in mind that a disclosure event may be pending or involve allegations that are contested and have not been resolved or proven. The matter may, in the end, be withdrawn, dismissed, resolved in favor of the broker, or concluded through a negotiated settlement for certain business reasons (e.g., to maintain customer relationships or to limit the litigation costs associated with disputing the allegations) with no admission or finding of wrongdoing.

This report provides the information exactly as it was reported to CRD and therefore some of the specific data fields contained in the report may be blank if the information was not provided to CRD.

Customer Dispute - Settled

This type of disclosure event involves a consumer-initiated, investment-related complaint, arbitration proceeding or civil suit containing allegations of sale practice violations against the broker that resulted in a monetary settlement to the customer.

Disclosure 1 of 2

Reporting Source:	Broker
Employing firm when activities occurred which led to the complaint:	ALPHA CAPITAL FAMILY OFFICE, LLC
Allegations:	Client alleges investment adviser representative was negligent and breached his fiduciary duty in 2019-2020 after purchasing a position that subsequently declined in value.
Product Type:	Equity Listed (Common & Preferred Stock)
Alleged Damages:	\$250,000.00
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:	06/03/2025
Complaint Pending?	No
Status:	Settled
Status Date:	07/27/2025
Settlement Amount:	\$105,000.00
Individual Contribution	\$105,000.00

**Amount:****Broker Statement**

Allegations are denied and the matter was settled to avoid litigation cost and expenses.

Disclosure 2 of 2**Reporting Source:**

Broker

Employing firm when activities occurred which led to the complaint:

Alpha Capital Management Group & Alpha Capital Family Office LLC

Allegations:

Alleged excessive, inappropriate, unsuitable investments and outside the reasonable scope of appropriate diversification

Product Type:

No Product

Alleged Damages:

\$360,000.00

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:**

06/08/2021

Complaint Pending?

No

Status:

Settled

Status Date:

08/31/2023

Settlement Amount:

\$150,000.00

Individual Contribution Amount:

\$0.00

Civil Litigation Information**Type of Court:**

State Court

Name of Court:

District Court for the Fourth Judicial District of Idaho

Location of Court:

County of Ada

Docket/Case #:

No CV01-21-18425

Date Notice/Process Served:

08/31/2023



Litigation Pending? No

Disposition: Settled

Disposition Date: 08/31/2023

Monetary Compensation Amount: \$150,000.00

Individual Contribution Amount: \$0.00

Broker Statement

After reviewing Claimant's account statements, the Firm found that the investments at issue were consistent with the Advisory Agreement and Claimant's investment objectives. Also, that the alleged losses on four investments were solely the result of the market conditions arising out of the Covid pandemic. Had Claimant not sold the investments when he did, the investments would have recovered. The Firm denied Claimant's claims as stated in a letter to Claimant dated July 31, 2021.

Case described above was brought to District Court for the Fourth Judicial District of Idaho and then in August 2023 was settled by arbitration instead of through the Court. The Insurance Company and Plaintiff reached a settlement agreement. A release was executed by all parties on August 31 2023.

End of Report



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