

BrokerCheck Report

DEAN STEVEN GREENBERG

CRD# 1186469

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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.

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:
 - 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
 - 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.

DEAN S. GREENBERG

CRD# 1186469

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:

- 3 Principal/Supervisory Exams
- 3 General Industry/Product Exams
- 2 State Securities Law Exams

Registration History

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

- B GREENBERG FINANCIAL GROUP**
CRD# 38747
TUCSON, AZ
07/1997 - 01/2025
- B BIRCHTREE FINANCIAL SERVICES, INC.**
CRD# 15014
MINNEAPOLIS, MN
02/1990 - 10/1997
- B JOHN HANCOCK MUTUAL LIFE INSURANCE COMPANY**
CRD# 5181
BOSTON, MA
12/1991 - 12/1992

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	4

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 3 principal/supervisory exams, 3 general industry/product exams, and 2 state securities law exams.

Principal/Supervisory Exams

Exam	Category	Date
B Registered Options Principal Examination	Series 4	10/11/1995
B Municipal Securities Principal Examination	Series 53	07/28/1995
B General Securities Principal Examination	Series 24	08/31/1994

General Industry/Product Exams

Exam	Category	Date
B Municipal Securities Representative Examination	Series 52TO	01/02/2023
B Securities Industry Essentials Examination	SIE	10/01/2018
B General Securities Representative Examination	Series 7	10/15/1983

State Securities Law Exams

Exam	Category	Date
IA Uniform Investment Adviser Law Examination	Series 65	10/11/2023
B Uniform Securities Agent State Law Examination	Series 63	10/17/1984

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 07/1997 - 01/2025	GREENBERG FINANCIAL GROUP	38747	TUCSON, AZ
B 02/1990 - 10/1997	BIRCHTREE FINANCIAL SERVICES, INC.	15014	MINNEAPOLIS, MN
B 12/1991 - 12/1992	JOHN HANCOCK MUTUAL LIFE INSURANCE COMPANY	5181	BOSTON, MA
B 12/1987 - 03/1990	BOUCHER, OEHMKE & COMPANY	17470	
B 10/1984 - 10/1987	J.C. BRADFORD & CO.	1287	
B 10/1983 - 10/1984	BLACKSTOCK & CO., INC.	8469	

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
02/2001 - Present	Greenberg Financial Group	President, Registered Principal	Y	Tucson, AZ, 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.

CAMPBELL FINANCIAL PLAZA LLC- I AM 50% OWNER OF THE OFFICE BUILDING, GREENBERG FINANCIAL IS ONE ON THE TENANTS IN THIS BUILDING.

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:**
 - A law enforcement agency must file formal charges before a broker is required to disclose a particular criminal event.
 - 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.
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3. **Disclosure events in BrokerCheck reports come from different sources:**
 - 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.
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4. **There are different statuses and dispositions for disclosure events:**
 - 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.
 - 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	4	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 3

Reporting Source: Broker

Employing firm when activities occurred which led to the complaint: GREENBERG FINANCIAL GROUP, INC.

Allegations: [CUSTOMER] AND [CUSTOMER], THROUGH COUNSEL, WROTE A LETTER TO MR. GREENBERG ALLEGING THAT BEGINNING IN 1997, MR. GREENBERG SOLICITED UNSUITABLE SECURITIES, EXERCISED DISCRETION WITHOUT THE CLIENTS' CONCENT, BREACHED HIS FIDUCIARY DUTY, AND MISREPRESENTED HOW THE ACCOUNTS WOULD BE HANDLED.

Product Type: Equity Listed (Common & Preferred Stock)

Other Product Type(s): OPTIONS

Alleged Damages: \$143,287.00

Customer Complaint Information

Date Complaint Received: 10/24/2002

Complaint Pending? No

Status: Settled

Status Date: 05/14/2003

Settlement Amount: \$24,000.00

Individual Contribution Amount: \$0.00

**Broker Statement**

THE FIRM AND MR. GREENBERG BELIEVED THE COMPLAINT TO BE WITHOUT MERIT AND HAD MERITORIOUS DEFENSES. TO AVOID THE UNCERTAINTY AND EXPENSE OF LITIGATION, THE FIRM AND MR. GREENBERG, WITHOUT ADMITTING TO ANY ALLIGATIONS OR LIABILITY, ENTERED INTO A SETTLEMENT AGREEMENT WITH [CUSTOMER'S], COMPLETELY AND PERMANENTLY RESOLVING ALL DISPUTES BETWEEN PARTIES.

Disclosure 2 of 3

Reporting Source: Broker

Employing firm when activities occurred which led to the complaint: GREENBERG FINANCIAL GROUP, INC

Allegations: [CUSTOMER] AND [CUSTOMER], THROUGH COUNSEL, WROTE A LETTER TO MR. GREENBERG ALLEGING THAT BEGINNING IN 1997, MR. GREENBERG SOLICITED UNSUITABLE SECURITIES, EXERCISED DISCRETION WITHOUT THE CLIENTS' CONSENT, BREACHED HIS FIDUCIARY DUTY, AND MISREPRESENTED HOW THE ACCOUNTS WOULD BE HANDLED.

Product Type: Equity Listed (Common & Preferred Stock)

Other Product Type(s): OPTIONS AND MUTUAL FUNDS

Alleged Damages: \$91,500.00

Customer Complaint Information

Date Complaint Received: 10/24/2002

Complaint Pending? No

Status: Settled

Status Date: 05/13/2003

Settlement Amount: \$35,000.00

Individual Contribution Amount: \$0.00

Broker Statement

THE FIRM AN MR. GREENBERG BELEIVED THE COMPLAINT TO BE WITHOUT MERIT AND HAD MERITORIOUS DEFENSES. TO AVOID THE UNCERTAINTY AND EXPENSE OF LITIGATION, THE FIRM AND MR. GREENBERG, WITHOUT ADMITTING TO ANY ALLEGATIONS OR LIABILITY, ENTERED INTO A SETTLEMENT AGREEMENT WITH [CUSTOMER'S], COMPLETELY AND PERMANENTLY RESOLVING ALL DISPUTES BETWEEN THE PARTIES.



Disclosure 3 of 3

Reporting Source: Firm

Employing firm when activities occurred which led to the complaint: J.C. BRADFORD & CO.

Allegations:

Product Type:

Alleged Damages: \$51,500.00

Customer Complaint Information

Date Complaint Received: 11/06/1987

Complaint Pending? No

Status: Settled

Status Date: 09/01/1989

Settlement Amount: \$31,000.00

Individual Contribution Amount: \$0.00

Firm Statement

THE FOLLOWING INFORMATION REGARDING A CUSTOMER COMPLAINT BY [CUSTOMER]: "SUBSEQUENT TO THE TERMINATION OF DEAN STEVEN GREENBERG AS A REGISTERED REPRESENTATIVE WITH J.C. BRADFORD & CO., THE FOLLOWING EVENTS OCCURRED. ON FRIDAY, NOVEMBER 6, 1987, THE MANAGER OF THE ATLANTA OFFICE, WHERE MR. GREENBERG WAS EMPLOYED, RECEIVED A VERBAL COMPLAINT FROM A CUSTOMER OF MR. GREENBERG. THE COMPLAINT ALLEGED THAT ON 9/16/87, MR. GREENBERG PURCHASED FOR HER ACCOUNT ON MARGIN 2,000 SHARES OF ADVANCED TELECOMMUNICATION CORP. (ATEL) AT \$27.50 FOR A TOTAL COST OF \$51,500 WITHOUT HER AUTHORITY TO BUY ANY SECURITY ON MARGIN. SHE CONFIRMED THE COMPLAINT BY LETTER DATED NOVEMBER 10, 1987 AND DEMANDED THAT J.C. BRADFORD & CO. REINSTATE THE PURCHASE PRICE OF \$51,500 AND REMOVE THE ATEL FROM HER ACCOUNT. OUR INVESTIGATION DISCLOSED THAT NO MARGIN AGREEMENT HAD BEEN SIGNED BY THE CUSTOMER. A STATEMENT



OBTAINED
FROM MR. GREENBERG INDICATED THAT ALTHOUGH EXECUTION OF A
MARGIN
AGREEMENT HAD BEEN DISCUSSED WITH THE CUSTOMER, NO
AGREEMENT WAS
SIGNED. MR. GREENBERG'S STATEMENT, WHICH IS UNSIGNED, ALSO
INDICATED THE EXERCISE OF DISCRETION IN THE ACCOUNT WITHOUT
WRITTEN AUTHORITY. A COPY OF MR. GREENBERG'S STATEMENT IS
ATTACHED. J.C. BRADFORD & CO. SETTLED THE COMPLAINT BY
DEPOSITING \$51,500 IN THE CUSTOMER'S ACCOUNT AND REMOVING THE
2,000 SHARES OF ATEL WHICH WERE SOLD AT 10 1/4 FOR A TOTAL OF
\$20,500 OR A TOTAL SETTLEMENT COST OF \$31,000. NO PART OF THE
SETTLEMENT HAS BEEN PAID BY MR. GREENBERG." THE REFERENCED
COPY
OF AN UNSIGNED STATEMENT BY GREENBERG (BEGINNING "THE INTENT
OF
THIS LETTER IS TO EXPLAIN THE RELATIONSHIP BETWEEN [CUSTOMER]
(CLIENT) AND MYSELF (DEAN GREENBERG)") WAS RECEIVED.

Reporting Source:

Broker

**Employing firm when
activities occurred which led
to the complaint:**

J.C. BRADFORD & CO.

Allegations:

ALLEGATION-[CUSTOMER] CLAIMED THAT SHE
NEVER SIGNED A MARGIN AGREEMENT. SHE SUED J.C. BRADFORD FOR
\$30,000.00 J.C. BRADFORD COULD NOT PRODUCE THE SIGNED MARGIN
AGREEMENT AND THUS PAID HER \$30,000.00. J.C. BRADFORD IN TURN
FILED A COMPLAINT AGAINST ME, DEAN GREENBERG IN ORDER TO
RECOUP
THE SETTLEMENT WITH [CUSTOMER].

Product Type:**Alleged Damages:**

\$51,500.00

Customer Complaint Information**Date Complaint Received:**

11/06/1987

Complaint Pending?

No

Status:

Settled

Status Date:

09/01/1989

Settlement Amount:

\$31,000.00

**Individual Contribution
Amount:**

\$0.00

Broker Statement

THE RESULT WAS A LETTER OF CAUTION FROM THE
NASD. J.C. BRADFORD SETTLED WITH DEAN GREENBERG FOR ZERO
DOLLARS.

[CUSTOMER] FILED A COMPLAINT AGAINST J.C. BRADFORD, NOT DEAN
GREENBERG. HER ALLEGATION WAS THAT SHE NEVER SIGNED A MARGIN
AGREEMENT. I WAS NO LONGER AN EMPLOYEE OF J.C. BRADFORD. I
KNOW

SHE SIGNED A MARGIN AGREEMENT BECAUSE I FORWARDED IT TO THE
MARGIN DEPARTMENT. J.C. BRADFORD COULD NOT PRODUCE THE
DOCUMENT

AND SETTLED WITH [CUSTOMER] FOR \$30,000.00. J.C. BRADFORD
THEN ATTEMPTED TO FILE A CLAIM AGAINST ME FOR \$30,000.00.



Customer Dispute - Closed-No Action / Withdrawn / Dismissed / Denied

This type of disclosure event involves (1) a consumer-initiated, investment-related arbitration or civil suit containing allegations of sales practice violations against the individual broker that was dismissed, withdrawn, or denied; or (2) a consumer-initiated, investment-related written complaint containing allegations that the broker engaged in sales practice violations resulting in compensatory damages of at least \$5,000, forgery, theft, or misappropriation, or conversion of funds or securities, which was closed without action, withdrawn, or denied.

Disclosure 1 of 1

Reporting Source:	Broker
Employing firm when activities occurred which led to the complaint:	Greenberg Financial Group
Allegations:	Client alleges that his account was not managed properly from 2005 to present since it didn't increase from 1 million to 2 million.
Product Type:	No Product
Alleged Damages:	\$200,000.00
Alleged Damages Amount Explanation (if amount not exact):	Client alleges that his account experienced a 10% loss in principal and paid management fees.
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:	02/13/2017
Complaint Pending?	No
Status:	Closed/No Action
Status Date:	02/13/2019
Settlement Amount:	
Individual Contribution Amount:	
Broker Statement	The Firm and Mr. Greenberg believe they have meritorious defenses to the allegations and intends to defend themselves vigorously in the event an action is brought.

End of Report



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