

BrokerCheck Report

DOMINGOS ALEXANDER NOYA

CRD# 1398190

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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.

**DOMINGOS A. NOYA**

CRD# 1398190

Currently employed by and registered with the following Firm(s):

IA CAPITAL ANALYSTS

640 Johnson Ave.
Ste. 102
Bohemia, NY 11716
CRD# 162200
Registered with this firm since: 08/02/2021

IA LINCOLN INVESTMENT

640 Johnson Ave.
Ste. 102 and 204
Bohemia, NY 11716
CRD# 519
Registered with this firm since: 03/25/2021

B LINCOLN INVESTMENT

640 Johnson Ave.
Ste. 102 and 204
Bohemia, NY 11716
CRD# 519
Registered with this firm since: 08/02/2010

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 registered with:

- 1 Self-Regulatory Organization
- 17 U.S. states and territories

This broker has passed:

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

Registration History

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

B GREAT AMERICAN ADVISORS, INC.

CRD# 36451
EAST ISLIP, NY
02/2005 - 08/2010

B PMG SECURITIES CORPORATION

CRD# 27107
ELGIN, IL
09/1992 - 02/2005

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
Regulatory Event	1



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 individual is currently registered with 1 SRO and is licensed in 17 U.S. states and territories through his or her employer.

Employment 1 of 2

Firm Name: **CAPITAL ANALYSTS**
 Main Office Address: **601 OFFICE CENTER DRIVE
 SUITE 300
 FORT WASHINGTON, PA 19034-3232**
 Firm CRD#: **162200**

	U.S. State/ Territory	Category	Status	Date
IA	Florida	Investment Adviser Representative	Approved	09/27/2023
IA	New York	Investment Adviser Representative	Approved	08/02/2021

Branch Office Locations

640 Johnson Ave.
 Ste. 102
 Bohemia, NY 11716

Employment 2 of 2

Firm Name: **LINCOLN INVESTMENT**
 Main Office Address: **601 OFFICE CENTER DRIVE
 SUITE 300
 FORT WASHINGTON, PA 19034**
 Firm CRD#: **519**

	SRO	Category	Status	Date
B	FINRA	Invest. Co and Variable Contracts	Approved	08/02/2010
B	FINRA	Investment Co./Variable Contracts Prin	Approved	01/22/2015

Broker Qualifications



Employment 2 of 2, continued

	U.S. State/ Territory	Category	Status	Date
B	California	Agent	Approved	08/22/2011
B	Connecticut	Agent	Approved	08/02/2010
B	Delaware	Agent	Approved	01/30/2019
B	Florida	Agent	Approved	08/04/2010
IA	Florida	Investment Adviser Representative	Approved	09/06/2023
B	Georgia	Agent	Approved	12/11/2025
B	Maryland	Agent	Approved	01/07/2019
B	Massachusetts	Agent	Approved	04/01/2011
B	New Jersey	Agent	Approved	11/27/2012
B	New Mexico	Agent	Approved	08/02/2010
B	New York	Agent	Approved	08/02/2010
IA	New York	Investment Adviser Representative	Approved	03/25/2021
B	North Carolina	Agent	Approved	08/02/2010
B	Pennsylvania	Agent	Approved	08/02/2010
B	South Carolina	Agent	Approved	08/02/2010
B	Tennessee	Agent	Approved	11/27/2012
B	Texas	Agent	Approved	01/05/2021
B	Virginia	Agent	Approved	08/15/2011
B	Wyoming	Agent	Approved	01/04/2012

Branch Office Locations

Broker Qualifications



Employment 2 of 2, continued

LINCOLN INVESTMENT

Jupiter, FL

LINCOLN INVESTMENT

640 Johnson Ave.

Ste. 102 and 204

Bohemia, NY 11716



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

Principal/Supervisory Exams

Exam	Category	Date
B Investment Company Products/Variable Contracts Principal Examination	Series 26	01/22/2015

General Industry/Product Exams

Exam	Category	Date
B Securities Industry Essentials Examination	SIE	10/01/2018
B Investment Company Products/Variable Contracts Representative Examination	Series 6	09/30/1999

State Securities Law Exams

Exam	Category	Date
IA Uniform Investment Adviser Law Examination	Series 65	09/03/2023
B Uniform Securities Agent State Law Examination	Series 63	12/24/1992

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 02/2005 - 08/2010	GREAT AMERICAN ADVISORS, INC.	36451	EAST ISLIP, NY
B 09/1992 - 02/2005	PMG SECURITIES CORPORATION	27107	ELGIN, IL

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
08/2010 - Present	LINCOLN INVESTMENT	Mass Transfer	Y	EAST ISLIP, NY, United States
02/2005 - Present	GREAT AMERICAN ADVISORS, INC.	Mass Transfer	Y	CINCINNATI, OH, United States
01/1985 - Present	CONNECTICUT MUTUAL LIFE INS COMPANY	AGENT - Agent	N	WOODBURY, CT, United States
11/1981 - Present	EMPLOYEE BENEFIT PLANNERS	OTHER - VICE PRES, SALES	N	E ISLIP, NY, 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.

MANHATTAN LIFE

POSITION: Independent Contrator NATURE: Fixed Annuities INVESTMENT RELATED: Yes NUMBER OF HOURS: 5 SECURITIES TRADING HOURS: 3 START DATE: 06/01/2016
ADDRESS: 929 W. Sprague Avenue, Spokane WA 99210, United States
DESCRIPTION: Selling Fixed Annuities

LIFE AND HEALTH ASSOCIATES

POSITION: Independent contractor NATURE: Life Insurance INVESTMENT RELATED: Yes NUMBER OF HOURS: 2 SECURITIES TRADING

Registration and Employment History



Other Business Activities, continued

HOURS: 1 START DATE: 01/01/2001

ADDRESS: 31 Parsonage Way, Manalapan NJ 07726, United States

DESCRIPTION: Meeting with clients to complete the proper data gathering to see what the appropriate insurance solution is

NEST EGG BUILDERS

POSITION: Independent Contractor Sales NATURE: Life/fixed annuity INVESTMENT RELATED: Yes NUMBER OF HOURS: 10 SECURITIES

TRADING HOURS: 5 START DATE: 01/01/2000

ADDRESS: Route 22 Hopewell Junction N.Y., Hopewell Junction, New York NY 12533, United States

DESCRIPTION: Through normal client contact, phone calls general discussion

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
Regulatory Event	0	1	0



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.

Regulatory - Final

This type of disclosure event may involve (1) a final, formal proceeding initiated by a regulatory authority (e.g., a state securities agency, self-regulatory organization, federal regulatory such as the Securities and Exchange Commission, foreign financial regulatory body) for a violation of investment-related rules or regulations; or (2) a revocation or suspension of a broker's authority to act as an attorney, accountant, or federal contractor.

Disclosure 1 of 1

Reporting Source:	Regulator
Regulatory Action Initiated By:	NATIONAL ASSOCIATION OF SECURITIES DEALERS, INC.
Sanction(s) Sought:	
Other Sanction(s) Sought:	
Date Initiated:	07/15/1999
Docket/Case Number:	C10990105
Employing firm when activity occurred which led to the regulatory action:	
Product Type:	Other
Other Product Type(s):	
Allegations:	LTR: 07/23/99, TO BD# 27107, CODES: B,O,P,Q,T 07/21/99GK: ON JULY 15, 1999, DISTRICT NO. 10 NOTIFIED RESPONDENT DOMINGOS A. NOYA THAT THE LETTER OF AWC NO. C10990105 WAS ACCEPTED; THEREFORE, HE IS CENSURED, FINED \$2,500, SUSPENDED FROM ASSOCIATION WITH ANY NASD MEMBER IN ANY CAPACITY FOR TEN BUSINESS DAYS, AND ORDERED TO REQUALIFY BY EXAMINATION AS A SERIES 6 INVESTMENT REPRESENTATIVE WITHIN 90 DAYS FROM THE DATE THIS AWC IS ISSUED. IF RESPONDENT FAILS TO



REQUALIFY WITHIN THIS MANDATED PERIOD, HE WILL BE SUSPENDED FROM ASSOCIATION WITH ANY NASD MEMBER IN THAT CAPACITY UNTIL SUCH EXAMINATION IS SUCCESSFULLY COMPLETED - (NASD RULES 2110 AND 2330 - RESPONDENT NOYA MADE GUARANTEES TO A PUBLIC CUSTOMER IN THE CUSTOMER'S VARIABLE ANNUITY ACCOUNT, OFFERING TO PAY A MAXIMUM LIABILITY OF \$1,841 TO THE CUSTOMER IF LOSSES WERE NOT RECOVERED).

Current Status: Final

Resolution: Acceptance, Waiver & Consent(AWC)

Resolution Date: 07/15/1999

Sanctions Ordered: Censure
Monetary/Fine \$2,500.00
Suspension

Other Sanctions Ordered:

Sanction Details: SUSPENDED FOR 10 BUSINESS DAYS
REQUALIFICATION AS SERIES 6

Regulator Statement 12-07-99, THE SUSPENSION WILL COMMENCE WITH THE OPENING OF BUSINESS ON SEPTEMBER 20, 1999 AND CONCLUDE AT THE CLOSE OF BUSINESS ON OCTOBER 1, 1999.

02-01-00, \$2,500 PAID ON 8/16/99, INVOICE #99-10-652

Reporting Source: Broker

Regulatory Action Initiated By: NASD

Sanction(s) Sought: Censure

Other Sanction(s) Sought: \$2,500 FINE; SUSPENSION FOR TEN DAYS, REQUALIFY BY EXAMINATION WITHIN 90 DAYS FROM THE DATE OF AWC (JULY 15, 1999)

Date Initiated: 11/30/1998

Docket/Case Number: C10990105

Employing firm when activity occurred which led to the regulatory action: PMG SECURITIES CORP.

Product Type: Annuity(ies) - Variable


Other Product Type(s):

Allegations: THE NASD ALLEGED THAT I WROTE TO A CLIENT AGREEING TO REIMBURSE HIM FOR LOSSES ON A VARIABLE ANNUITY.

Current Status: Final

Resolution: Acceptance, Waiver & Consent(AWC)

Resolution Date: 07/15/1999

Sanctions Ordered: Censure
Monetary/Fine \$2,500.00
Suspension

Other Sanctions Ordered: REQUALIFY BY EXAMINATION

Sanction Details: ON JULY 15, 1999 I WAS NOTIFIED THAT THE NASD ACCEPTED MY LETTER OF ACCEPTANCE WAIVER AND CONSENT. PURSUANT TO THE TERMS OF THIS AWC, I ACCEPTED WITHOUT ADMITTING OR DENYING THE ALLEGED VIOLATIONS, A CENSURE, A \$2500.00 FINE, A 10 DAY SUSPENSION AND REQUALIFICATION FOR THE SERIES 6 EXAM.

Broker Statement I ENTERED INTO THIS AWC TO RESOLVE THIS MATTER WITHOUT THE COSTS AND EXPENSES OF LITIGATION. THE LETTER WAS WRITTEN TO CALM THE CLIENTS' FEARS. NO PAYMENT AND/OR TRANSACTION RESULTED FROM THE LETTER.

End of Report



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