

BrokerCheck Report

DANIEL TODD LEVINE

CRD# 2874319

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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.



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.](http://www.finra.org)

Thank you for using FINRA BrokerCheck.

DANIEL T. LEVINE

CRD# 2874319

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:

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

Registration History

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

FIRST FINANCIAL EQUITY CORPORATION

CRD# 16507
GREENWOOD VILLAGE, CO
07/2018 - 08/2018

MORGAN STANLEY

CRD# 149777
GREENWOOD VILLAGE, CO
06/2013 - 08/2018

UBS FINANCIAL SERVICES INC.

CRD# 8174
LITTLETON, CO
02/2008 - 06/2013

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	2
Customer Dispute	1
Termination	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.

This individual has passed 0 principal/supervisory exams, 2 general industry/product exams, and 2 state securities law exams.

Principal/Supervisory Exams

Exam	Category	Date
No information reported.		

General Industry/Product Exams

Exam	Category	Date
Securities Industry Essentials Examination	SIE	08/07/2018
General Securities Representative Examination	Series 7	05/19/1997

State Securities Law Exams

Exam	Category	Date
Uniform Investment Adviser Law Examination	Series 65	05/27/1997
Uniform Securities Agent State Law Examination	Series 63	05/21/1997

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/.



Registration and Employment History

Registration History

The broker previously was registered with the following firms:

Registration Dates	Firm Name	CRD#	Branch Location
07/2018 - 08/2018	FIRST FINANCIAL EQUITY CORPORATION	16507	GREENWOOD VILLAGE, CO
06/2013 - 08/2018	MORGAN STANLEY	149777	GREENWOOD VILLAGE, CO
02/2008 - 06/2013	UBS FINANCIAL SERVICES INC.	8174	LITTLETON, CO
12/2002 - 02/2008	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	7691	ENGLEWOOD, CO
05/1997 - 12/2002	PRUDENTIAL SECURITIES INCORPORATED	7471	NEW YORK, NY

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 Dates	Employer Name	Employer Location
01/2015 - Present	MORGAN STANLEY PRIVATE BANK, NATIONAL ASSOCIAT	NEW YORK, NY
06/2013 - Present	MORGAN STANLEY	GREENWOOD VILLAGE, CO
02/2008 - 06/2013	UBS FINANCIAL SERVICES INC.	LITTLETON, CA

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.

No information reported.



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
Regulatory Event	0	2	0



Customer Dispute	0	1	N/A
Termination	N/A	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.

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 2

Reporting Source:	Regulator
Regulatory Action Initiated By:	Colorado Division of Securities
Sanction(s) Sought:	Bar
Date Initiated:	03/05/2019
Docket/Case Number:	2019-CDS-003
URL for Regulatory Action:	
Employing firm when activity occurred which led to the regulatory action:	Morgan Stanley Smith Barney, LLC CRD No. 149777
Product Type:	Other: Discounted Bitcoin
Allegations:	The Colorado Division of Securities alleged that Daniel T. Levine participated in an investment scheme that offered significant returns to investors through an over-the-counter sale of discounted bitcoin effectuated by Levine's brother and an alleged large bitcoin holder in Europe. The bitcoin opportunity was offered to brokerage clients, investment advisory clients, and others. Levine failed to disclose to investors that his brother had a criminal history and had been living outside of the United States, as a fugitive, since at least 2005. Levine did not admit or deny any of the allegations contained in the Stipulation or Consent Order.



Current Status:	Final
Resolution:	Stipulation and Consent Order
Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct?	No
Resolution Date:	03/05/2019
Sanctions Ordered:	Bar (Permanent) Other: Levine is permanently barred and will never reapply for a securities license in Colorado or otherwise make recommendations, render advice to clients regarding securities, manage securities accounts, effect purchases or sales of securities, act for a securities issuer, or enter into or offer to enter into commodities contracts.
Sanction 1 of 1	
Sanction Type:	Bar (Permanent)
Capacities Affected:	All
Duration:	Permanent
Start Date:	03/05/2019
End Date:	
Regulator Statement	The Colorado Division of Securities alleged that Daniel T. Levine participated in an investment scheme that offered significant returns to investors through an over-the-counter sale of discounted bitcoin effectuated by Levine's brother and an alleged large bitcoin holder in Europe. The bitcoin opportunity was offered to brokerage clients, investment advisory clients, and others. Levine failed to disclose to investors that his brother had a criminal history and had been living outside of the United States, as a fugitive, since at least 2005. Levine did not admit or deny any of the allegations contained in the Stipulation or Consent Order.

Disclosure 2 of 2

Reporting Source:	Regulator
Regulatory Action Initiated By:	FINRA
Sanction(s) Sought:	



Date Initiated: 01/08/2019

Docket/Case Number: [2018059393201](#)

Employing firm when activity occurred which led to the regulatory action: Morgan Stanley

Product Type: Other: Unspecified securities

Allegations: Without admitting or denying the findings, Levine consented to the sanction and to the entry of findings that he failed to provide FINRA with requested documents and information in connection with its investigation into allegations that he engaged in undisclosed outside business activities, solicited a senior firm customer to borrow funds for an outside business activity, and executed unauthorized trades, among other alleged conduct.

Current Status: Final

Resolution: Acceptance, Waiver & Consent(AWC)

Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct? No

Resolution Date: 01/08/2019

Sanctions Ordered: Bar (Permanent)

If the regulator is the SEC, CFTC, or an SRO, did the action result in a finding of a willful violation or failure to supervise? No



(1) willfully violated any provision of the Securities Act of 1933, the Securities Exchange Act of 1934, the Investment Advisers Act of 1940, the Investment Company Act of 1940, the Commodity Exchange Act, or any rule or regulation under any of such Acts, or any of the rules of the Municipal Securities Rulemaking Board, or to have been unable to comply with any provision of such Act, rule or regulation?

(2) willfully aided, abetted, counseled, commanded, induced, or procured the violation by any person of any provision of the Securities Act of 1933, the Securities Exchange Act of 1934, the Investment Advisers Act of 1940, the Investment Company Act of 1940, the Commodity Exchange Act, or any rule or regulation under any of such Acts, or any of the rules of the Municipal Securities Rulemaking Board? or



(3) failed reasonably to supervise another person subject to your supervision, with a view to preventing the violation by such person of any provision of the Securities Act of 1933, the Securities Exchange Act of 1934, the Investment Advisers Act of 1940, the Investment Company Act of 1940, the Commodity Exchange Act, or any rule or regulation under any such Acts, or any of the rules of the Municipal Securities Rulemaking Board?

Sanction 1 of 1

Sanction Type: Bar (Permanent)
Capacities Affected: All capacities
Duration: Indefinite
Start Date: 01/08/2019
End Date:

Reporting Source: Firm
Regulatory Action Initiated By: FINRA
Sanction(s) Sought: Bar
Date Initiated: 01/08/2019
Docket/Case Number: [2018059393201](#)
Employing firm when activity occurred which led to the regulatory action: Morgan Stanley
Product Type: Other: Unspecified Securities



Allegations: Without admitting or denying the findings, Levine consented to the sanction and to the entry of findings that he failed to provide FINRA with requested documents and information in connection with its investigation into allegations that he engaged in undisclosed outside business activities, solicited a senior firm customer to borrow funds for an outside activity, and executed unauthorized trades, among other alleged conduct.

Current Status: Final

Resolution: Acceptance, Waiver & Consent(AWC)

Resolution Date: 01/08/2019

Sanctions Ordered: Bar (Permanent)

If the regulator is the SEC, CFTC, or an SRO, did the action result in a finding of a willful violation or failure to supervise?
No

(1) willfully violated any provision of the Securities Act of 1933, the Securities Exchange Act of 1934, the Investment Advisers Act of 1940, the Investment Company Act of 1940, the Commodity Exchange Act, or any rule or regulation under any of such Acts, or any of the rules of the Municipal Securities Rulemaking Board, or to have been unable to comply with any provision of such Act, rule or regulation?



(2) willfully aided, abetted, counseled, commanded, induced, or procured the violation by any person of any provision of the Securities Act of 1933, the Securities Exchange Act of 1934, the Investment Advisers Act of 1940, the Investment Company Act of 1940, the Commodity Exchange Act, or any rule or regulation under any of such Acts, or any of the rules of the Municipal Securities Rulemaking Board? or

(3) failed reasonably to supervise another person subject to your supervision, with a view to preventing the violation by such person of any provision of the Securities Act of 1933, the Securities Exchange Act of 1934, the Investment Advisers Act of 1940, the Investment Company Act of 1940, the Commodity Exchange Act, or any rule or regulation under any such Acts, or any of the rules of the Municipal Securities Rulemaking Board?

Sanction 1 of 1

Sanction Type:	Bar (Permanent)
Capacities Affected:	All Capacities.
Duration:	Indefinite
Start Date:	01/08/2019
End Date:	





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:	Firm
Employing firm when activities occurred which led to the complaint:	MSSB
Allegations:	Client alleges that her signature on documents were copied by FA from previous documents she signed. September 2014.
Product Type:	Annuity-Variable
Alleged Damages:	\$0.00
Alleged Damages Amount Explanation (if amount not exact):	Unspecified
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:	07/09/2018
Complaint Pending?	No
Status:	Closed/No Action
Status Date:	08/28/2018
Settlement Amount:	
Individual Contribution Amount:	

Reporting Source: Broker



Employing firm when activities occurred which led to the complaint:

MSSB

Allegations:

Client alleges that her signature on documents were copied by FA from previous documents she signed. September 2014

Product Type:

Annuity-Variable

Alleged Damages:

\$0.00

Alleged Damages Amount Explanation (if amount not exact):

UNSPECIFIED

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:

07/09/2018

Complaint Pending?

Yes

Settlement Amount:

Individual Contribution Amount:

Broker Statement

The complaint against me from [Redacted] is untrue. Her son Craig Hill has POA for Virginia due to her declining health. Craig sent me a letter apologizing for his mother's false claims. He was witness to her signing all documents associated with the purchase of the Met Life Annuity back in 2014. He and I met with [Redacted] together at commencement of the annuity

purchase in her house. Craig is willing to answer any questions related to her false claims. He also indicated that she has made many false claims to other professionals in the past and that this is a pattern of behavior she has unfortunately exhibited for many many years.



Employment Separation After Allegations

This type of disclosure event involves a situation where the broker voluntarily resigned, was discharged, or was permitted to resign after being accused of (1) violating investment-related statutes, regulations, rules or industry standards of conduct; (2) fraud or the wrongful taking of property; or (3) failure to supervise in connection with investment-related statutes, regulations, rules, or industry standards of conduct.

Disclosure 1 of 2

Reporting Source: Firm
Employer Name: FIRST FINANCIAL EQUITY CORPORATION
Termination Type: Discharged
Termination Date: 08/07/2018
Allegations: Failure to disclose a regulatory inquiry to the firm.
Product Type: No Product

Disclosure 2 of 2

Reporting Source: Firm
Employer Name: MSWM
Termination Type: Voluntary Resignation
Termination Date: 07/03/2018
Allegations: Allegations concerning activities by representative related to possible, unapproved outside activity.
Product Type: No Product

Reporting Source: Broker
Employer Name: MSWM
Termination Type: Voluntary Resignation
Termination Date: 07/03/2018
Allegations: Allegations concerning activities by representative related to possible, unapproved outside activity.
Product Type: No Product

End of Report



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