

BrokerCheck Report

PAUL ROBERT DIPIETRO

CRD# 4313454

<u>Section Title</u>	<u>Page(s)</u>
Report Summary	1
Broker Qualifications	2 - 5
Registration and Employment History	7 - 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:
 - 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.

**PAUL R. DIPIETRO**

CRD# 4313454

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

IA PINNACLE INVESTMENTS, LLC
 7601 NORTH FEDERAL HIGHWAY
 SUITE 125B
 BOCA RATON, FL 33487
 CRD# 142910
 Registered with this firm since: 03/09/2021

B PINNACLE INVESTMENTS, LLC
 7601 NORTH FEDERAL HIGHWAY
 SUITE 125B
 BOCA RATON, FL 33487
 CRD# 142910
 Registered with this firm since: 04/01/2019

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
- 29 U.S. states and territories

This broker has passed:

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

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

B DAWSON JAMES SECURITIES, INC.
 CRD# 130645
 BOCA RATON, FL
 01/2012 - 04/2019

IA DAWSON JAMES ASSET MANAGEMENT, INC.
 CRD# 135259
 BOCA RATON, FL
 01/2012 - 08/2015

IA INVESTORS CAPITAL ADVISORY
 CRD# 30613
 LYNNFIELD, MA
 03/2010 - 12/2011

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? **No**



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 29 U.S. states and territories through his or her employer.

Employment 1 of 1

Firm Name: **PINNACLE INVESTMENTS, LLC**

Main Office Address: **5845 WIDEWATERS PKWY
STE 300
EAST SYRACUSE, NY 13057**

Firm CRD#: **142910**

	SRO	Category	Status	Date
B	FINRA	General Securities Representative	Approved	04/01/2019
B	FINRA	General Securities Principal	Approved	09/24/2020

	U.S. State/ Territory	Category	Status	Date
B	Arizona	Agent	Approved	04/01/2019
B	Arkansas	Agent	Approved	04/01/2019
B	California	Agent	Approved	04/02/2019
B	Connecticut	Agent	Approved	04/01/2019
B	Florida	Agent	Approved	04/08/2019
IA	Florida	Investment Adviser Representative	Approved	03/09/2021
B	Georgia	Agent	Approved	04/30/2019
B	Idaho	Agent	Approved	04/01/2019
B	Illinois	Agent	Approved	07/12/2023
B	Iowa	Agent	Approved	04/01/2019
B	Louisiana	Agent	Approved	12/13/2024

Broker Qualifications



Employment 1 of 1, continued

	U.S. State/ Territory	Category	Status	Date
B	Maine	Agent	Approved	06/27/2019
B	Maryland	Agent	Approved	04/08/2019
B	Michigan	Agent	Approved	04/01/2019
B	Minnesota	Agent	Approved	04/09/2019
B	Missouri	Agent	Approved	10/03/2024
IA	Missouri	Investment Adviser Representative	Approved	10/03/2024
B	Nebraska	Agent	Approved	05/08/2020
B	New Jersey	Agent	Approved	04/01/2019
B	New York	Agent	Approved	04/01/2019
B	North Carolina	Agent	Approved	04/18/2019
B	Ohio	Agent	Approved	04/01/2019
B	Oklahoma	Agent	Approved	07/22/2024
B	Oregon	Agent	Approved	12/10/2024
B	Pennsylvania	Agent	Approved	04/01/2019
B	South Carolina	Agent	Approved	05/01/2019
B	Texas	Agent	Approved	03/21/2022
B	Virginia	Agent	Approved	04/01/2019
B	Washington	Agent	Approved	02/18/2022
B	Wisconsin	Agent	Approved	07/26/2022
B	Wyoming	Agent	Approved	05/13/2019

Broker Qualifications



Employment 1 of 1, continued Branch Office Locations

PINNACLE INVESTMENTS, LLC
7601 NORTH FEDERAL HIGHWAY
SUITE 125B
BOCA RATON, FL 33487



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

Principal/Supervisory Exams

Exam	Category	Date
B General Securities Principal Examination	Series 24	09/30/2019

General Industry/Product Exams

Exam	Category	Date
B Securities Industry Essentials Examination	SIE	10/01/2018
B General Securities Representative Examination	Series 7	06/16/2001
B Corporate Securities Limited Representative Examination	Series 62	11/28/2000

State Securities Law Exams

Exam	Category	Date
IA Uniform Investment Adviser Law Examination	Series 65	10/28/2020
B IA Uniform Combined State Law Examination	Series 66	08/14/2009
B Uniform Securities Agent State Law Examination	Series 63	01/16/2001

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 **1** professional designation(s).

Certified Financial Planner

This representative holds or did hold **1** professional designation(s) that may have been used to qualify as an Investment Advisor representative. Please check with the appropriate designation authority for verification that the designation is still in effect. The contact information for these professional designation authorities can be found on the website for the North American Securities Administrators Association at <http://www.nasaa.org>



Registration and Employment History

Registration History

The broker previously was registered with the following firms:

Registration Dates	Firm Name	CRD#	Branch Location
B 01/2012 - 04/2019	DAWSON JAMES SECURITIES, INC.	130645	BOCA RATON, FL
IA 01/2012 - 08/2015	DAWSON JAMES ASSET MANAGEMENT, INC.	135259	BOCA RATON, FL
IA 03/2010 - 12/2011	INVESTORS CAPITAL ADVISORY	30613	BOCA RATON, FL
B 03/2007 - 12/2011	INVESTORS CAPITAL CORP.	30613	BOCA RATON, FL
B 04/2005 - 03/2007	CHICAGO INVESTMENT GROUP, LLC	11853	BOCA RATON, FL
B 04/2003 - 04/2005	GUNNALLEN FINANCIAL, INC	17609	TAMPA, FL
B 04/2003 - 04/2003	SHELMAN SECURITIES CORP.	39795	DALLAS, TX
B 03/2003 - 03/2003	BROCKINGTON SECURITIES, INC.	37438	RONKONKOMA, NY
B 12/2001 - 03/2003	KSH INVESTMENT GROUP, INC.	41817	GREAT NECK, NY
B 08/2001 - 12/2001	HARRISON SECURITIES, INC.	14103	PORT WASHINGTON, NY
B 06/2001 - 07/2001	GLOBAL CAPITAL SECURITIES CORPORATION	16184	ENGLEWOOD, CO
B 01/2001 - 02/2001	GLOBAL CAPITAL SECURITIES CORPORATION	16184	ENGLEWOOD, CO
B 11/2000 - 01/2001	GLOBAL CAPITAL MARKETS, LLC	16191	MELVILLE, 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	Employer Name	Position	Investment Related	Employer Location
03/2019 - Present	PINNACLE INVESTMENTS, LLC	REGISTERED REPRESENTATIVE	Y	SYRACUSE, NY, United States



Registration and Employment History

Employment History, continued

Employment	Employer Name	Position	Investment Related	Employer Location
01/2012 - 03/2019	DAWSON JAMES ASSET MANAGEMENT	IAR	Y	BOCA RATON, FL, United States
01/2012 - 03/2019	DAWSON JAMES SECURITIES INC.	REGISTERED REPRESENTATIVE	Y	BOCA RATON, FL, 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.

TLFL Davie, LLC. - Non-Investment Related - 914 SW 7th St, Boca Raton, FL 33486 - LLC for the sole purpose of managing expenses for a rental property - Managing Member - Start Date 7/26/18 - 0 hours per month (management company was hired to manage the property) and 0 hours during market hours - Account to manage expenses for rental property.

Robert Scott Financial / Sole Prop. Non-investment related. Set up to pay sales assistant and office expenses. 7601 NORTH FEDERAL HIGHWAYSUITE 125B
BOCA RATON, FL 33487. 0 hours per month during trading hours. 4 hours per month during non trading hours.

End of Report



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