

BrokerCheck Report

DARIEN EUCLID BONNEY

CRD# 4899007

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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.

DARIEN E. BONNEY

CRD# 4899007

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
- 1 State Securities Law Exam

Registration History

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

- B MML INVESTORS SERVICES, LLC**
CRD# 10409
SCOTTSDALE, AZ
04/2007 - 01/2022
- B NYLIFE SECURITIES INC.**
CRD# 5167
SCOTTSDALE, AZ
05/2005 - 07/2006

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	5
Termination	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 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 0 principal/supervisory exams, 2 general industry/product exams, and 1 state securities law exam.

Principal/Supervisory Exams

Exam	Category	Date
No information reported.		

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	05/11/2005

State Securities Law Exams

Exam	Category	Date
B Uniform Securities Agent State Law Examination	Series 63	07/14/2006

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 04/2007 - 01/2022	MML INVESTORS SERVICES, LLC	10409	SCOTTSDALE, AZ
B 05/2005 - 07/2006	NYLIFE SECURITIES INC.	5167	SCOTTSDALE, AZ

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
03/2007 - Present	MML INVESTORS SERVICES, LLC	REGISTERED REP	Y	SCOTTSDALE, AZ, United States
08/2006 - Present	MASSMUTUAL LIFE INSURANCE COMPANY	AGENT	Y	SCOTTSDALE, 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.

NAME: DARIEN BONNEY INV REL: Y ADD: 2259 S LABELLE MESA AZ 85209 NATURE: INDIVIDUAL LIFE/HEALTH, GROUP LIFE/HEALTH
 POSITION: SALES/AGENT START DATE: 2004 NO HRS/MO: 10 NO HRS/MO DUR TRADING: 10 (2) NAME: DARIEN BONNEY INV REL: Y
 ADD: 2259 S LABELLE MESA AZ 85209 NATURE: ASSIST CUSTOMERS WITH SALES OF WL AND/OR UL POLICIES TO A LIFE
 SETTLEMENT COMPANY POSTION: AGENT START DATE: 2017 NO HRS/MO: 1 NO HRS/MO DUR TRADING: 1 (3) DFG CASUALTY &
 BENEFITS, LLC INV REL: Y ADD: 17550 N PERIMETER DR STE 450 SCOTTSDALE AZ 85255 NATURE: P&C POSITION: SALES/REFERRAL
 PARTNER START DATE: 12/2017 NO HRS/MO: 5 NO HRS/MO DUR TRADING: 5

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.
 -
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	2	0
Customer Dispute	2	3	N/A
Termination	N/A	1	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:	Arizona Corporation Commission - Securities Division
Sanction(s) Sought:	Cease and Desist Revocation
Date Initiated:	08/09/2023
Docket/Case Number:	S-21263A-23-0233
URL for Regulatory Action:	https://docket.images.azcc.gov/0000215063.pdf?i=1755875902874
Employing firm when activity occurred which led to the regulatory action:	
Product Type:	Investment Contract Promissory Note
Allegations:	Mr. Bonney violated A.A.C. R14-4-130(A)(17) by effecting the MERCO transactions without first receiving approval from MMLIS and without the transactions being recorded on the records of MMLIS. Respondent's conduct is grounds for revocation of his securities salesman registration pursuant to A.R.S. § 44-1962.
Current Status:	Final



Resolution:	Decision
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:	08/19/2025
Sanctions Ordered:	Cease and Desist Civil and Administrative Penalty(ies)/Fine(s) Restitution Revocation
Monetary Sanction 1 of 2	
Monetary Related Sanction:	Civil and Administrative Penalty(ies)/Fine(s)
Total Amount:	\$30,000.00
Portion Levied against individual:	\$30,000.00
Payment Plan:	Decision No 81447. Penalty is the sole responsibility of Bonney and due within 30 days of the date of this order.
Is Payment Plan Current:	No
Date Paid by individual:	
Was any portion of penalty waived?	No
Amount Waived:	
Monetary Sanction 2 of 2	
Monetary Related Sanction:	Restitution
Total Amount:	\$1,980,000.00
Portion Levied against individual:	\$1,980,000.00
Payment Plan:	Decision No 81447. Restitution is the sole responsibility of Bonney and due within 30 days of this order.
Is Payment Plan Current:	No
Date Paid by individual:	



Was any portion of penalty waived? No

Amount Waived:

Reporting Source: Firm
Regulatory Action Initiated By: Arizona Corporation Commission - Securities Division

Sanction(s) Sought: Cease and Desist
 Revocation

Date Initiated: 08/09/2023

Docket/Case Number: S-21263A-23-0233

Employing firm when activity occurred which led to the regulatory action: MML Investors Services, LLC

Product Type: Investment Contract
 Promissory Note

Allegations: Mr. Bonney violated A.A.C. R14-4-130(A)(17) by effecting the MERCO transactions without first receiving approval from MMLIS and without the transactions being recorded on the records of MMLIS. Respondent's conduct is grounds for revocation of his securities salesman registration pursuant to A.R.S. § 44-1962.

Current Status: Final

Resolution: Decision

Resolution Date: 08/19/2025

Sanctions Ordered: Cease and Desist
 Civil and Administrative Penalty(ies)/Fine(s)
 Restitution
 Revocation

Monetary Sanction 1 of 2

Monetary Related Sanction: Civil and Administrative Penalty(ies)/Fine(s)

Total Amount: \$30,000.00

Portion Levied against individual: \$30,000.00



Payment Plan: Decision No 81447. Penalty is the sole responsibility of Bonney and due within 30 days of the date of this order.

Is Payment Plan Current: No

Date Paid by individual:

Was any portion of penalty waived? No

Amount Waived:

Monetary Sanction 2 of 2

Monetary Related Sanction: Restitution

Total Amount: \$1,980,000.00

Portion Levied against individual: \$1,980,000.00

Payment Plan: Decision No 81447. Restitution is the sole responsibility of Bonney and due within 30 days of this order.

Is Payment Plan Current: No

Date Paid by individual:

Was any portion of penalty waived? No

Amount Waived:

Disclosure 2 of 2

Reporting Source: Regulator

Regulatory Action Initiated By: FINRA

Sanction(s) Sought: Suspension

Date Initiated: 05/06/2022

Docket/Case Number: 2021072817601

Employing firm when activity occurred which led to the regulatory action: N/A

Product Type: No Product



Allegations: Respondent Bonney failed to respond to FINRA requests for information.

Current Status: Final

Resolution: Letter

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: 08/09/2022

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 2

Sanction Type: Bar (Permanent)

Capacities Affected: All Capacities

Duration: Indefinite

Start Date: 08/09/2022

End Date:

Sanction 2 of 2



Sanction Type:	Suspension
Capacities Affected:	All Capacities
Duration:	n/a
Start Date:	05/31/2022
End Date:	08/08/2022
Regulator Statement	<p>Pursuant to FINRA Rule 9552(h) and in accordance with FINRA's Notice of Suspension and Suspension from Association letters dated May 6, 2022 and May 31, 2022, respectively, on August 9, 2022, Bonney is barred from association with any FINRA member in all capacities. Bonney failed to request termination of his suspension within three months of the date of the Notice of Suspension; therefore, he is automatically barred from association with any FINRA member in all capacities.</p>



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:	Firm
Employing firm when activities occurred which led to the complaint:	MML INVESTORS SERVICES, LLC
Allegations:	The complainants allege that beginning on or around November 2018, they gave the registered representative money for a down payment on a home, and then subsequently invested in two private securities (MERCOS & Spyglass) on or about April 02, 2019, and October 15, 2020, both of which were misrepresented and unsuitable.
Product Type:	Other: Private Securities, Cash
Alleged Damages:	\$0.00
Alleged Damages Amount Explanation (if amount not exact):	The Firm has been unable to make a good faith determination that damages would be less than \$5000.
Is this an oral complaint?	No
Is this a written complaint?	No
Is this an arbitration/CFTC reparation or civil litigation?	Yes
Arbitration/Reparation forum or court name and location:	FINRA
Docket/Case #:	23-00303
Filing date of arbitration/CFTC reparation or civil litigation:	02/06/2023

Customer Complaint Information

Date Complaint Received:	02/08/2023
Complaint Pending?	No
Status:	Settled
Status Date:	10/16/2023



Settlement Amount:	\$75,000.00
Individual Contribution Amount:	\$0.00
Firm Statement	Internal Case # 202302100094

Disclosure 2 of 3

Reporting Source:	Firm
Employing firm when activities occurred which led to the complaint:	MML INVESTORS SERVICES, LLC
Allegations:	The complainants allege that in 2018, the producer recommended, without a reasonable basis, that they invest in a risky, unregistered investment, leading them to believe that there were no significant risks with it. The complainants have since only received a portion of their investment back despite asking the producer to return it, causing them financial harm.
Product Type:	Promissory Note
Alleged Damages:	\$49,000.00
Alleged Damages Amount Explanation (if amount not exact):	The complainants are seeking compensatory damages of \$40,000, punitive damages of \$9,000, interest, attorney's fees, costs and other relief that the panel deems just and proper.
Is this an oral complaint?	No
Is this a written complaint?	No
Is this an arbitration/CFTC reparation or civil litigation?	Yes
Arbitration/Reparation forum or court name and location:	FINRA
Docket/Case #:	22-02125
Filing date of arbitration/CFTC reparation or civil litigation:	09/16/2022

Customer Complaint Information

Date Complaint Received:	09/16/2022
Complaint Pending?	No



Status:	Settled
Status Date:	03/08/2023
Settlement Amount:	\$17,000.00
Individual Contribution Amount:	\$0.00
Firm Statement	Internal case #202209200111.

Disclosure 3 of 3

Reporting Source:	Firm
Employing firm when activities occurred which led to the complaint:	MML INVESTORS SERVICES, LLC
Allegations:	The complainant alleges that in late 2020, the rep solicited the complainant to invest in a private investment in Spyglass Financial Strategies, which was a business owned by the rep, who represented to the complainant that the investment related to oil and involved no risk. It is further alleged that the terms of the promissory note that the rep drafted have not been met, which has resulted in financial losses to the complainant.
Product Type:	Promissory Note
Alleged Damages:	\$1,053,250.00
Alleged Damages Amount Explanation (if amount not exact):	The complainant is seeking \$1,053,250 plus punitive damages, interest and any other relief that the arbitration panel deems proper.
Is this an oral complaint?	No
Is this a written complaint?	No
Is this an arbitration/CFTC reparation or civil litigation?	Yes
Arbitration/Reparation forum or court name and location:	FINRA
Docket/Case #:	22-01548
Filing date of arbitration/CFTC reparation or civil litigation:	07/11/2022



Customer Complaint Information

Date Complaint Received:	07/12/2022
Complaint Pending?	No
Status:	Settled
Status Date:	02/16/2023
Settlement Amount:	\$105,000.00
Individual Contribution Amount:	\$0.00
Firm Statement	Internal case #202207140099.



Customer Dispute - Pending

This type of disclosure event involves (1) a pending consumer-initiated, investment-related arbitration or civil suit that contains allegations of sales practice violations against the broker; or (2) a pending, 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.

Disclosure 1 of 2

Reporting Source:	Firm
Employing firm when activities occurred which led to the complaint:	MML INVESTORS SERVICES, LLC
Allegations:	The Claimants allege that in 2021, rep sold them two promissory notes that offered guaranteed returns, which would be protected, and that wouldn't be subject to stock market volatility, however, their full investments haven't been returned and only a portion of the interest was paid.
Product Type:	Promissory Note
Alleged Damages:	\$325,000.00
Alleged Damages Amount Explanation (if amount not exact):	The Claimants are seeking \$325,000 plus lost opportunity costs and attorney's fees.
Is this an oral complaint?	No
Is this a written complaint?	No
Is this an arbitration/CFTC reparation or civil litigation?	Yes
Arbitration/Reparation forum or court name and location:	FINRA
Docket/Case #:	23-02063
Filing date of arbitration/CFTC reparation or civil litigation:	07/26/2023

Customer Complaint Information

Date Complaint Received:	07/26/2023
Complaint Pending?	No
Status:	Evolved into Arbitration/CFTC reparation (the individual is a named party)



Status Date: 11/09/2023

Settlement Amount:

Individual Contribution Amount:

Arbitration Information

Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.): FINRA

Docket/Case #: 23-02063

Date Notice/Process Served: 11/09/2023

Arbitration Pending? Yes

Firm Statement The Firm has settled its portion of the arbitration as of 10/08/2024. The arbitration remains pending against the rep. (Case #202307280191.)

Disclosure 2 of 2

Reporting Source: Firm

Employing firm when activities occurred which led to the complaint: MML INVESTORS SERVICES, LLC

Allegations: The complainants allege that beginning in or around April 2019 through October 2020, they invested in two private securities (MERCOS & Spyglass), both of which were misrepresented and unsuitable, and one of the complainants signed a promissory note in Spyglass. Additionally, one of the complainant's gave the registered representative money for a down payment on a home on or around November 2018.

Product Type: Promissory Note
Other: Private Securities, Cash

Alleged Damages: \$0.00

Alleged Damages Amount Explanation (if amount not exact): The Firm has been unable to make a good faith determination that damages are less than \$5000.

Civil Litigation Information

Type of Court: State Court

Name of Court: Superior Court Of The State of Arizona



Location of Court:	County Of Maricopa
Docket/Case #:	CV2022-013707
Date Notice/Process Served:	04/18/2023
Litigation Pending?	Yes
Firm Statement	Internal Case #202302100094



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 1

Reporting Source:	Firm
Employer Name:	MML INVESTORS SERVICES, LLC
Termination Type:	Discharged
Termination Date:	01/20/2022
Allegations:	Registered Representative terminated in connection with an investigation into an undisclosed outside business activity and unauthorized investment activity.
Product Type:	No Product

End of Report



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