

BrokerCheck Report

DANIEL JAMES DEVANEY

CRD# 501319

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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.

**DANIEL J. DEVANEY**

CRD# 501319

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

- B** **SAMUEL A. RAMIREZ & COMPANY, INC.**
 14 EAST 52ND STREET
 NEW YORK, NY 10022
 CRD# 6963
 Registered with this firm since: 05/11/2005

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
- 6 U.S. states and territories

This broker has passed:

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

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

- B** **WHITAKER SECURITIES LLC**
 CRD# 121465
 NEW YORK, NY
 03/2004 - 05/2005
- B** **MORGAN STANLEY DW INC.**
 CRD# 7556
 PURCHASE, NY
 06/1993 - 01/2004
- B** **PAINWEBBER INCORPORATED**
 CRD# 8174
 WEEHAWKEN, NJ
 11/1989 - 05/1993

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	2
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 individual is currently registered with 1 SRO and is licensed in 6 U.S. states and territories through his or her employer.

Employment 1 of 1

Firm Name: **SAMUEL A. RAMIREZ & COMPANY, INC.**

Main Office Address: **14 EAST 52ND STREET
NEW YORK, NY 10022**

Firm CRD#: **6963**

	SRO	Category	Status	Date
B	FINRA	General Securities Representative	Approved	05/11/2005
B	FINRA	Municipal Securities Representative	Approved	05/11/2005

	U.S. State/ Territory	Category	Status	Date
B	California	Agent	Approved	01/04/2007
B	Florida	Agent	Approved	05/17/2005
B	Georgia	Agent	Approved	05/10/2010
B	Massachusetts	Agent	Approved	05/19/2005
B	New Jersey	Agent	Approved	05/24/2005
B	New York	Agent	Approved	05/11/2005

Branch Office Locations

SAMUEL A. RAMIREZ & COMPANY, INC.
14 EAST 52ND STREET
NEW YORK, NY 10022



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, 3 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 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	12/16/1989

State Securities Law Exams

Exam	Category	Date
B Uniform Securities Agent State Law Examination	Series 63	01/09/1990

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 03/2004 - 05/2005	WHITAKER SECURITIES LLC	121465	NEW YORK, NY
B 06/1993 - 01/2004	MORGAN STANLEY DW INC.	7556	PURCHASE, NY
B 11/1989 - 05/1993	PAINWEBBER INCORPORATED	8174	WEEHAWKEN, NJ
B 12/1987 - 04/1989	HARRY DOWNS & COMPANY, INC.	7019	
B 06/1985 - 07/1987	MKI SECURITIES CORP.	2762	
B 05/1976 - 05/1985	VIERLING, DEVANEY & MAGUIRE, INC.	7156	

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
01/2011 - Present	SAMUEL A RAMIREZ & CO INC	VP PRIVATE CLIENT GROUP	Y	EDGARTOWN, MA, United States
01/2011 - Present	SAMUEL A RAMIREZ & CO INC	VP PRIVATE CLIENT GROUP	Y	JUPITER, 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.

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:**
 - 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	2	0
Customer Dispute	0	2	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:	NATIONAL ASSOCIATION OF SECURITIES DEALERS, INC.
Sanction(s) Sought:	
Other Sanction(s) Sought:	
Date Initiated:	11/16/1989
Docket/Case Number:	NY-8036
Employing firm when activity occurred which led to the regulatory action:	
Product Type:	
Other Product Type(s):	
Allegations:	
Current Status:	Final
Resolution:	Consent
Resolution Date:	06/29/1990
Sanctions Ordered:	Censure Monetary/Fine \$3,000.00



Suspension

Other Sanctions Ordered:

Sanction Details:

Regulator Statement

COMPLAINT NO. NY-8036 FILED NOVEMBER 16, 1989 BY DISTRICT NO. 12 AGAINST RESPONDENTS DANIEL DEVANEY, EDWARD VIERLING AND RONALD O'GRADY ALLEGING VIOLATIONS OF MSRB RULES G-8 AND G-17 IN THAT A FORMER MEMBER FIRM, ACTING THROUGH RESPONDENTS DEVANEY, VIERLING AND O'GRADY, UNDER REPORTED THE AMOUNT OF ACCRUED COMMISSIONS PAYABLE TO A REGISTERED REPRESENTATIVE OF THE FIRM AND EFFECTED TRANSACTIONS IN SECURITIES WHILE FAILING TO MAINTAIN THE MINIMUM NET CAPITAL.

DECISION RENDERED JUNE 29, 1990, WHEREIN THE OFFER OF SETTLEMENT SUBMITTED BY RESPONDENTS DEVANEY, VIERLING AND O'GRADY WAS ACCEPTED; THEREFORE RESPONDENT DEVANEY IS CENSURED, FINED \$3,000 AND SUSPENDED FROM ASSOCIATION WITH ANY MEMBER OF THE NASD AS A MUNICIPAL SECURITIES PRINCIPAL FOR TEN BUSINESS DAYS; RESPONDENT VIERLING IS CENSURED, FINED \$3,000 AND SUSPENDED FROM ASSOCIATION WITH ANY MEMBER OF THE NASD AS A MUNICIPAL SECURITIES PRINCIPAL FOR TEN BUSINESS DAYS; AND, RESPONDENT O'GRADY IS CENSURED, FINED \$3,000 AND SUSPENDED FROM ASSOCIATION WITH ANY MEMBER OF THE NASD IN ANY CAPACITY FOR TEN BUSINESS DAYS. 8/6/90 PRESS RELEASE: THE SUSPENSION WILL COMMENCE AUGUST 6, 1990 AND WILL CONCLUDE AUGUST 17, 1990.

\$3,000.00 PAID ON 8/9/90 INVOICE #90-12-820

Reporting Source:

Broker

Regulatory Action Initiated By:

NASD

Sanction(s) Sought:

Other Sanction(s) Sought:

Date Initiated:

11/16/1989

Docket/Case Number:

NY-8036



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

Product Type: No Product

Other Product Type(s):

Allegations: VIOLATIONS OF MUNICIPAL SECURITIES RULE MAKING BOARD "MSRB" RULES G-8 AND G-17

Current Status: Final

Resolution: Consent

Resolution Date: 06/29/1990

Sanctions Ordered: Censure
Monetary/Fine \$3,000.00
Suspension

Other Sanctions Ordered:

Sanction Details: NASD CENSURE 3,000 FINE AND A 10 DAY SUSPENSION. SUSPENSION WILL COMMENCE 8/6/90 AND AUGUST 17, 1990.

Broker Statement NOT PROVIDED

Disclosure 2 of 2

Reporting Source: Regulator

Regulatory Action Initiated By: FLORIDA DIVISION OF SECURITIES AND INVESTOR PROTECT*See FAQ #1*

Sanction(s) Sought:

Other Sanction(s) Sought:

Date Initiated: 05/31/1990

Docket/Case Number: 1489-S 4/91

Employing firm when activity occurred which led to the regulatory action: PAINEWEBBER, INC

Product Type:

Other Product Type(s):



Allegations:	ON 11-7-91, THE STATE OF FLORIDA ENTERED A DEFAULT FINAL ORDER OF DENIAL IN THE MATTER OF THE SUBJECT INDIVIDUAL.
Current Status:	Final
Resolution:	Decision
Resolution Date:	12/10/1991
Sanctions Ordered:	Revocation/Expulsion/Denial
Other Sanctions Ordered:	
Sanction Details:	THE ORDER SERVES AS A FINAL ORDER DENYING THE APPLICATION FOR REGISTRATION OF THE SUBJECT AS AN ASSOCIATED PERSON OF PAINWEBBER, INC. AND WAS ENTERED BECAUSE THE SUBJECT FAILED TO TIMELY AND PROPERLY RESPOND TO THE STATE'S PREVIOUS DENIAL LETTER.
Regulator Statement	Not Provided

Reporting Source:	Broker
Regulatory Action Initiated By:	STATE OF FLORIDA DIVISION OF SECURITIES AND INVESTOR*SEE FAQ #1*
Sanction(s) Sought:	
Other Sanction(s) Sought:	
Date Initiated:	05/31/1990
Docket/Case Number:	1489-S 4/91
Employing firm when activity occurred which led to the regulatory action:	PAINWEBBER, INC
Product Type:	No Product
Other Product Type(s):	
Allegations:	ON 11/07/91 THE STATE OF FLORIDA ENTERED A DEFAULT FINAL ORDER OF DENIAL IN THE MATTER OF THE SUBJECT INDIVIDUAL.
Current Status:	Final



Resolution:	Decision
Resolution Date:	12/10/1991
Sanctions Ordered:	Revocation/Expulsion/Denial
Other Sanctions Ordered:	
Sanction Details:	THE ORDER SERVES AS A FINAL ORDER DENYING THE APPLICATION OF THE SUBJECT AS AN ASSOCIATED PERSON OF PAINE WEBBER AND WAS ENTERED BECAUSE THE SUBJECT FAILED TO RESPOND TO THE STATE'S PREVIOUS DENIAL LETTER IN A TIMELY MANNER.
Broker Statement	NOT PROVIDED



Customer Dispute - Award / Judgment

This type of disclosure event involves a final, consumer-initiated, investment-related arbitration or civil suit containing allegations of sales practice violations against the broker that resulted in an arbitration award or civil judgment for the customer.

Disclosure 1 of 1

Reporting Source:	Regulator
Employing firm when activities occurred which led to the complaint:	SAMUEL A. RAMIREZ & CO., INC.
Allegations:	BREACH OF FIDUCIARY DUTY, CHURNING, UNAUTHORIZED TRADING, FAILURE TO FOLLOW INSTRUCTIONS, NEGLIGENCE, UNSUITABLE AND EXCESSIVE TRADING
Product Type:	Other: UNSPECIFIED SECURITIES
Alleged Damages:	\$159,038.00
Arbitration Information	
Arbitration/Reparation Claim filed with and Docket/Case No.:	FINRA - CASE #09-00003
Date Notice/Process Served:	12/30/2008
Arbitration Pending?	No
Disposition:	Award
Disposition Date:	03/10/2010
Disposition Detail:	RESPONDENT IS JOINTLY AND SEVERALLY LIABLE FOR AND SHALL PAY TO CLAIMANT COMPENSATORY DAMAGES IN THE AMOUNT OF \$53,000.00 PLUS INTEREST.

Reporting Source:	Broker
Employing firm when activities occurred which led to the complaint:	SAMUEL A RAMIREZ & CO INC
Allegations:	BREACH OF FIDUCIARY DUTY, CHURNING, UNAUTHORIZED TRADING, FAILURE TO FOLLOW INSTRUCTIONS, NEGLIGENCE, UNSUITABLE AND EXCESSIVE TRADING
Product Type:	Other: UNSPECIFIED SECURITIES
Alleged Damages:	\$159,038.00



Customer Complaint Information

Date Complaint Received: 10/17/2008
Complaint Pending? No
Status: Evolved into Arbitration/CFTC reparation (the individual is a named party)
Status Date: 01/02/2009
Settlement Amount:

Individual Contribution Amount:

Arbitration Information

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

Docket/Case #: [09-00003](#)
Date Notice/Process Served: 01/02/2009
Arbitration Pending? No
Disposition: Award to Customer
Disposition Date: 03/10/2010
Monetary Compensation Amount: \$53,000.00
Individual Contribution Amount: \$0.00

Civil Litigation Information

Type of Court: N/A
Name of Court:
Location of Court:
Docket/Case #:
Date Notice/Process Served:
Litigation Pending?



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 1

Reporting Source:	Broker
Employing firm when activities occurred which led to the complaint:	DEAN WITTER & CO. INCORPORATED
Allegations:	CUSTOMER ALLEGED THAT EXCESSIVE COMMISSIONS WERE GENERATED IN HER ACCOUNT. NO SPECIFIC CLAIMS OR DAMAGES WERE ALLEGED.
Product Type:	No Product
Alleged Damages:	

Customer Complaint Information

Date Complaint Received:	05/01/1997
Complaint Pending?	No
Status:	Settled
Status Date:	05/01/1997
Settlement Amount:	\$20,000.00
Individual Contribution Amount:	\$4,999.00
Broker Statement	DEAN WITTER AGREED TO PAY THE CUSTOMER A TOTAL OF \$20,000 IN SETTLEMENT OF ALL CLAIMS WITHOUT ADMITTING LIABILITY. MR. DEVANEY WILL CONTRIBUTE \$4,999 TOWARD THE SETTLEMENT. MR. DEVANEY STATES THAT HE DENIES ANY AND ALL ALLEGATIONS MADE AGAINST HIM IN THIS MATTER.



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:	Broker
Employer Name:	HARRY DOWNS AND COMPANY
Termination Type:	Permitted to Resign
Termination Date:	04/21/1990
Allegations:	WRONGFUL TAKING OF COMPENSATION PURSUANT TO AN ORAL AGREEMENT.
Product Type:	No Product
Other Product Types:	
Broker Statement	TERM FROM EMPLOYMENT.

End of Report



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