

## BrokerCheck Report

**RICHARD ANTHONY DANIELLO**

CRD# 60666

<u>Section Title</u>	<u>Page(s)</u>
Report Summary	1
Broker Qualifications	2 - 3
Registration and Employment History	5 - 6
Disclosure Events	7



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



For additional information about the contents of this report, please refer to the User Guidance or [www.finra.org/brokercheck](http://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).



**RICHARD A. DANIELLO**  
CRD# 60666

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:

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

Registration History

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

- B** **OPPENHEIMER & CO. INC.**  
CRD# 249  
NEW YORK, NY  
01/1995 - 05/2005
- B** **REICH & CO., INC.**  
CRD# 19611  
04/1993 - 01/1995
- B** **ELLIOT, ALLEN & CO., INC.**  
CRD# 8035  
NEW YORK, NY  
06/1992 - 02/1993

Disclosure Events

This broker has been involved in one or more disclosure events involving certain final criminal matters, regulatory actions, civil judicial proceedings, or arbitrations or civil litigations.

Are there events disclosed about this broker? **Yes**

The following types of disclosures have been reported:

Type	Count
Regulatory Event	2

## Broker Qualifications



### Registrations

This section provides the self-regulatory organizations (SROs), states and U.S. territories the broker is currently registered and licensed with, the category of each registration, and the date on which the registration became effective. This section also provides, for each 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 3 principal/supervisory exams, 1 general industry/product exam, and 0 state securities law exams.**

### Principal/Supervisory Exams

Exam	Category	Date
<b>B</b> General Securities Principal Examination	Series 24	04/04/1988
<b>B</b> Registered Options Principal Examination	Series 4	12/31/1979
<b>B</b> NYSE Branch Manager Examination	Series 12	01/22/1973

### General Industry/Product Exams

Exam	Category	Date
<b>B</b> Registered Representative Examination	Series 1	10/07/1966

### State Securities Law Exams

Exam	Category	Date
No information reported.		

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/](http://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 securities firms:

Registration Dates	Firm Name	CRD#	Branch Location
<b>B</b> 01/1995 - 05/2005	OPPENHEIMER & CO. INC.	249	NEW YORK, NY
<b>B</b> 04/1993 - 01/1995	REICH & CO., INC.	19611	
<b>B</b> 06/1992 - 02/1993	ELLIOT, ALLEN & CO., INC.	8035	NEW YORK, NY
<b>B</b> 11/1991 - 04/1992	THE STAMFORD COMPANY, INC.	23725	
<b>B</b> 10/1988 - 09/1991	ROBYNS CAPITAL CORP.	19980	
<b>B</b> 01/1990 - 08/1991	PIERCE & STONE SECURITIES, INC.	25338	
<b>B</b> 05/1987 - 02/1991	INTEGRATED ASSETS GROUP, INC.	18924	
<b>B</b> 07/1988 - 11/1988	REVCON (USA) LIMITED	18253	
<b>B</b> 03/1988 - 07/1988	RANDOLPH BROWN SECURITIES CORPORATION	18338	
<b>B</b> 04/1985 - 03/1987	WILLIAM M. CADDEN & CO., INC.	7361	
<b>B</b> 12/1984 - 04/1985	BEVILL, BRESLER & SCHULMAN INCORPORATED	6971	
<b>B</b> 05/1980 - 10/1983	S. D. COHN & CO.	735	
<b>B</b> 11/1982 - 06/1983	UNIFIED SECURITIES CORPORATION	8024	
<b>B</b> 06/1976 - 05/1980	NEWHARD, COOK & CO. INCORPORATED	619	
<b>B</b> 04/1973 - 04/1976	E. LOWITZ & CO.	236	
<b>B</b> 12/1971 - 05/1973	ROOSEVELT & SONS INC	1000004	
<b>B</b> 07/1971 - 01/1972	W. E. HUTTON & CO.	861	

### Employment History



# Registration and Employment History

## Employment History, continued

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
01/1995 - Present	FAHNESTOCK & CO., INC.	OTHER - Representative	Y	NEW YORK, NY, United States



# Disclosure Events



## What you should know about reported disclosure events:

- 1. **Disclosure events in BrokerCheck reports come from different sources:**
  - As mentioned at the beginning of this report, information contained in BrokerCheck comes from brokers, their employing firms, and regulators. When more than one source reports information for the same disclosure event, all versions of the event will appear in the BrokerCheck report. The different versions are separated by a solid line with the reporting source labeled.

For your convenience, below is a matrix of the number and status of regulatory 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.

	Final	On Appeal
Regulatory Event	2	0



## Disclosure Event Details

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 involves a final, formal proceeding initiated by a regulatory authority (e.g., a state securities agency, self-regulatory organization, federal regulator such as the Securities and Exchange Commission, foreign financial regulatory body) for a violation of investment-related rules or regulations.

#### Disclosure 1 of 2

<b>Reporting Source:</b>	Regulator
<b>Regulatory Action Initiated By:</b>	FL DIVISION OF SECURITIES AND INVESTOR PROTECTION, *See FAQ #1*
<b>Sanction(s) Sought:</b>	
<b>Other Sanction(s) Sought:</b>	
<b>Date Initiated:</b>	12/07/1992
<b>Docket/Case Number:</b>	92.358 DO5
<b>Employing firm when activity occurred which led to the regulatory action:</b>	ELLIOT, ALLEN & CO., INC.
<b>Product Type:</b>	
<b>Other Product Type(s):</b>	
<b>Allegations:</b>	ON 12-7-92, THE STATE OF FLORIDA APPROVED SUBJECT INDIVIDUAL AS AN ASSOCIATED PERSON OF ELLIOT, ALLEN &
<b>Current Status:</b>	Final
<b>Resolution:</b>	Decision
<b>Resolution Date:</b>	12/07/1992
<b>Sanctions Ordered:</b>	
<b>Other Sanctions Ordered:</b>	
<b>Sanction Details:</b>	THE TERMS OF THE AGREEMENT PROVIDE, BUT ARE NOT LIMITED TO, THE FOLLOWING: DANIELLO AGREES NOT TO ACT IN ANY PRINCIPAL, SUPERVISORY, OR MANAGERIAL CAPACITY IN CONNECTION WITH HIS EMPLOYMENT IN THE SECURITIES INDUSTRY. SUCH CONDITIONS WILL REMAIN IN EFFECT THROUGHOUT THE REGISTRATION WITH THIS



FIRM OR UNTIL RELIEF IS OTHERWISE SOUGHT AND GRANTED. CONTACT  
FL AGENT REGISTRATION SECTION FOR FURTHER INFORMATION.

**Regulator Statement**

Not Provided

**Reporting Source:**

Broker

**Regulatory Action Initiated  
By:**

STATE OF FLORIDA

**Sanction(s) Sought:**
**Other Sanction(s) Sought:**
**Date Initiated:**

12/07/1992

**Docket/Case Number:**

92.358 DO5

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

ELLIOT, ALLEN & CO., INC.

**Product Type:**

Equity Listed (Common & Preferred Stock)

**Other Product Type(s):**
**Allegations:**

NONE

**Current Status:**

Final

**Resolution:**

Decision

**Resolution Date:**

12/07/1992

**Sanctions Ordered:**
**Other Sanctions Ordered:**
**Sanction Details:**

REGISTERED AS AGENT IN FLORIDA

**Broker Statement**

MR. DANIELLO IS CURRENTLY NOT SEEKING FLORIDA  
REGISTRATION AND THE DEPARTMENT OF BANKING AND FINANCE IN THE  
STATE OF FLORIDA STATES THAT WITHOUT FLORIDA REGISTRATION THIS  
AGREEMENT DOES NOT APPLY.

**Disclosure 2 of 2**
**Reporting Source:**

Regulator



**Regulatory Action Initiated By:** NATIONAL ASSOCIATION OF SECURITIES DEALERS, INC.

**Sanction(s) Sought:**

**Other Sanction(s) Sought:**

**Date Initiated:** 05/01/1990

**Docket/Case Number:** NY-9030-AWC

**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:** 10/05/1990

**Sanctions Ordered:** Censure  
Monetary/Fine \$5,000.00  
Suspension

**Other Sanctions Ordered:**

**Sanction Details:**

**Regulator Statement** ON OCTOBER 5, 1990, THE LETTER OF ACCEPTANCE, WAIVER AND CONSENT NO. NY-9030-AWC (DISTRICT NO. 12) SUBMITTED BY RESPONDENTS WARREN SCHREIBER AND RICHARD DANIELLO WAS ACCEPTED  
THEREFORE, RESPONDENT SCHREIBER IS CENSURED, FINED \$20,000 AND SUSPENDED FROM ASSOCIATION WITH ANY MEMBER OF THE NASD AS A GENERAL SECURITIES PRINCIPAL FOR 10 BUSINESS DAYS AND RESPONDENT DANIELLO IS CENSURED, FINED \$5,000 AND SUSPENDED FROM ASSOCIATION WITH ANY MEMBER OF THE NASD AS A GENERAL SECURITIES PRINCIPAL FOR 5 BUSINESS DAYS - (ARTICLE III, SECTIONS 1 AND 27 OF THE RULES OF FAIR PRACTICE - RESPONDENTS SCHREIBER AND DANIELLO ACTING ON BEHALF OF A FORMER MEMBER FIRM, FAILED TO COMPLY WITH SCHEDULE C OF THE ASSOCIATION'S BY-LAWS IN THAT THE FIRM MODIFIED ITS BUSINESS ACTIVITIES AND ACTED AS A DEALER IN U.S. GOVERNMENT BONDS WITHOUT FIRST



RECEIVING THE NASD'S WRITTEN APPROVAL; FAILED TO REGISTER AN INDIVIDUAL PURSUANT TO SCHEDULE C, SECTION XI OF THE NASD BY-LAWS; FAILED TO OBTAIN, FOR SIX NEW CUSTOMER ACCOUNTS, THE SIGNATURE OF THE REGISTERED REPRESENTATIVE INTRODUCING THE ACCOUNT AND THE SIGNATURE OF THE MEMBER OR THE OFFICER ACCEPTING THE ACCOUNTS FOR THE MEMBER; AND FAILED TO ESTABLISH, MAINTAIN AND ENFORCE WRITTEN SUPERVISORY PROCEDURES WHICH WOULD HAVE ENABLED THEM TO SUPERVISE THE ACTIVITIES OF ASSOCIATED PERSONS).

12/3/90 PRESS RELEASE: THE SUSPENSION WILL COMMENCE DECEMBER 3, 1990 AND WILL CONCLUDE DECEMBER 7, 1990.

\*\*\*\$5,000.00 PAID ON 11/23/90 INVOICE #90-12-1179\*\*\*

---

**Reporting Source:** Firm

**Regulatory Action Initiated By:** NASD

**Sanction(s) Sought:**

**Other Sanction(s) Sought:**

**Date Initiated:** 05/01/1990

**Docket/Case Number:** NY-9030-AWC

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

**Product Type:**

**Other Product Type(s):**

**Allegations:** FAILURE TO SUPERVISE

**Current Status:** Final

**Resolution:** Consent

**Resolution Date:** 10/05/1990

**Sanctions Ordered:** Censure  
Monetary/Fine \$5,000.00



Suspension

**Other Sanctions Ordered:**

**Sanction Details:** \$5,000 FINE AND 5 DAY SUSPENSION AS GENERAL SECURITIES PRINCIPAL.

**Firm Statement** Not Provided

**Reporting Source:** Broker

**Regulatory Action Initiated By:** NASD

**Sanction(s) Sought:**

**Other Sanction(s) Sought:**

**Date Initiated:** 05/01/1990

**Docket/Case Number:** NY-9030-AWC

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

**Product Type:** Equity Listed (Common & Preferred Stock)

**Other Product Type(s):**

**Allegations:** FAILURE TO SUPERVISE

**Current Status:** Final

**Resolution:** Consent

**Resolution Date:** 10/05/1990

**Sanctions Ordered:** Censure  
Monetary/Fine \$5,000.00  
Suspension

**Other Sanctions Ordered:**

**Sanction Details:** \$5,000 FINE-PAID 5 BUSINESS DAY SUSPENSION AS GENERAL SECURITIES PRINCIPAL-SERVED

**Broker Statement** NOT PROVIDED

## End of Report



**This page is intentionally left blank.**