

## BrokerCheck Report

**DANIEL ROBERT BOTT SR**

CRD# 810528

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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](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).

**DANIEL R. BOTT SR**

CRD# 810528

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

**IA MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED**  
 23655 N SCOTTSDALE RD  
 SCOTTSDALE, AZ 85255  
 CRD# 7691  
 Registered with this firm since: 05/29/2009

**B MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED**  
 23655 N SCOTTSDALE RD  
 SCOTTSDALE, AZ 85255  
 CRD# 7691  
 Registered with this firm since: 05/29/2009

**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:**

- 6 Self-Regulatory Organizations
- 21 U.S. states and territories

**This broker has passed:**

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

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

- IA WELLS FARGO ADVISORS, LLC**  
 CRD# 19616  
 ST. LOUIS, MO  
 10/2002 - 06/2009
- B WELLS FARGO ADVISORS, LLC**  
 CRD# 19616  
 SCOTTSDALE, AZ  
 05/2001 - 06/2009
- B SALOMON SMITH BARNEY INC.**  
 CRD# 7059  
 NEW YORK, NY  
 07/1993 - 05/2001

**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
Customer Dispute	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 6 SROs and is licensed in 21 U.S. states and territories through his or her employer.**

### Employment 1 of 1

Firm Name: **MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED**

Main Office Address: **ONE BRYANT PARK  
NEW YORK, NY 10036**

Firm CRD#: **7691**

	SRO	Category	Status	Date
B	Cboe BYX Exchange, Inc.	General Securities Representative	Approved	05/13/2014
B	Cboe BZX Exchange, Inc.	General Securities Representative	Approved	05/13/2014
B	Cboe Exchange, Inc.	General Securities Representative	Approved	05/29/2009
B	FINRA	General Securities Representative	Approved	05/29/2009
B	Nasdaq Stock Market	General Securities Representative	Approved	05/29/2009
B	New York Stock Exchange	General Securities Representative	Approved	05/29/2009

	U.S. State/ Territory	Category	Status	Date
B	Arizona	Agent	Approved	05/29/2009
B	Arkansas	Agent	Approved	02/19/2019
B	California	Agent	Approved	05/29/2009
IA	California	Investment Adviser Representative	Approved	09/10/2025
B	Colorado	Agent	Approved	05/29/2009
B	Florida	Agent	Approved	05/03/2023
B	Idaho	Agent	Approved	05/29/2009



## Broker Qualifications

### Employment 1 of 1, continued

	U.S. State/ Territory	Category	Status	Date
B	Illinois	Agent	Approved	02/14/2018
B	Iowa	Agent	Approved	09/26/2017
B	Massachusetts	Agent	Approved	01/02/2018
B	Minnesota	Agent	Approved	05/29/2009
B	Nebraska	Agent	Approved	10/06/2020
B	New York	Agent	Approved	05/29/2009
B	North Carolina	Agent	Approved	05/29/2009
B	Oregon	Agent	Approved	12/07/2022
B	Pennsylvania	Agent	Approved	11/27/2017
B	South Carolina	Agent	Approved	10/02/2018
B	Texas	Agent	Approved	05/29/2009
IA	Texas	Investment Adviser Representative	Restricted Approval	06/11/2009
B	Utah	Agent	Approved	09/29/2020
B	Virginia	Agent	Approved	12/17/2024
B	Washington	Agent	Approved	03/03/2023
B	Wyoming	Agent	Approved	12/13/2024

### Branch Office Locations

#### MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED

23655 N SCOTTSDALE RD  
SCOTTSDALE, AZ 85255



## 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, 4 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
<b>B</b> Securities Industry Essentials Examination	SIE	10/01/2018
<b>B</b> Futures Managed Funds Examination	Series 31	02/07/1995
<b>B</b> AMEX Put and Call Exam	PC	08/15/1977
<b>B</b> General Securities Representative Examination	Series 7	07/19/1975

### State Securities Law Exams

Exam	Category	Date
<b>IA</b> Uniform Investment Adviser Law Examination	Series 65	06/18/1992
<b>B</b> Uniform Securities Agent State Law Examination	Series 63	01/23/1980

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 firms:

Registration Dates	Firm Name	CRD#	Branch Location
<b>IA</b> 10/2002 - 06/2009	WELLS FARGO ADVISORS, LLC	19616	SCOTTSDALE, AZ
<b>B</b> 05/2001 - 06/2009	WELLS FARGO ADVISORS, LLC	19616	SCOTTSDALE, AZ
<b>B</b> 07/1993 - 05/2001	SALOMON SMITH BARNEY INC.	7059	NEW YORK, NY
<b>B</b> 02/1988 - 07/1993	LEHMAN BROTHERS INC.	7506	NEW YORK, NY
<b>B</b> 04/1987 - 02/1988	E. F. HUTTON & COMPANY INC	235	
<b>B</b> 06/1986 - 04/1987	PAINEWEBBER INCORPORATED	8174	
<b>B</b> 04/1984 - 06/1985	WEDBUSH, NOBLE, COOKE, INC	877	
<b>B</b> 05/1978 - 05/1984	KIDDER, PEABODY & CO. INCORPORATED	7613	
<b>B</b> 08/1975 - 05/1978	KIDDER, PEABODY & CO., INCORPORATED	488	

### 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
12/2009 - Present	BANK OF AMERICA, N.A.	FINANCIAL ADVISOR	Y	SCOTTSDALE, AZ, United States
05/2009 - Present	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	FINANCIAL ADVISOR	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.

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## Registration and Employment History

### Other Business Activities, continued

FOR PROFIT OR NOT FOR PROFIT: FOR-PROFIT ORGANIZATION

NAME OF OUTSIDE BUSINESS ORGANIZATION: NEW FINANCIAL FRONTIERS LLC

INVESTMENT RELATED: N

ADDRESS OF BUSINESS:

CAREFREE, ARIZONA 85377

NATURE OF BUSINESS: LLC,

POSITION, TITLE, ASSOCIATION: OWNER,

START DATE OF RELATIONSHIP: 6/1/1999

NUMBER OF HOURS DEVOTED: 20 HOUR(S) QUARTERLY

NUMBER OF HOURS DEVOTED DURING TRADING HOURS: 0

DUTIES: KNOWLEDGE BASED INFORMATION, EDUCATION MATERIAL, PUBLICATIONS, SOFTWARE AND OTHER RELATED SERVICES TO THE PROFESSIONAL INVESTMENT MANAGEMENT CONSULTANT COMMUNITY.

VALLEY ICEPLEX PROFESSIONALS LLC, PARADIS VALLEY, AZ, MANAGEMENT COMPANY, OWNERSHIP IN THE COMPANY, 1996 TO PRESENT, 1 HR PER MONTH, NONE DURING TRADING, NO DUTIES.

I\*40459

FOR PROFIT OR NOT FOR PROFIT: NON-PROFIT ORGANIZATION

NAME OF OUTSIDE BUSINESS ORGANIZATION: BOTT MOTORSPORTS

INVESTMENT RELATED: N

ADDRESS OF BUSINESS:

CAREFREE, ARIZONA 85377

NATURE OF BUSINESS: FAMILY BUSINESS,

POSITION, TITLE, ASSOCIATION: FAMILY HELD,

START DATE OF RELATIONSHIP: 3/1/2005

NUMBER OF HOURS DEVOTED: 50 HOUR(S) QUARTERLY

NUMBER OF HOURS DEVOTED DURING TRADING HOURS: 0

DUTIES: FATHER/SON NON-PROFESSIONAL DRAG RACING TEAM. WE PARTICIPATE IN REGIONAL EVENTS FOR PRIZES AND CASH.

I\*70786

FOR PROFIT OR NOT FOR PROFIT: NON-PROFIT ORGANIZATION

NAME OF OUTSIDE BUSINESS ORGANIZATION: ACADEMY OF MODEL AERONAUTICS FOUNDATION

INVESTMENT RELATED: N

ADDRESS OF BUSINESS:

MUNCIE, INDIANA 47302

NATURE OF BUSINESS: CHARITABLE ORGANIZATION,

POSITION, TITLE, ASSOCIATION: DIRECTOR,

START DATE OF RELATIONSHIP: 4/11/2014

NUMBER OF HOURS DEVOTED: 5 HOUR(S) MONTHLY

NUMBER OF HOURS DEVOTED DURING TRADING HOURS: 0

DUTIES: THE AMA IS THE LEADING MEMBERSHIP ORGANIZATION THAT REPRESENTS AND SUPPORTS THE HOBBY AND THE BUSINESS OF MODEL AVIATION. THE FOUNDATION IS THE CHARITABLE ENTITY THAT PROVIDES FUNDING FOR AMA PROJECTS AND YOUTH

**Registration and Employment History**



**Other Business Activities, continued**  
SCHOLORSHIPS.

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## 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.
  -
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
Customer Dispute	0	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.

### 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:** Firm

**Employing firm when activities occurred which led to the complaint:** KIDDER, PEABODY & CO.

**Allegations:**

**Product Type:**

**Alleged Damages:** \$510,000.00

### Customer Complaint Information

**Date Complaint Received:**

**Complaint Pending?** No

**Status:** Litigation

**Status Date:**

**Settlement Amount:**

**Individual Contribution Amount:**

### Civil Litigation Information

**Court Details:** SUPERIOR; LOS ANGELES, CA; 442736

**Date Notice/Process Served:** 11/03/1981

**Litigation Pending?** No



**Disposition:** Settled

**Disposition Date:** 01/30/1986

**Monetary Compensation Amount:** \$42,500.00

**Individual Contribution Amount:** \$0.00

**Firm Statement** COMPLAINT BY CUSTOMER [CUSTOMER] (CALIFORNIA STATE SENATOR) AND HIS WIFE, [CUSTOMER]; FILED NOVEMBER 3, 1981, CLAIMING NEGLIGENCE AND BREACH OF FIDUCIARY DUTIES IN THEIR ACCOUNT. OPTIONS INVOLVED. ALLEGED DAMAGES OF \$510,000.00. DANIEL ROBERT BOTT NAMED AS THE RESPONDENT. SETTLED ON JANUARY 30, 1986 FOR \$42,500.00. MR. BOTT WAS AWARE OF THE SETTLEMENT CLAIM BY [CUSTOMER(S)] FOR \$42,500.00. MR. BOTT DID NOT PARTICIPATE IN THE SETTLEMENT OF THE ABOVE CLAIM. THE PLAINTIFFS IN THE SUIT ARE IMMEDIATE FAMILY MEMBERS.

**Reporting Source:** Broker

**Employing firm when activities occurred which led to the complaint:** KIDDER, PEABODY & CO.

**Allegations:**

**Product Type:**

**Alleged Damages:** \$40,000.00

### Customer Complaint Information

**Date Complaint Received:**

**Complaint Pending?** No

**Status:** Litigation

**Status Date:** 11/03/1981

**Settlement Amount:**

**Individual Contribution Amount:**

### Civil Litigation Information

**Court Details:** SUPERIOR; LOS ANGELES; 442736



**Date Notice/Process Served:** 11/03/1981

**Litigation Pending?** No

**Disposition:** Settled

**Disposition Date:**

**Monetary Compensation Amount:** \$40,000.00

**Individual Contribution Amount:** \$0.00

**Broker Statement**

CIVIL ACTION NO. 442736 FILED 11/3/81 IN THE SUPERIOR COURT OF LOS ANGELES BY [CUSTOMERS] VS. KIDDER, PEABODY & CO. AND DANIEL BOTT. COMPLAINT FOR DAMAGES, ALLEGING NEGLIGENCE, BREACH OF FIDUCIARY DUTY, FRAUD AND CONSTRUCTIVE TRUST. THE COMPLAINT ALLEGES THAT ON OR ABOUT APRIL 1981, PLAINTIFFS INVESTED WITH DEFENDANTS AND EACH OF THEM THE SUM OF \$100,000.00 FOR THE INVESTMENT OF SECURITIES; THAT ON OR ABOUT AUGUST THROUGH SEPTEMBER 1981, DEFENDANTS AND EACH OF THEM SO NEGLIGENTLY ENTRUSTED, MANAGED, MAINTAINED, MISAPPROPRIATED, AND SUPERVISED THEIR BUSINESS AS TO PROXIMATELY AND DIRECTLY CAUSE SAID AMOUNTS OF CAPITAL TO BE INVESTED IN INVESTMENTS OUTSIDE OF NORMAL AND BUSINESS GOOD JUDGMENT CAUSING LOSSES TO PLAINTIFFS. THE PLAINTIFFS SEEK JUDGMENT IN THE AMOUNT OF \$40,000.00 AND PUNITIVE DAMAGES OF \$100,000.00. \*\*\* KIDDER PEABODY & DANIEL BOTT FILED AN ANSWER TO COMPLAINT FOR DAMAGES IN THE ABOVE ACTION ASKING THAT PLAINTIFFS TAKE NOTHING BY THIS ACTION. IN FEBRUARY/MARCH 1986, PLAINTIFFS IN THE AFOREMENTIONED CIVIL COMPLAINT WITHDREW THE SUIT AND ARE NO LONGER SEEKING SETTLEMENT. ALL PARTIES HAVE CEASED ALL ACTIONS. THE ABOVE ACTION FILED BY [CUSTOMER] WAS SETTLED OUT OF COURT BY KIDDER, PEABODY FOR APPROXIMATELY \$40,000. BOTT WAS NOT AWARE OF THE SETTLEMENT UNTIL CONTACTED BY PAINWEBBER'S COMPLIANCE DEPARTMENT. BOTT WAS NOT INVOLVED IN ANY OF THE SETTLEMENT NEGOTIATIONS BETWEEN [CUSTOMER] AND KIDDER, PEABODY AND DID NOT CONTRIBUTE TO THE



SETTLEMENT. HE STATES THAT KIDDER, PEABODY ALWAYS MAINTAINED THAT THE SUIT WAS WITHOUT MERIT; [CUSTOMER] "MADE MOST DECISIONS ON WHAT TRANSACTIONS WERE TO BE DONE AND GAVE DISCRETION ON TRADING TO HIS SON, WHO COMMUNICATED WITH BOTH BOTT AND THE BRANCH MANAGER."

## End of Report



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