

BrokerCheck Report

FRANK WILLIAM DINGLE

CRD# 2776487

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Please be aware that fraudsters may link to BrokerCheck from phishing and similar scam websites, trying to steal your personal information or your money. Make sure you know who you're dealing with when investing, and contact FINRA with any concerns.

For more information read our [investor alert](#) on imposters.

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.



FRANK W. DINGLE

CRD# 2776487

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

IA RBC CAPITAL MARKETS, LLC
 225 SCHILLING CIRCLE
 SUITE 250
 HUNT VALLEY, MD 21031
 CRD# 31194
 Registered with this firm since: 03/13/2009

B RBC CAPITAL MARKETS, LLC
 225 SCHILLING CIRCLE
 SUITE 250
 HUNT VALLEY, MD 21031-1125
 CRD# 31194
 Registered with this firm since: 03/13/2009

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:

- 22 Self-Regulatory Organizations
- 35 U.S. states and territories

This broker has passed:

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

Registration History

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

- IA FERRIS, BAKER WATTS, LLC**
 CRD# 285
 MINNEAPOLIS, MN
 05/2001 - 03/2009
- B FERRIS, BAKER WATTS, LLC**
 CRD# 285
 BALTIMORE, MD
 06/1997 - 03/2009
- B LEGG MASON WOOD WALKER, INCORPORATED**
 CRD# 6555
 BALTIMORE, MD
 04/1997 - 06/1997

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 22 SROs and is licensed in 35 U.S. states and territories through his or her employer.

Employment 1 of 1

Firm Name: **RBC CAPITAL MARKETS, LLC**

Main Office Address: **3 WORLD FINANCIAL CENTER
200 VESEY ST.
NEW YORK, NY 10281**

Firm CRD#: **31194**

SRO	Category	Status	Date
B BOX Exchange LLC	General Securities Representative	Approved	05/11/2012
B Cboe BYX Exchange, Inc.	General Securities Representative	Approved	11/18/2020
B Cboe BZX Exchange, Inc.	General Securities Representative	Approved	11/18/2020
B Cboe C2 Exchange, Inc.	General Securities Representative	Approved	11/18/2020
B Cboe EDGA Exchange, Inc.	General Securities Representative	Approved	11/18/2020
B Cboe EDGX Exchange, Inc.	General Securities Representative	Approved	11/18/2020
B Cboe Exchange, Inc.	General Securities Representative	Approved	03/14/2009
B FINRA	General Securities Representative	Approved	03/13/2009
B Investors' Exchange LLC	General Securities Representative	Approved	11/18/2020
B Long-Term Stock Exchange, Inc.	General Securities Representative	Approved	11/01/2020
B MEMX LLC	General Securities Representative	Approved	11/01/2020
B MIAX PEARL, LLC	General Securities Representative	Approved	11/01/2020
B NYSE American LLC	General Securities Representative	Approved	03/14/2009
B NYSE Arca, Inc.	General Securities Representative	Approved	03/13/2009
B NYSE Chicago, Inc.	General Securities Representative	Approved	11/18/2020



Broker Qualifications

Employment 1 of 1, continued

SRO	Category	Status	Date
B NYSE National, Inc.	General Securities Representative	Approved	11/18/2020
B Nasdaq BX, Inc.	General Securities Representative	Approved	03/14/2009
B Nasdaq GEMX, LLC	General Securities Representative	Approved	11/18/2020
B Nasdaq ISE, LLC	General Securities Representative	Approved	03/14/2009
B Nasdaq PHLX LLC	General Securities Representative	Approved	03/14/2009
B Nasdaq Stock Market	General Securities Representative	Approved	03/13/2009
B New York Stock Exchange	General Securities Representative	Approved	03/13/2009

U.S. State/ Territory	Category	Status	Date
B Alabama	Agent	Approved	10/06/2011
B Arizona	Agent	Approved	10/06/2011
B California	Agent	Approved	03/13/2009
B Colorado	Agent	Approved	03/13/2009
B Connecticut	Agent	Approved	03/13/2009
B Delaware	Agent	Approved	03/13/2009
B District of Columbia	Agent	Approved	03/13/2009
B Florida	Agent	Approved	03/13/2009
B Georgia	Agent	Approved	03/13/2009
B Hawaii	Agent	Approved	10/06/2011
B Illinois	Agent	Approved	03/13/2009
B Indiana	Agent	Approved	03/13/2009
B Kentucky	Agent	Approved	01/20/2010



Broker Qualifications

Employment 1 of 1, continued

	U.S. State/ Territory	Category	Status	Date
B	Louisiana	Agent	Approved	03/13/2009
B	Maine	Agent	Approved	07/28/2011
B	Maryland	Agent	Approved	03/13/2009
IA	Maryland	Investment Adviser Representative	Approved	03/13/2009
B	Massachusetts	Agent	Approved	03/13/2009
B	Minnesota	Agent	Approved	03/13/2009
B	Mississippi	Agent	Approved	03/15/2021
B	New Jersey	Agent	Approved	03/13/2009
B	New York	Agent	Approved	03/13/2009
B	North Carolina	Agent	Approved	03/13/2009
B	Ohio	Agent	Approved	03/13/2009
B	Oregon	Agent	Approved	03/13/2009
B	Pennsylvania	Agent	Approved	03/13/2009
B	Rhode Island	Agent	Approved	10/06/2011
B	South Carolina	Agent	Approved	03/13/2009
B	Texas	Agent	Approved	03/13/2009
IA	Texas	Investment Adviser Representative	Restricted Approval	02/05/2015
B	Utah	Agent	Approved	07/29/2022
B	Vermont	Agent	Approved	03/13/2009
B	Virgin Islands	Agent	Approved	03/16/2017
IA	Virgin Islands	Investment Adviser Representative	Approved	03/23/2017



Broker Qualifications

Employment 1 of 1, continued

	U.S. State/ Territory	Category	Status	Date
B	Virginia	Agent	Approved	03/13/2009
B	Washington	Agent	Approved	03/13/2009
B	West Virginia	Agent	Approved	10/14/2011
B	Wyoming	Agent	Approved	06/15/2022

Branch Office Locations

RBC CAPITAL MARKETS, LLC
225 SCHILLING CIRCLE
SUITE 250
HUNT VALLEY, MD 21031-1125



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.

This individual has passed 0 principal/supervisory exams, 3 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 Securities Industry Essentials Examination	SIE	10/01/2018
B Futures Managed Funds Examination	Series 31	05/23/2005
B General Securities Representative Examination	Series 7	04/04/1997

State Securities Law Exams

Exam	Category	Date
IA Uniform Investment Adviser Law Examination	Series 65	02/27/2001
B Uniform Securities Agent State Law Examination	Series 63	12/16/1997

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
IA 05/2001 - 03/2009	FERRIS, BAKER WATTS, LLC	285	BALTIMORE, MD
B 06/1997 - 03/2009	FERRIS, BAKER WATTS, LLC	285	BALTIMORE, MD
B 04/1997 - 06/1997	LEGG MASON WOOD WALKER, INCORPORATED	6555	BALTIMORE, MD

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
10/2018 - Present	City National Bank	Employee of an affiliate	Y	Baltimore, MD, United States
03/2009 - Present	RBC CAPITAL MARKETS , LLC	FINANCIAL ADVISOR	Y	BALTIMORE, MD, 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.

(1) SCHOOL OF THE CATHEDRAL OF MARY OUR QUEEN; ADDRESS: 111 AMBERLY WAY BALTIMORE, MD 21210; BUSINESS DESCRIPTION: K-8 PAROCHIAL SCHOOL; NOT INVESTMENT RELATED; START DATE: 09/09/2014; CAPACITY: BOARD OF DIRECTORS; DUTIES: ADVISORY BOARD TO BOTH THE RECTOR AND THE PRINCIPAL OF THE SCHOOL; HOURS DEVOTED PER WEEK: .50; HOURS DEVOTED DURING SECURITIES HOURS PER WEEK: 0

(2) CATHOLIC COMMUNITY FOUNDATION OF THE ARCHDIOCESE OF BALTIMORE; ADDRESS: 320 CATHEDRAL STREET BALTIMORE, MD 2120; BUSINESS DESCRIPTION: FOUNDATION EXISTS TO PROVIDE FINANCIAL SUPPORT TO SECURE THE FUTURE OF PARISH; NOT INVESTMENT RELATED; START DATE: 06/03/2015; CAPACITY: COMMITTEE/COUNCIL MEMBER; DUTIES: INVESTMENT COMMITTEE- ATTEND QUARTERLY MEETINGS/CONFERENCE CALLS TO REVIEW THE PERFORMANCE OF THE CCF ENDOWMENT FUND & MONITOR THE MANAGEMENT OF THE FUNDS PER THE DIRECTION OF THE BOARD OF TRUSTEES; HOURS DEVOTED PER WEEK: 1; HOURS DEVOTED DURING SECURITIES HOURS PER WEEK: 0

Registration and Employment History



End of Report



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