IAPD Report

DANIEL R LEVENE

CRD# 1134801

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.

IAPD Information About Representatives

IAPD offers information on all current-and many former representatives. Investors are strongly encouraged to use IAPD to check the background of representatives before deciding to conduct, or continue to conduct, business with them.

What is included in a IAPD report?

IAPD reports for individual representatives include information such as employment history, professional qualifications, disciplinary actions, criminal convictions, civil judgments and arbitration awards.

It is important to note that the information contained in an IAPD 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 representative, or concluded through a negotiated settlement with no admission or finding of wrongdoing.

Where did this information come from?

The information contained in IAPD comes from the Investment Adviser Registration Depository (IARD) and FINRA's Central Registration Depository, or CRD, (see more on CRD below) and is a combination of:

- information the states require representatives and firms to submit as part of the registration and licensing process, and
- information that state regulators report regarding disciplinary actions or allegations against representatives.

How current is this information?

Generally, representatives are required to update their professional and disciplinary information in IARD within 30 days.

Need help interpreting this report?

For help understanding how to read this report, please consult NASAA's IAPD Tips page http://www.nasaa.org/IAPD/IARReports.cfm

What if I want to check the background of an Individual Broker or Brokerage Firm?

To check the background of an Individual Broker or Brokerage firm, you can search for the firm or individual in IAPD. If your search is successful, click on the link provided to view the available licensing and registration information in FINRA's BrokerCheck website.

Are there other resources I can use to check the background of investment professionals?

It is recommended that you learn as much as possible about an individual representative or Investment Adviser firm before deciding to work with them. Your state securities regulator can help you research individuals and certain firms doing business in your state. The contact information for state securities regulators can be found on the website of the North American Securities Administrators Association http://www.nasaa.org

Report Summary

DANIEL R LEVENE (CRD# 1134801)

The report summary provides an overview of the representative's professional background and conduct. The information contained in this report has been provided by the representative, investment adviser and/or securities firms, and/or securities regulators as part of the states' investment adviser registration and licensing process. The information contained in this report was last updated by the representative, a previous employing firm, or a securities regulator on **07/15/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	FIDELITY BROKERAGE SERVICES LLC	CRD# 7784	01/17/2022
IA	STRATEGIC ADVISERS LLC	CRD# 104555	03/31/2025

QUALIFICATIONS

This representative is currently registered in **2** SRO(s) and **6** jurisdiction(s).

Is this representative currently Inactive or Suspended with any regulator? **No**

Note: Not all jurisdictions require IAR registration or may have an exemption from registration.
Additional information including this individual's qualification examinations and professional designations is available in the Detailed Report.

REGISTRATION HISTORY

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

	FIRM	CRD#	LOCATION	REGISTRATION DATES
IA	FIDELITY PERSONAL AND WORKPLACE ADVISORS	288590	BOCA RATON, FL	02/18/2022 - 03/31/2025
IA	BENCHMARK FINANCIAL WEALTH ADVISORS LLC	287966	BOCA RATON, FL	05/12/2021 - 12/04/2021
IA	FIDELITY PERSONAL AND WORKPLACE ADVISORS	288590	BOCA RATON, FL	07/13/2018 - 02/03/2021

For additional registration and employment history details as reported by the individual, refer to the Registration and Employment History section of the Detailed Report.

DISCLOSURE INFORMATION

Disclosure events include certain criminal charges and convictions, formal investigations and disciplinary actions initiated by regulators, customer disputes and arbitrations, and financial disclosures such as bankruptcies and unpaid judgments or liens.

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

The following types of events are disclosed about this representative:

Type	Count
Customer Dispute	1
Financial	1

Qualifications

REGISTRATIONS

This section provides the SRO, states and U.S. territories in which the representative is currently registered and licensed, the category of each registration, and the date on which the registration becomes effective. This section also provides, for each firm with which the representative is currently employed, the address of each location where the representative works.
This individual is currently registered with **6** jurisdiction(s) and 2 SRO(s) through his or her employer(s).

Employment 1 of 2

Firm Name: **FIDELITY BROKERAGE SERVICES LLC**

Main Address: 900 SALEM STREET
SMITHFIELD, RI 02917

Firm ID#: 7784

	Regulator	Registration	Status	Date
B	FINRA	General Securities Principal	Approved	01/17/2022
B	FINRA	General Securities Representative	Approved	01/17/2022
B	FINRA	General Securities Sales Supervisor	Approved	03/08/2022
B	New York Stock Exchange	General Securities Principal	Approved	01/17/2022
B	New York Stock Exchange	General Securities Representative	Approved	01/17/2022
B	New York Stock Exchange	General Securities Sales Supervisor	Approved	03/08/2022
B	Florida	Agent	Approved	01/17/2022
B	Massachusetts	Agent	Approved	01/17/2022
B	South Carolina	Agent	Approved	01/12/2026
B	Texas	Agent	Approved	01/17/2022
B	Utah	Agent	Approved	05/19/2025
B	Washington	Agent	Approved	07/02/2026

Branch Office Locations

Qualifications

FIDELITY BROKERAGE SERVICES, LLC
1400 GLADES ROAD, SUITE 180
BOCA RATON, FL 33431

FIDELITY BROKERAGE SERVICES, LLC
DELRAY BEACH, FL

Employment 2 of 2

Firm Name: **STRATEGIC ADVISERS LLC**

Main Address: 155 SEAPORT BLVD
BOSTON, MA 02210-2698

Firm ID#: 104555

	Regulator	Registration	Status	Date
IA	Florida	Investment Adviser Representative	Approved	03/31/2025
IA	Texas	Investment Adviser Representative	Restricted Approval	03/31/2025

Branch Office Locations

STRATEGIC ADVISERS LLC
1400 GLADES ROAD
SUITE 180
BOCA RATON, FL 33431-6457

STRATEGIC ADVISERS LLC
DELRAY BEACH, FL

Qualifications

PASSED INDUSTRY EXAMS

This section includes all industry exams that the representative has passed. Under limited circumstances, a representative may attain registration after receiving an exam waiver based on a combination of exams the representative has passed and qualifying work experience. Likewise a new exam requirement may be grandfathered based on a representative's specific qualifying work experience. Exam waivers and grandfathering are not included below.

This individual has passed 6 principal/supervisory exams, 4 general industry/product exams, and 2 state securities law exams.

Principal/Supervisory Exams

	Exam	Category	Date
B	General Securities Sales Supervisor - Options Module Examination (S9)	Series 9	01/02/2023
B	General Securities Sales Supervisor - General Module Examination (S10)	Series 10	01/02/2023
B	Registered Options Principal Examination (S4)	Series 4	06/22/1998
B	Municipal Securities Principal Examination (S53)	Series 53	03/17/1998
B	General Securities Principal Examination (S24)	Series 24	01/15/1998
B	General Securities Sales Supervisor Examination (Options Module & General Module) (S8)	Series 8	07/11/1994

General Industry/Product Exams

	Exam	Category	Date
B	Municipal Securities Representative Examination (S52TO)	Series 52TO	01/02/2023
B	Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
B	National Commodity Futures Examination (S3)	Series 3	01/13/1994
B	General Securities Representative Examination (S7)	Series 7	04/16/1992

State Securities Law Exams

	Exam	Category	Date
IA	Uniform Investment Adviser Law Examination (S65)	Series 65	08/03/2005

Qualifications

PASSED INDUSTRY EXAMS

State Securities Law Exams

	Exam	Category	Date
B	Uniform Securities Agent State Law Examination (S63)	Series 63	04/21/1992

PROFESSIONAL DESIGNATIONS

This section details that the representative has reported **0** professional designation(s).

No information reported.

Only professional designations listed in Question 8 of the Form U4 will appear in this section if the appropriate box is checked and verified by the issuing organization at the time of the filing. Learn more about eligible designations at IARD and NASAA.

User Guidance

www.adviserinfo.sec.gov

Registration & Employment History

PREVIOUSLY REGISTERED WITH THE FOLLOWING FIRMS

This representative held registrations with the following firms:

	Registration Dates	Firm Name	ID#	Branch Location
IA	02/18/2022 - 03/31/2025	FIDELITY PERSONAL AND WORKPLACE ADVISORS	CRD# 288590	BOCA RATON, FL
IA	05/12/2021 - 12/04/2021	BENCHMARK FINANCIAL WEALTH ADVISORS LLC	CRD# 287966	BOCA RATON, FL
IA	07/13/2018 - 02/03/2021	FIDELITY PERSONAL AND WORKPLACE ADVISORS	CRD# 288590	BOCA RATON, FL
B	08/13/2014 - 02/02/2021	FIDELITY BROKERAGE SERVICES LLC	CRD# 7784	BOCA RATON, FL
IA	08/26/2014 - 07/13/2018	STRATEGIC ADVISERS LLC	CRD# 104555	MISSION VIEJO, CA
IA	01/13/2014 - 08/12/2014	HANSON MCCLAIN ADVISORS	CRD# 111167	SACRAMENTO, CA
B	01/13/2014 - 01/29/2014	HANSON MCCLAIN SECURITIES	CRD# 103747	FOLSOM, CA
IA	03/01/2013 - 01/09/2014	PATHWAY STRATEGIC ADVISORS	CRD# 158395	FOLSOM, CA
B	04/29/2013 - 12/31/2013	ALPS DISTRIBUTORS, INC.	CRD# 16853	FOLSOM, CA
IA	08/10/2012 - 09/20/2012	VICTORY ADVISORS LLC	CRD# 164837	BOCA RATON, FL
IA	07/30/2010 - 08/24/2012	BROKERSXPRESS LLC	CRD# 127081	BOCA RATON, FL
B	07/21/2010 - 08/24/2012	BROKERSXPRESS LLC	CRD# 127081	BOCA RATON, FL
IA	08/09/2005 - 04/12/2010	JHS CAPITAL ADVISORS, INC.	CRD# 112097	BOCA RATON, FL
B	06/08/2004 - 04/12/2010	JHS CAPITAL ADVISORS, INC.	CRD# 112097	BOCA RATON, FL
B	04/06/2006 - 08/03/2007	POINTE ATLANTIC	CRD# 46599	BOCA RATON, FL

Registration & Employment History

PREVIOUSLY REGISTERED WITH THE FOLLOWING FIRMS

This representative held registrations with the following firms:

	Registration Dates	Firm Name	ID#	Branch Location
B	11/21/2006 - 01/03/2007	GREAT EASTERN SECURITIES, INC.	CRD# 2061	NEW YORK, NY
B	02/09/2006 - 02/17/2006	SALOMON GREY FINANCIAL CORPORATION	CRD# 43413	DALLAS, TX
IA	02/09/2006 - 02/17/2006	SALOMON GREY FINANCIAL CORPORATION	CRD# 43413	BOCA RATON, FL
B	06/01/2005 - 11/11/2005	STERLING FINANCIAL INVESTMENT GROUP, INC.	CRD# 41506	BOCA RATON, FL
B	08/21/2003 - 04/19/2004	STERLING FINANCIAL INVESTMENT GROUP, INC.	CRD# 41506	BOCA RATON, FL
B	07/30/2002 - 08/28/2003	UBS FINANCIAL SERVICES INC.	CRD# 8174	WEEHAWKEN, NJ
IA	07/19/2002 - 08/06/2002	DEUTSCHE BANK SECURITIES INC.	CRD# 2525	NEW YORK, NY
B	01/13/2001 - 08/06/2002	DEUTSCHE BANK SECURITIES INC.	CRD# 2525	NEW YORK, NY
B	09/22/2000 - 01/13/2001	DB ALEX. BROWN LLC	CRD# 17790	BALTIMORE, MD
B	03/31/1999 - 09/14/2000	JWGENESIS SECURITIES, INC.	CRD# 33832	BOCA RATON, FL
B	11/06/1997 - 04/01/1999	STANFORD GROUP COMPANY	CRD# 39285	HOUSTON, TX
B	06/30/1992 - 11/19/1997	PRUDENTIAL SECURITIES INCORPORATED	CRD# 7471	NEW YORK, NY
B	04/20/1992 - 06/30/1992	GREENWAY CAPITAL CORP.	CRD# 25152	NEW YORK CITY, NY

EMPLOYMENT HISTORY

Below is the representative's employment history for up to the last 10 years.

Employment Dates	Employer Name	Position	Investment Related	Employer Location
03/2025 - Present	Fidelity Investments	Mass Transfer	Y	BOSTON, MA, United States
12/2021 - Present	FIDELITY INVESTMENTS	SENIOR SERVICE SUPPORT	Y	BOCA RATON, FL, United States

Registration & Employment History

EMPLOYMENT HISTORY

Employment Dates	Employer Name	Position	Investment Related	Employer Location
		SPECIALIST		
05/2021 - 12/2021	Benchmark Financial Wealth Advisors LLC	SENIOR PORTFOLIO ADVISOR	Y	Boca Raton, FL, United States
07/2018 - 02/2021	FIDELITY PERSONAL AND WORKPLACE ADVISORS	Mass Transfer	Y	BOSTON, MA, United States
08/2014 - 07/2018	FIDELITY BROKERAGE SERVICES LLC	ACCOUNT EXECUTIVE	Y	HILTON HEAD, SC, United States

OTHER BUSINESS ACTIVITIES

This section includes information, if any, as provided by the representative regarding other business activities the representative 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 Summary

Disclosure Information

What you should know about reported disclosure events:

(1) Certain thresholds must be met before an event is reported to IARD, for example:

- A law enforcement agency must file formal charges before an Investment Adviser Representative is required to report a particular criminal event.;
- A customer dispute must involve allegations that an Investment Adviser Representative engaged in activity that violates certain rules or conduct governing the industry and that the activity resulted in damages of at least $5,000.

(2) Disclosure events in IAPD reports come from different sources:

As mentioned in the "About IAPD" section on page 1 of this report, information contained in IAPD comes from Investment Adviser Representatives, 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 IAPD report. The different versions will be separated by a solid line with the reporting source labeled.

(3) There are different statuses and dispositions for disclosure events:

- A disclosure event may have a status of *pending, on appeal,* or *final*.
  - A "pending" disclosure event involves allegations that have not been proven or formally adjudicated.
  - A disclosure event that is "on appeal" involves allegations that have been adjudicated but are currently being appealed.
  - A "final" disclosure event has been concluded and its resolution is not subject to change.
- A final disclosure 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 represents a disposition wherein the parties involved in a dispute reach an agreement to resolve the matter. Please note that Investment Adviser Representatives and firms may choose to settle customer disputes or regulatory matters for business or other reasons.
  - A "resolved" matter usually includes a disposition wherein no payment is made to the customer or there is no finding of wrongdoing on the part of the Investment Adviser Representative. Such matters generally involve customer disputes.

(4) You may wish to contact the Investment Adviser Representatives to obtain further information regarding any of the disclosure events contained in this IAPD report.

DISCLOSURE EVENT DETAILS

When evaluating this information, please keep in mind that some items may involve pending actions or allegations that may be contested and have not been resolved or proven. The event may, in the end, be withdrawn, dismissed, resolved in favor of the Investment Adviser Representative, or concluded through a negotiated settlement with no admission or finding of wrongdoing.

This report provides the information exactly as it was reported to the Investment Adviser Registration Depository. Some of the specific data fields contained in the report may be blank if the information was not provided.

The following types of events are disclosed about this representative:

Type	Count
Customer Dispute	1
Financial	1

Customer Dispute

This section provides information regarding a customer dispute that was reported to the Investment Adviser Registration Depository (IARD) by the Investment Adviser Representative (IAR), an investment adviser and/or securities firm, and/or a securities regulator. The event may include a consumer-initiated, investment-related complaint, arbitration proceeding or civil suit that contains allegations of sales practice violations against the individual.

The customer dispute may be pending or may have resulted in a civil judgment, arbitration award, monetary settlement, closure without action, withdrawal, dismissal, denial, or other outcome.

Disclosure 1 of 1

Reporting Source:	Firm
Employing firm when activities occurred which led to the complaint:	JW GENESIS SECURITIES, INC
Allegations:	FLORIDA CLIENTS CLAIM THAT THEY WERE MISREPRESENTED REGARDING TAKING THEIR VARIABLE ANNULLY INVESTMENTS IN JULY 1999. CLIENT CLAIM DAMAGES OF $77,708.57.
Product Type:	Annuity(ies) - Variable
Alleged Damages:	$77,709.00

Customer Complaint Information

Date Complaint Received:	04/30/2003
Complaint Pending?	No
Status:	Denied
Status Date:	05/29/2003
Settlement Amount:	
Individual Contribution Amount:	
Firm Statement	CLAIM DENIED. ADVISOR THOROUGHLY EXPLAINED THE VARIABLE ANNUITY'S BENEFITS, RISKS AND FEES TO THE CLIENTS BEFORE THEY MADE THEIR INVESTMENTS. IN ADDITION, THE VARIABLE ANNUITIES WERE CONSISTENT WITH THE OBJECTIVES AND GOALS THAT THE

CLIENTS PRESENTED TO THEIR ADVISOR.

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	JW GENESIS SECURITIES INC.
Allegations:	CLIENTS CLAIM THAT THEY WERE MISREPRESENTED TAKING THEIR VARIABLE ANNUITY INVESTMENTS IN JULY 1999.
Product Type:	Annuity(ies) - Variable
Alleged Damages:	$77,709.00

Customer Complaint Information

Date Complaint Received:	04/30/2003
Complaint Pending?	No
Status:	Denied
Status Date:	05/29/2003
Settlement Amount:	
Individual Contribution Amount:	
Broker Statement	CLAIM DENIED. ADVISOR THOROUGHLY EXPLAINED THE VARIABLE ANNUITY'S BENEFITS, RISKS AND FEES TO THE CLIENTS BEFORE THEY MADE THEIR INVESTMENTS. IN ADDITION, THE VARIABLE ANNUITIES WERE CONSISTENT WITH THE OBJECTIVES AND GOALS THAT THE CLIENTS PRESENTED TO THEIR ADVISOR.

Financial

This disclosure event involves a final bankruptcy, compromise with one or more creditors, or Securities Investor Protection Corporation liquidation that occurred within the last 10 years and that involved the Investment Adviser Representative or an organization/investment adviser that the Investment Adviser Representative controlled that occurred within the last 10 years.

Disclosure 1 of 1

Reporting Source:	Individual
Action Type:	Compromise
Action Date:	04/05/2022
Organization Investment-Related?	
Action Pending?	No
Disposition:	Settled
Disposition Date:	10/15/2023
If a compromise with creditor, provide:	
Name of Creditor:	Lending Point LLC
Original Amount Owed:	$24,886.66
Terms Reached with Creditor:	Paid $12438.00 (Payment plan) to settle the account.

End of Report

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