



IAPD Report

DANIEL ALAN SCHWENKER

CRD# 1140295

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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 ALAN SCHWENKER (CRD# 1140295)

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 **09/16/2025**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
IA	D.A. SCHWENKER & ASSOC.'S, INC.	CRD# 119746	01/01/2000

QUALIFICATIONS

This representative is currently registered in **0** SRO(s) and **2** 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
B	FSC SECURITIES CORPORATION	7461	ATLANTA, GA	12/22/1990 - 06/28/1999
B	KEOGLER, MORGAN & COMPANY, INC.	16546	ATLANTA, GA	04/06/1988 - 09/14/1990
B	AMERICAN CAPITAL EQUITIES, INC.	13272	ATLANTA, GA	05/05/1986 - 04/05/1988

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
Regulatory Event	1
Civil Event	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 **2** jurisdiction(s) and **0** SRO(s) through his or her employer(s).

Employment 1 of 1

Firm Name: **D.A. SCHWENKER & ASSOC.'S, INC.**
Main Address: 226 POWDERHORN DR.
PAGOSA SPRINGS, CO 81147
Firm ID#: 119746

	Regulator	Registration	Status	Date
IA	Colorado	Investment Adviser Representative	Approved	02/22/2026
IA	Ohio	Investment Adviser Representative	Approved	01/01/2000

Branch Office Locations

D.A. SCHWENKER & ASSOC.'S, INC.
6797 N. HIGH STREET
SUITE 210
WORTHINGTON, OH 43085



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 3 principal/supervisory exams, 1 general industry/product exam, and 1 state securities law exam.

Principal/Supervisory Exams

Exam	Category	Date
Registered Options Principal Examination (S4)	Series 4	07/28/1986
Municipal Securities Principal Examination (S53)	Series 53	06/27/1986
General Securities Principal Examination (S24)	Series 24	05/23/1986

General Industry/Product Exams

Exam	Category	Date
General Securities Representative Examination (S7)	Series 7	06/18/1983

State Securities Law Exams

Exam	Category	Date
Uniform Securities Agent State Law Examination (S63)	Series 63	07/06/1983

PROFESSIONAL DESIGNATIONS

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

No information reported.



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	12/22/1990 - 06/28/1999	FSC SECURITIES CORPORATION	CRD# 7461	ATLANTA, GA
B	04/06/1988 - 09/14/1990	KEOGLER, MORGAN & COMPANY, INC.	CRD# 16546	ATLANTA, GA
B	05/05/1986 - 04/05/1988	AMERICAN CAPITAL EQUITIES, INC.	CRD# 13272	
B	10/08/1985 - 03/17/1986	MUTUAL SERVICE CORPORATION	CRD# 4806	
B	10/01/1984 - 09/17/1985	SMITH BARNEY, HARRIS UPHAM & CO., INCORPORATED	CRD# 7059	
B	06/22/1983 - 10/17/1984	E. F. HUTTON & COMPANY INC	CRD# 235	

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
02/1993 - Present	D.A. SCHWENKER & ASSOCIATES, INC.	PRESIDENT/OWNER	Y	WORTHINGTON, OH, 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
Regulatory Event	1
Civil Event	1

Regulatory Event

This disclosure event may include a final, formal proceeding initiated by a regulatory authority (e.g., a state securities agency, a federal regulator such as the Securities and Exchange Commission or the Commodities Futures Trading Commission, or a foreign financial regulatory body) for a violation of investment-related rules or regulations. This disclosure event may also include a revocation or suspension of an Investment Adviser Representative's authority to act as an attorney, accountant or federal contractor.

Disclosure 1 of 1

Reporting Source: Regulator

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

Sanction(s) Sought:

Other Sanction(s) Sought:

Date Initiated: 02/19/1988

Docket/Case Number: CLE-326

Employing firm when activity occurred which led to the regulatory action: BAKER & GETTY FINANCIAL

Product Type:

Other Product Type(s):

Allegations:

Current Status: Final

Resolution: Consent

Resolution Date: 01/26/1989

Sanctions Ordered: Censure
Monetary/Fine \$2,000.00

Other Sanctions Ordered:

Sanction Details:

**Regulator Statement**

COMPLAINT NO. CLE-326 FILED FEBRUARY 19, 1988 BY DISTRICT NO. 9 AGAINST RESPONDENT DANIEL ALAN SCHWENKER ALLEGING VIOLATIONS OF ARTICLE III, SECTIONS 1 AND 40 OF THE RULES OF FAIR PRACTICE IN THAT RESPONDENT SCHWENKER ENGAGED IN PRIVATE SECURITIES TRANSACTIONS AND FAILED TO PROVIDE TO HIS EMPLOYER-MEMBER WRITTEN NOTIFICATION DESCRIBING IN DETAIL THE PROPOSED TRANSACTIONS.

DECISION RENDERED JANUARY 26, 1989, WHEREIN THE OFFER OF SETTLEMENT SUBMITTED BY RESPONDENT SCHWENKER WAS ACCEPTED; THEREFORE, HE IS CENSURED AND FINED \$2,000.00.
\$2,000 PAID 5/23/89

Reporting Source: Individual

Regulatory Action Initiated By: NASD

Sanction(s) Sought: Censure

Other Sanction(s) Sought:

Date Initiated: 11/01/1986

Docket/Case Number: NASD COMPLAINT NO. CLE-326

Employing firm when activity occurred which led to the regulatory action: BAKER & GETTY FINANCIAL

Product Type: Equity Listed (Common & Preferred Stock)

Other Product Type(s):

Allegations: CENSURE & FINED \$2000.00 BY NASD FOR VIOLATIONS OF ARTICLE III SECTIONS 1 AND 40; RULES OF FAIR PRACTICE. NO SUSPENSIONS OR RESTRICTIONS. TRADING AWAY.

Current Status: Final

Resolution: Consent

Resolution Date: 01/26/1989

Sanctions Ordered: Censure
Monetary/Fine \$2,000.00

Other Sanctions Ordered:

Sanction Details: CENSURED & FINED \$2000.00. NO SUSPENSIONS OR RESTRICTIONS.

Broker Statement

ONE YEAR AFTER BEING HIRED BY BAKER & GETTY FINIL (B&G) I BECAME AWARE OF A PROBLEM. I SOUGHT COUNSEL AND DECIDED TO TAKE THIS INFO. TO THE NASD. IT WAS DETERMINED THAT MY EMPLOYER WAS ENGAGING IN THE SALE OF NON-EXISTENT SECURITIES. I HAD ALSO GIVEN MY EMPLOYER PERSONAL FUNDS (\$23,000) FOR THESE TRANSACTIONS AND EARNED A FINDERS FEE (COMMISSION). AT THAT POINT I DID NOT REALIZE MY ERROR UNDER ARTICLE III. I AM FULLY AWARE NOW AND HAVE MADE EVERY EFFORT TO KEEP ABREAST OF ALL THOSE RULES WHICH I OPPERATE UNDER.



Civil Event

This disclosure event involves an injunction issued by a foreign or domestic court in connection with investment-related activity, a finding by a domestic or foreign court of a violation of any investment-related statute or regulation, or an action dismissed by a domestic or foreign court pursuant to a settlement agreement.

Disclosure 1 of 1

Reporting Source:	Individual
Initiated By:	NASD
Relief Sought:	Other
Other Relief Sought:	CENSURED AND FINED \$2,000.00
Date Court Action Filed:	11/01/1986
Product Type:	Equity Listed (Common & Preferred Stock)
Other Product Types:	
Court Details:	U.S. BANKRUPTCY COURT, NORTHERN DISTRICT OF OHIO, B87-00074-Y
Employing firm when activity occurred which led to the action:	BAKER & GETTY DIVERSIFIED, INC
Allegations:	INVOLUNTARY PETITION OF BANKRUPTCY. IT WAS DETERMINED AN INDIVIDUAL HAD CREATED A PONZI SCHEME WITH SOME INVESTORS.
Current Status:	Final
Resolution:	Judgment Rendered
Resolution Date:	07/11/1988
Sanctions Ordered or Relief Granted:	Censure Monetary/Fine \$2,000.00
Other Sanctions:	
Sanction Details:	CENSURED AND FINED \$2000 FOR VIOLATION OF NASD ARTICLE III, SECTIONS 1 AND 40, OF THE RULES OF FAIR PRACTICE. NO SUSPENSIONS OR RESTRICTIONS.
Broker Statement	THIS COURT CASE DETERMINED THAT AN INDIVIDUAL OF THE FIRM HAD CONCOCTED A PONZI SCHEME BY SELLING NON-EXISTENT SECURITIES.



End of Report

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