IAPD Report

Daniel Edward Gooding

CRD# 1251700

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 Edward Gooding (CRD# 1251700)

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 **03/05/2025**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	ONEAMERICA SECURITIES, INC.	CRD# 4173	08/02/2024
IA	ONEAMERICA SECURITIES, INC.	CRD# 4173	08/05/2024

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **4** 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	GROVE POINT ADVISORS, LLC	313171	Huntington, WV	04/01/2021 - 07/17/2024
B	GROVE POINT INVESTMENTS, LLC	1763	Huntington, WV	06/04/1993 - 07/17/2024
IA	H. BECK, INC.	1763	Huntington, WV	02/09/1998 - 04/01/2021

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
Regulatory Event	1
Customer Dispute	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 **4** jurisdiction(s) and 1 SRO(s) through his or her employer(s).

Employment 1 of 1

Firm Name: **ONEAMERICA SECURITIES, INC.**

Main Address: ONE AMERICAN SQUARE
INDIANAPOLIS, IN 46282

Firm ID#: 4173

	Regulator	Registration	Status	Date
B	FINRA	General Securities Principal	Approved	08/02/2024
B	FINRA	General Securities Representative	Approved	08/02/2024
B	Georgia	Agent	Approved	12/05/2024
IA	Georgia	Investment Adviser Representative	Approved	12/05/2024
B	New Jersey	Agent	Approved	10/07/2024
IA	New Jersey	Investment Adviser Representative	Approved	10/07/2024
B	Virginia	Agent	Approved	03/10/2025
B	West Virginia	Agent	Approved	08/02/2024
IA	West Virginia	Investment Adviser Representative	Approved	08/05/2024

Branch Office Locations

ONEAMERICA SECURITIES, INC.
Huntington, WV

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

Principal/Supervisory Exams

	Exam	Category	Date
B	General Securities Principal Examination (S24)	Series 24	08/02/1985
B	Direct Participation Programs Principal Examination (S39)	Series 39	04/26/1984

General Industry/Product Exams

	Exam	Category	Date
B	Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
B	General Securities Representative Examination (S7)	Series 7	03/16/1985
B	Direct Participation Programs Representative Examination (S22)	Series 22	04/16/1984

State Securities Law Exams

	Exam	Category	Date
B	Uniform Securities Agent State Law Examination (S63)	Series 63	04/25/1985

PROFESSIONAL DESIGNATIONS

This section details that the representative has reported **1** professional designation(s).

Certified Financial Planner

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.

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	04/01/2021 - 07/17/2024	GROVE POINT ADVISORS, LLC	CRD# 313171	Huntington, WV
B	06/04/1993 - 07/17/2024	GROVE POINT INVESTMENTS, LLC	CRD# 1763	Huntington, WV
IA	02/09/1998 - 04/01/2021	H. BECK, INC.	CRD# 1763	Huntington, WV
B	10/28/1985 - 06/07/1993	ANDOVER SECURITIES, INC.	CRD# 16903	KANSAS CITY, MO
B	09/30/1985 - 11/12/1985	BEACH SECURITIES, INC.	CRD# 13380	
B	03/19/1985 - 11/07/1985	VANDERBILT CAPITAL CORPORATION	CRD# 10191	

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
07/2024 - Present	OneAmerica Securities	Registered Rep	Y	Huntington, WV, United States
05/2024 - Present	American United Life	Agent	Y	Huntington, WV, United States
04/2021 - 07/2024	GROVE POINT ADVISORS, LLC	MASS TRANSFER - INVESTMENT ADVISOR REPRESENTATIVE	Y	ROCKVILLE, MD, United States
04/2021 - 07/2024	GROVE POINT INVESTMENTS, LLC	REGISTERED REPRESENTATIVE	Y	ROCKVILLE, MD, United States
11/2018 - 07/2024	PARK LAWN CAPITAL CORP	PRESIDENT	Y	Huntington, WV, United States
05/2018 - 07/2024	Autism Services Center	Contract Employee Staff	N	Huntington, WV, United States
05/1993 - 03/2021	H. BECK, INC.	REGISTERED REPRESENTATIVE / INVESTMENT ADVISOR	Y	ROCKVILLE, MD, United States

Registration & Employment History

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.

Non-variable insurance sales (fixed life, fixed annuities)**President/Owner: Greenbrier Capital Corporation - financial services**President/Owner: Park Lawn Capital Corp. - clerical and administrative services for Greenbrier Capital Corp.**Staff Member: Autism Services**Owner: Park Lawn Carriage House - rental property**Board Member: Huntington Symphony Orchestra**Board Member: Southside Preservation and Enhancement Alliance, Inc.**Board Member: Stonewall Resort Foundation

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
Customer Dispute	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:	WV SECURITIES DIVISION
Sanction(s) Sought:	
Other Sanction(s) Sought:	
Date Initiated:	01/22/1991
Docket/Case Number:	90-199
Employing firm when activity occurred which led to the regulatory action:	
Product Type:	
Other Product Type(s):	
Allegations:	SELLING UNREGISTERED INTERESTS IN OIL AND GAS WELLS
Current Status:	Final
Resolution:	Decision
Resolution Date:	03/05/1991
Sanctions Ordered:	Cease and Desist/Injunction
Other Sanctions Ordered:	
Sanction Details:	PERMANENT CEASE AND DESIST ORDER

User Guidance

www.adviserinfo.sec.gov

Regulator Statement	Not Provided

Reporting Source:	Firm
Regulatory Action Initiated By:	WEST VIRGINIA
Sanction(s) Sought:	
Other Sanction(s) Sought:	
Date Initiated:	01/22/1991
Docket/Case Number:	90-199
Employing firm when activity occurred which led to the regulatory action:	
Product Type:	
Other Product Type(s):	
Allegations:	
Current Status:	Final
Resolution:	Decision
Resolution Date:	03/05/1991
Sanctions Ordered:	Cease and Desist/Injunction
Other Sanctions Ordered:	
Sanction Details:	

Reporting Source:	Individual
Regulatory Action Initiated By:	WEST VIRGINIA SECURITIES COMMISSION
Sanction(s) Sought:	
Other Sanction(s) Sought:	
Date Initiated:	01/22/1991
Docket/Case Number:	90-199
Employing firm when activity occurred which led to the regulatory action:	
Product Type:	
Other Product Type(s):	
Allegations:	THE WV SECURITIES COMMISSION CONCLUDED THAT AN INVESTMENT ACTIVITY IN WHICH IN 1989 AND 1990 I INVOLVED FIVE OTHER WV RESIDENTS WAS NOT STATUTORILY EXEMPTED FROM REGISTRATION AS LEGAL COUNSEL HAD ERRONEOUSLY ADVISED. THERE WAS NO CLAIM FOR DAMAGES OR COMPLAINT BY ANY MEMBER OF THE PUBLIC.

Current Status:	Final
Resolution:	Decision
Resolution Date:	03/05/1991
Sanctions Ordered:	Cease and Desist/Injunction
Other Sanctions Ordered:	
Sanction Details:	AN ORDER WAS ENTERED BY WV SECURITIES COMMISSION INSTRUCTING ME TO REPRESENT ONLY THOSE SECURITIES PROPERLY REGISTERED OR EXEMPTED BY THE STATE. THERE WERE NO FINES OR PENALTIES.
Broker Statement	THERE WAS NO PROCEEDING OR HEARING. THE MATTER WAS HANDLED BY TELEPHONE AND MAIAL TO OUR MUTUAL SATISFACTION. THEY WERE CORRECT AND I INTEND TO BE MUCH MORE CAREFUL IN SUCH MATTERS. WE DEEPLY REGRET THE ERROR.

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:	Regulator
Employing firm when activities occurred which led to the complaint:	
Allegations:	BRCH OF FIDUCIARY DT; MISREPRESENTATION; SUITABILITY; ACCOUNT RELATED-BREACH OF CONTRACT
Product Type:	
Alleged Damages:	$250,000.00

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.:	NASD - CASE #92-02769
Date Notice/Process Served:	09/24/1992
Arbitration Pending?	No
Disposition:	Other
Disposition Date:	12/30/1993
Disposition Detail:	AWARD AGAINST PARTY ACTUAL/COMPENSATORY DAMAGES, RELIEF HAS BEEN AWARDED (PARTIAL OR FULL), AWARD AMOUNT $55,000.00 JOINTLY AND SEVERALLY; OTHER COSTS, RELIEF REQUEST HAS BEEN DENIED IN FULL; ATTORNEY'S FEES, RELIEF REQUEST HAS BEEN DENIED IN FULL; OTHER MONETARY RELIEF, RELIEF REQUEST HAS BEEN DENIED IN FUL

Reporting Source:	Firm
Employing firm when activities occurred which led to the complaint:	
Allegations:	
Product Type:	
Alleged Damages:	$250,000.00

Customer Complaint Information

Date Complaint Received:	
Complaint Pending?	No
Status:	Arbitration/Reparation
Status Date:	

Settlement Amount:

Individual Contribution Amount:

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.:	NATIONAL ASSOCIATION OF SECURITIES DEALERS, INC.; 92-02769
Date Notice/Process Served:	09/24/1992
Arbitration Pending?	No
Disposition:	Award to Customer
Disposition Date:	12/30/1993
Monetary Compensation Amount:	$55,000.00
Individual Contribution Amount:	$25,000.00

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	
Allegations:	[CUSTOMER'S] PRIMARY ALLEGATIONS WERE UNSUITABLE INVESTMENTS AND NON-RECEIPT OF OFFERING MATERIALS. [CUSTOMER] ASKED FOR $50,000.00.
Product Type:	
Alleged Damages:	$250,000.00

Customer Complaint Information

Date Complaint Received:	
Complaint Pending?	No
Status:	Arbitration/Reparation
Status Date:	
Settlement Amount:	
Individual Contribution Amount:	

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.:	NATIONAL ASSOCIATION OF SECURITIES DEALERS, INC.; 92-02769
Date Notice/Process Served:	09/24/1992
Arbitration Pending?	No
Disposition:	Award to Customer
Disposition Date:	12/30/1993
Monetary Compensation Amount:	$55,000.00

Individual Contribution Amount:	$25,000.00
Broker Statement	MUTUAL SETTLEMENT FOR $25,000 FOR MY SHARE. SHE SIGNED A TOTAL AND COMPLETE RELEASE. [CUSTOMER], 39, A MAGNA CUM LAUDE GRADUATE, COMPLAINED ABOUT SUITABILITY FOR HER UNDERPERFORMING DIRECT PARTICIPATION INVESTMENTS MADE FIVE YEARS EARLIER. SHE DID ADMIT THE RECEIPT OF THE OFFERING MATERIALS IN THE COURSE OF DISCOVERY. THE ISSUE WAS MUTUALLY SETTLED. [CUSTOMER] ACCEPTED $25,000 FROM DANIEL E. GOODING AND $25,000 FROM THE BROKER/DEALER. SHE SIGNED A TOTAL AND COMPLETE RELEASE.

End of Report

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