



IAPD Report

DANIEL SWIFT EDMUNDS

CRD# 1463989

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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 SWIFT EDMUNDS (CRD# 1463989)

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 **05/04/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	PROSPERA FINANCIAL SERVICES, INC.	CRD# 10740	11/10/2023
IA	PROSPERA FINANCIAL SERVICES, INC.	CRD# 10740	11/13/2023

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **15** 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	B. RILEY WEALTH ADVISORS, INC.	115927	Knoxville, TN	07/27/2022 - 11/13/2023
B	B. RILEY WEALTH MANAGEMENT	2543	KNOXVILLE, TN	10/04/2013 - 11/13/2023
IA	B RILEY WEALTH MANAGEMENT	2543	KNOXVILLE, TN	10/07/2013 - 12/31/2022

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	2



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 **15** jurisdiction(s) and 1 SRO(s) through his or her employer(s).

Employment 1 of 1

Firm Name: **PROSPERA FINANCIAL SERVICES, INC.**
Main Address: 5429 LBJ FREEWAY
SUITE 750
DALLAS, TX 75240
Firm ID#: 10740

Regulator	Registration	Status	Date
B FINRA	General Securities Principal	Approved	11/10/2023
B FINRA	General Securities Representative	Approved	11/10/2023
B California	Agent	Approved	04/30/2024
B Colorado	Agent	Approved	11/10/2023
B Florida	Agent	Approved	11/10/2023
B Georgia	Agent	Approved	11/10/2023
B Iowa	Agent	Approved	11/10/2023
B Maine	Agent	Approved	11/14/2023
B New York	Agent	Approved	12/05/2023
B North Carolina	Agent	Approved	11/10/2023
B North Dakota	Agent	Approved	11/13/2023
B South Carolina	Agent	Approved	11/14/2023
B South Dakota	Agent	Approved	11/14/2023



Qualifications

Regulator	Registration	Status	Date
B Tennessee	Agent	Approved	11/13/2023
IA Tennessee	Investment Adviser Representative	Approved	11/13/2023
B Texas	Agent	Approved	05/04/2026
IA Texas	Investment Adviser Representative	Restricted Approval	05/04/2026
B Virginia	Agent	Approved	11/29/2023
B Wisconsin	Agent	Approved	04/11/2024

Branch Office Locations

PROSPERA FINANCIAL SERVICES, INC.
7215 Middlebrook Pike
Knoxville, TN 37909



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

Principal/Supervisory Exams

	Exam	Category	Date
	General Securities Principal Examination (S24)	Series 24	11/22/1991

General Industry/Product Exams

	Exam	Category	Date
	Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
	General Securities Representative Examination (S7)	Series 7	04/19/1986

State Securities Law Exams

	Exam	Category	Date
	Uniform Investment Adviser Law Examination (S65)	Series 65	11/09/2005
	Uniform Securities Agent State Law Examination (S63)	Series 63	05/08/1986

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
IA	07/27/2022 - 11/13/2023	B. RILEY WEALTH ADVISORS, INC.	CRD# 115927	Knoxville, TN
B	10/04/2013 - 11/13/2023	B. RILEY WEALTH MANAGEMENT	CRD# 2543	KNOXVILLE, TN
IA	10/07/2013 - 12/31/2022	B RILEY WEALTH MANAGEMENT	CRD# 2543	KNOXVILLE, TN
IA	12/09/2011 - 10/16/2013	STERNE AGEE INVESTMENT ADVISORS, INC.	CRD# 130888	BIRMINGHAM, AL
B	12/09/2011 - 10/15/2013	STERNE, AGEE & LEACH, INC.	CRD# 791	KNOXVILLE, TN
IA	03/06/2009 - 12/09/2011	ANDERSON & STRUDWICK, INCORPORATED	CRD# 48	KNOXVILLE, TN
B	03/02/2009 - 12/09/2011	ANDERSON & STRUDWICK, INCORPORATED	CRD# 48	KNOXVILLE, TN
IA	04/08/2004 - 03/05/2009	CITIGROUP GLOBAL MARKETS INC.	CRD# 7059	KNOXVILLE, TN
B	12/05/2003 - 03/05/2009	CITIGROUP GLOBAL MARKETS INC.	CRD# 7059	KNOXVILLE, TN
B	07/14/2000 - 12/11/2003	J.J.B. HILLIARD, W.L. LYONS, INC.	CRD# 453	LOUISVILLE, KY
B	04/24/1997 - 07/13/2000	EQUITY FINANCIAL CORPORATION	CRD# 19735	KNOXVILLE, TN
B	01/15/1996 - 04/18/1997	MID-ATLANTIC SECURITIES, INC.	CRD# 18836	RALEIGH, NC
B	05/02/1988 - 12/31/1995	ROBERT THOMAS SECURITIES, INC	CRD# 10147	ST. PETERSBURG, FL
B	03/13/1987 - 05/04/1988	FIRST AFFILIATED SECURITIES, INC.	CRD# 6871	
B	04/29/1986 - 03/05/1987	J.J.B. HILLIARD, W.L. LYONS, INC.	CRD# 453	



Registration & Employment History

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
11/2023 - Present	Prospera Financial Services Inc.	Registered Representative	Y	Dallas, TX, United States
07/2022 - 11/2023	B. RILEY WEALTH ADVISORS, INC.	Financial Advisor	Y	Memphis, TN, United States
10/2013 - 11/2023	B. Riley Wealth Management	REGISTERED REPRESENTATIVE	Y	MEMPHIS, TN, 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.

- 1.) RENTAL; INVESTMENT RELATED - NO; 3118 CULLEN TRAIL, COLLEGE STATION, TX 77845. ; RENTAL PROPERTY; OWNER; START DATE 11/2023; 1 HOUR PER MONTH, 0 DURING TRADING HOURS; INCOME FROM RENTAL PROPERTY
- 2.) RENTAL; INVESTMENT RELATED - NO; 4903 SPARKS ROAD; KNOXVILLE, TN 37931; RENTAL PROPERTY; OWNER; START DATE 11/2023; 1 HOUR PER MONTH, 0 DURING TRADING HOURS; INCOME FROM RENTAL PROPERTY
- 3.) EXODUS WEALTH MANAGEMENT; INVESTMENT RELATED [YES]; 7215 MIDDLEBROOK PIKE, KNOXVILLE, TN 37909; DBA; OWNER - FINANCIAL ADVISOR; START DATE [11/2023]; 160 HOURS PER MONTH; 160 TRADING HOURS; FINANCIAL ADVISOR
- 4.) 2.) RENTAL; INVESTMENT RELATED - NO; 69-5 PALESTINE ST., HOUSTON, TX 77020; RENTAL PROPERTY; OWNER; START DATE 02/2024; 0 HOUR PER MONTH, 0 DURING TRADING HOURS; INCOME FROM RENTAL PROPERTY



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	2

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 2

Reporting Source: Firm

Employing firm when activities occurred which led to the complaint: ROBERT THOMAS SECURITIES, INC.

Allegations: CLAIMANTS ALLEGE EDWARDS MISREPRESENTED THE FIRM'S ASSOCIATION WITH DR. KURT KALTREIDER, A PROFESSIONAL MONEY MANAGER, AND THAT EDMUNDS EXERCISED DISCRETIONARY AUTHORITY TO CONDUCT UNAUTHORIZED MARGIN TRANSACTIONS IN THE ACCOUNT. CLAIM DAMAGES IN EXCESS OF \$10,000.00

Product Type:

Alleged Damages:

Customer Complaint Information

Date Complaint Received: 09/13/1993

Complaint Pending? No

Status: Settled

Status Date:

Settlement Amount: \$80,000.00

Individual Contribution Amount: \$47,335.00

Firm Statement GENERAL RELEASE SIGNED BY CLAIMANTS. A CASH SETTLEMENT WAS PAID BY ROBERT THOMAS SECURITIES, INC TO THE CLAIMANTS IN THE AMOUNT OF \$80,000.00. \$32,665.00 PAID BY



ERRORS & OMISSIONS LIABILITY & \$47,335.00 CHARGED TO D. EDMUNDS
CLAIMANTS WERE INTRODUCED TO ROBERT THOMAS
SECURITIES BY INTRODUCING BROKER WLEDGE OF HOW KALTREIDS
RELATIONSHIP TO RAYMOND JAMES WAS REPRESENTED. CLIENTS WERE
AL
AWARE THAT PURCHASES WERE MADE ON MARGIN, HAD SIGNED MARGIN
AGREEMENTS ON FILE

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: ROBERT THOMAS SECURITIES, INC.

Allegations: CLAIMANTS ALLEGE EDMUNDS MISREPRESENTED THE FIRM'S ASSOCIATION WITH DR. KURT KALTREIDER, A PROFESSIONAL MONEY MANAGER, AND THAT EDMUNDS EXERCISED DISCRETIONARY AUTHORITY TO CONDUCT UNAUTHORIZED MARGIN TRANSACTIONS IN THE ACCOUNT. CLAIM DAMAGES IN EXCEEDING \$10,000.

Product Type: Equity Listed (Common & Preferred Stock)

Alleged Damages: \$80,000.00

Customer Complaint Information

Date Complaint Received: 09/13/1993

Complaint Pending? No

Status: Arbitration/Reparation

Status Date: 04/23/1994

Settlement Amount:

Individual Contribution Amount:

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: NASD 93-03670

Date Notice/Process Served: 09/13/1993

Arbitration Pending? No

Disposition: Settled

Disposition Date: 04/23/1994

Monetary Compensation Amount: \$80,000.00

Individual Contribution Amount: \$47,335.00

Broker Statement GENERAL RELEASE SIGNED BY CLAIMANTS. A CASH SETTLEMENT WAS PAID BY ROBERT THOMAS SECURITIES, INC., TO THE CLAIMANTS IN THE AMOUNT OF \$80,000. \$32,665.00 PAID BY ERRORS & OMISSIONS LIABILITY, \$47,335.00 CHARGED TO DAN EDMUNDS. CLAIMANTS WERE INTRODUCED TO ROBERT THOMAS SECURITIES BY INTRODUCING BROKER, A.C. MASINGILL & ASSOCIATES &



HAS NO KNOWLEDGE OF HOW KALTREIDER RELATIONSHIP TO RAYMOND JAMES WAS REPRESENTED. CLAIMS WERE ALSO AWARE THAT PURCHASES WERE MADE ON MARGIN, HAD SIGNED MARGIN AGREEMENTS ON FILE.

Disclosure 2 of 2

Reporting Source: Regulator

Employing firm when activities occurred which led to the complaint:

Allegations: SUITABILITY; MISREPRESENTATION; BRCH OF FIDUCIARY DT; ACCOUNT RELATED-NEGLIGENCE

Product Type:

Alleged Damages: \$71,700.00

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: NASD - CASE #93-02276

Date Notice/Process Served: 07/21/1993

Arbitration Pending? No

Disposition: Settled

Disposition Date: 01/20/1994

Disposition Detail: CASE IS CLOSED, SETTLED
Not Provided

.....
Reporting Source: Firm

Employing firm when activities occurred which led to the complaint:

Allegations: SUITABILITY, MISREPRESENTATION, BREACH OF FIDUCIARY DUTY, ACCOUNT RELATED-NEGLIGENCE. SEEKING \$71,700.00

Product Type:

Alleged Damages: \$71,700.00

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.; 93-02276

Date Notice/Process Served: 07/21/1993

Arbitration Pending? No

Disposition: Settled

Disposition Date: 01/20/1994

Monetary Compensation Amount: \$20,000.00

Individual Contribution Amount: \$20,000.00

Firm Statement SETTLED FOR \$20,000.00 PAID BY D. EDMUNDS
NONE

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: ROBERT THOMAS SECURITIES

Allegations: SUITABILITY, MISREPRESENTATION, BREACH OF FIDUCIARY DITY, ACCOUNT RELATED-NEGLIGENCE. SEEKING \$71,000.00

Product Type: Equity Listed (Common & Preferred Stock)

Alleged Damages: \$71,700.00

Customer Complaint Information

Date Complaint Received: 07/21/1993

Complaint Pending? No

Status: Arbitration/Reparation

Status Date: 01/20/1994

Settlement Amount:

Individual Contribution Amount:

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: NATIONAL ASSOCIATION OF SECURITIES DEALERS, INC.; 93-02276

Date Notice/Process Served: 07/21/1993

Arbitration Pending? No

Disposition: Settled

Disposition Date: 01/20/1994

Monetary Compensation Amount: \$20,000.00

Individual Contribution Amount: \$20,000.00

Broker Statement SETTLED FOR \$20,000, PAID BY DANIEL S. EDMUNDS



NOT PROVIDED



End of Report

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