



## IAPD Report

**DANIEL RICHARD GARVIN**

CRD# 1481768

<b><u>Section Title</u></b>	<b><u>Page(s)</u></b>
Report Summary	1
Qualifications	2 - 3
Registration and Employment History	4 - 5
Disclosure Information	6



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 RICHARD GARVIN (CRD# 1481768)

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 **12/11/2025**.

### CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
IA	IMPACT PARTNERSHIP WEALTH, LLC	CRD# 313928	06/26/2024

### QUALIFICATIONS

This representative is currently registered in **0** SRO(s) and **1** 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	WORLD EQUITY GROUP, INC.	29087	acworth, GA	06/21/2019 - 12/10/2024
IA	TRIUMPH WEALTH ADVISORS, INC.	153175	Wauseon, OH	06/09/2016 - 10/14/2024
B	TAYLOR CAPITAL MANAGEMENT INC.	43559	Woodstock, GA	05/12/2016 - 07/15/2019

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 **1** jurisdiction(s) and **0** SRO(s) through his or her employer(s).

### Employment 1 of 1

Firm Name: **IMPACT PARTNERSHIP WEALTH, LLC**

Main Address: 1688 WHITE CIRCLE NW  
MARIETTA, GA 30066

Firm ID#: 313928

	Regulator	Registration	Status	Date
IA	Ohio	Investment Adviser Representative	Approved	06/26/2024

### Branch Office Locations

**IMPACT PARTNERSHIP WEALTH, LLC**

Wauseon, OH



## 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 2 state securities law exams.**

#### Principal/Supervisory Exams

	Exam	Category	Date
B	General Securities Principal Examination (S24)	Series 24	02/18/2000
B	Investment Company Products/Variable Contracts Principal Examination (S26)	Series 26	03/25/1988

#### 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	08/18/1998
B	Investment Company Products/Variable Contracts Representative Examination (S6)	Series 6	04/10/1986

#### State Securities Law Exams

	Exam	Category	Date
IA	Uniform Investment Adviser Law Examination (S65)	Series 65	01/12/2001
B	Uniform Securities Agent State Law Examination (S63)	Series 63	04/14/1986



### 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
B	06/21/2019 - 12/10/2024	WORLD EQUITY GROUP, INC.	CRD# 29087	acworth, GA
IA	06/09/2016 - 10/14/2024	TRIUMPH WEALTH ADVISORS, INC.	CRD# 153175	Wauseon, OH
B	05/12/2016 - 07/15/2019	TAYLOR CAPITAL MANAGEMENT INC.	CRD# 43559	Woodstock, GA
IA	03/26/2013 - 05/16/2016	BROKERS FINANCIAL	CRD# 139627	Woodstock, GA
B	03/13/2013 - 05/16/2016	BROKERS INTERNATIONAL FINANCIAL SERVICES, LLC.	CRD# 139627	Woodstock, GA
IA	07/02/2012 - 04/01/2013	FIRST ALLIED ADVISORY SERVICES, INC.	CRD# 137888	BATON ROUGE, LA
B	03/01/2011 - 03/28/2013	FIRST ALLIED SECURITIES, INC.	CRD# 32444	BATON ROUGE, LA
IA	03/03/2011 - 08/09/2012	FIRST ALLIED SECURITIES, INC.	CRD# 32444	BATON ROUGE, LA
IA	06/06/2003 - 03/25/2011	NEXT FINANCIAL GROUP, INC.	CRD# 46214	MAUMEE, OH
B	03/06/2002 - 03/25/2011	NEXT FINANCIAL GROUP, INC.	CRD# 46214	MAUMEE, OH
B	05/18/1998 - 04/05/2002	AMERICAN INVESTMENT SERVICES, INC.	CRD# 21111	OKLAHOMA CITY, OK
B	05/22/1997 - 06/04/1998	SUNAMERICA SECURITIES, INC.	CRD# 20068	PHOENIX, AZ
B	06/06/1994 - 05/28/1997	WMA SECURITIES, INC.	CRD# 32625	DULUTH, GA
B	09/07/1993 - 06/06/1994	INTERSECURITIES, INC.	CRD# 16164	PHILADELPHIA, PA
B	04/11/1986 - 09/14/1993	PFS INVESTMENTS INC.	CRD# 10111	DULUTH, GA



## 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
06/2024 - Present	IMPACT PARTNERSHIP WEALTH, LLC	INVESTMENT ADVISER REPRESENTATIVE	Y	MARIETTA, GA, United States
06/2019 - Present	WORLD EQUITY GROUP, INC.	REGISTERED REP	Y	WAUSEON, OH, United States
01/1984 - Present	APEX WEALTH MANAGEMENT	FINANCIAL ADVISOR/INSURANCE AGENT	Y	WAUSEON, OH, United States
05/2016 - 06/2024	TRIUMPH WEALTH ADVISORS, INC.	INVESTMENT ADVISOR REPRESENTATIVE	Y	WOODSTOCK, GA, United States
05/2017 - 06/2019	HEALTH TRUST FINANCIAL, LLC	REPRESENTATIVE	N	ACWORTH, GA, United States
05/2016 - 06/2019	TCM SECURITIES, INC.	REGISTERED REPRESENTATIVE	Y	WOODSTOCK, GA, United States
03/2013 - 05/2016	BROKERS INTERNATIONAL FINANCIAL SERVICES	INVESTMENT ADVISOR REPRESENTATIVE	Y	ROSWELL, GA, 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) APEX WEALTH MANAGEMENT; YES INVESTMENT RELATED; 837 HIGHLAND DR, WAUSEON, OH 43567; LIFE INSURANCE AND ANNUITIES; INSURANCE AGENT; 1984; 60HRS/MO; 0HRS/MO DURING SECURITIES TRADING HOURS. SALES OF LIFE INSURANCE AND ANNUITIES.

2) DAN GARVIN; NOT INVESTMENT RELATED; WAUSEON, OH; NOTARY; NOTARY; 7/16/2024; 0HRS/MO; 0HRS/MO DURING SECURITIES TRADING HOURS.

3) NEXTGEN TAX SERVICE; NOT INVESTMENT RELATED; 837 HIGHLAND DR, WAUSEON, OH 43567; TAX PREPARATION; OWNER; 11/25/2025; 3HRS/MO; 0HRS/MO DURING SECURITIES TRADING HOURS. I HAVE A RELATIONSHIP WITH A CLOUD BASED TAX SERVICE THAT WE CAN OFFER INCOME TAX PREPARATION THROUGH THIS CLOUD BASED COMPANY CALLED UNITED CLOUD PARTNERS.



## 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

<b>Reporting Source:</b>	Firm
<b>Employing firm when activities occurred which led to the complaint:</b>	BROKERS INTERNATIONAL FINANCIAL SERVICES, LLC.
<b>Allegations:</b>	The Statement of Claim alleges that the alternative investments recommended to claimants were unsuitable for them in light of their age, need for liquidity, and risk tolerance. It also claims that the investments were misrepresented to the claimants causing them significant damages. The investments in question were made from January, 2015 to February, 2015.
<b>Product Type:</b>	Direct Investment-DPP & LP Interests Real Estate Security
<b>Alleged Damages:</b>	\$0.00
<b>Alleged Damages Amount Explanation (if amount not exact):</b>	Claimants seek damages of an unspecified amount. Based on the amount invested, the Firm has determined the damages would be in excess of \$5,000.
<b>Is this an oral complaint?</b>	No
<b>Is this a written complaint?</b>	No
<b>Is this an arbitration/CFTC reparation or civil litigation?</b>	Yes
<b>Arbitration/Reparation forum or court name and location:</b>	FINRA Dispute Resolution Services
<b>Docket/Case #:</b>	23-03303



**Filing date of arbitration/CFTC reparation or civil litigation:** 11/15/2023

### Customer Complaint Information

**Date Complaint Received:** 11/16/2023

**Complaint Pending?** No

**Status:** Settled

**Status Date:** 02/15/2024

**Settlement Amount:** \$35,000.00

**Individual Contribution Amount:** \$0.00

**Firm Statement** Without admitting any wrongdoing or liability, the Firm entered into a settlement agreement with the client for \$35,000 in exchange for a release of all claims. This was done solely for business purposes to avoid a costly and lengthy legal proceeding.

.....

**Reporting Source:** Individual

**Employing firm when activities occurred which led to the complaint:** BROKERS INTERNATIONAL FINANCIAL SERVICES, LLC.

**Allegations:** The Statement of Claim alleges that the alternative investments recommended to claimants were unsuitable for them in light of their age, need for liquidity, and risk tolerance. It also claims that the investments were misrepresented to the claimants causing them significant damages. The investments in question were made from January, 2015 to February, 2015.

**Product Type:** Direct Investment-DPP & LP Interests  
Real Estate Security

**Alleged Damages:** \$0.00

**Alleged Damages Amount Explanation (if amount not exact):** Claimants seek damages of an unspecified amount. Based on the amount invested, the Firm has determined the damages would be in excess of \$5,000.

**Is this an oral complaint?** No

**Is this a written complaint?** No

**Is this an arbitration/CFTC reparation or civil litigation?** Yes

**Arbitration/Reparation forum or court name and location:** FINRA Dispute Resolution Services

**Docket/Case #:** 23-03303

**Filing date of arbitration/CFTC reparation or civil litigation:** 11/16/2023

### Customer Complaint Information

**Date Complaint Received:** 11/16/2023

**Complaint Pending?** No



**Status:** Settled  
**Status Date:** 02/15/2024  
**Settlement Amount:** \$35,000.00  
**Individual Contribution Amount:** \$0.00

### Disclosure 2 of 2

**Reporting Source:** Firm  
**Employing firm when activities occurred which led to the complaint:** NEXT FINANCIAL GROUP, INC.

**Allegations:** THE CUSTOMERS ALLEGE THE REPRESENTATIVE MADE UNSUITABLE INVESTMENT RECOMMENDATIONS AND OVERLY CONCENTRATED THE CUSTOMERS' ACCOUNTS IN ILLIQUID, NON-PUBLICLY TRADED REITS AND DIRECT INVESTMENTS. CUSTOMERS WISH TO HAVE THEIR INVESTMENTS RESCINDED AND THE ACCOUNTS RESTORED TO THEIR INITIAL BALANCES.

**Product Type:** Direct Investment-DPP & LP Interests  
Real Estate Security

**Alleged Damages:** \$50,000.00

**Alleged Damages Amount Explanation (if amount not exact):** GOOD FAITH ESTIMATE OF LOSS FOR ORIGINAL COMPLAINT WAS \$8209.76. CLAIMANTS SEEK COMPENSATORY DAMAGES IN THE AMOUNT \$50,000 IN FINRA ARBITRATION.

**Is this an oral complaint?** No

**Is this a written complaint?** Yes

**Is this an arbitration/CFTC reparation or civil litigation?** No

### Customer Complaint Information

**Date Complaint Received:** 12/01/2011

**Complaint Pending?** No

**Status:** Evolved into Arbitration/CFTC reparation (the individual is a named party)

**Status Date:** 03/05/2013

**Settlement Amount:**

**Individual Contribution Amount:**

### Arbitration Information

**Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.):** FINRA

**Docket/Case #:** [13-00498](#)

**Date Notice/Process Served:** 03/05/2013

**Arbitration Pending?** No

**Disposition:** Award to Customer



**Disposition Date:** 11/25/2013

**Monetary Compensation Amount:** \$40,000.00

**Individual Contribution Amount:** \$40,000.00

**Firm Statement** NEXT FINANCIAL GROUP, INC. SETTLED THE ARBITRATION WITH THE CUSTOMERS FOR \$40,000 WITH THE EXPLICIT EXCEPTION OF FORMER NEXT REGISTERED REPRESENTATIVE DANIEL GARVIN.

.....

**Reporting Source:** Individual

**Employing firm when activities occurred which led to the complaint:** NEXT FINANCIAL GROUP, INC.

**Allegations:** THE CUSTOMERS ALLEGE THAT I MADE UNSUITABLE INVESTMENT RECOMMENDATIONS AND OVERLY CONCENTRATED THE CUSTOMERS' ACCOUNTS IN ILLIQUID, NON-PUBLICLY TRADED REITS AND DIRECT INVESTMENTS.

**Product Type:** Direct Investment-DPP & LP Interests  
Real Estate Security

**Alleged Damages:** \$50,000.00

**Alleged Damages Amount Explanation (if amount not exact):** CUSTOMERS NOW REQUEST \$50,000.00 IN DAMAGES PLUS FEES.

**Is this an oral complaint?** No

**Is this a written complaint?** Yes

**Is this an arbitration/CFTC reparation or civil litigation?** No

### Customer Complaint Information

**Date Complaint Received:** 12/01/2011

**Complaint Pending?** No

**Status:** Evolved into Arbitration/CFTC reparation (the individual is a named party)

**Status Date:** 03/05/2013

**Settlement Amount:**

**Individual Contribution Amount:**

### Arbitration Information

**Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.):** FINRA

**Docket/Case #:** [13-00498](#)

**Date Notice/Process Served:** 03/17/2013

**Arbitration Pending?** No

**Disposition:** Award to Customer



<b>Disposition Date:</b>	09/05/2013
<b>Monetary Compensation Amount:</b>	\$40,000.00
<b>Individual Contribution Amount:</b>	\$40,000.00
<b>Broker Statement</b>	NEXT SETTLED THE ARBITRATION WITH THE CLIENTS AS OF 06/03/13, AND THE ARBITRATION FOUND IN FAVOR OF THE CLIENT - THE CLIENTS' PRIMARY GOAL WAS FOR INCOME AND THEY DID NOT WANT THE VOLATILITY OF THE STOCK MARKET. INTEREST RATES WERE LOW AT THE TIME AND THE DISTRIBUTIONS FROM THE REITS PROVIDED THEM WITH THE DESIRED INCOME. AT THE TIME THE LACK OF LIQUIDITY WAS NOT A CONCERN TO THEM AS LONG AS THEY RECIEVED THE DISTRIBUTIONS WHICH THEY USED FOR INCOME AS NEEDED.



## End of Report

This page is intentionally left blank.