



IAPD Report

DANIEL WEIMER

CRD# 1859854

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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 WEIMER (CRD# 1859854)

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 **01/10/2025**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	FORTUNE FINANCIAL SERVICES, INC.	CRD# 42150	02/19/2020
IA	PROSPERITY WEALTH MANAGEMENT, INC.	CRD# 174328	05/20/2020

QUALIFICATIONS

This representative is currently registered in **1** 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	WESBANCO SECURITIES, INC.	43276	PITTSBURGH, PA	08/28/2019 - 11/06/2019
IA	WESBANCO SECURITIES, INC.	43276	PITTSBURGH, PA	08/28/2019 - 11/06/2019
B	KEY INVESTMENT SERVICES LLC	136300	CORAOPOLIS, PA	09/21/2016 - 08/16/2019

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

Employment 1 of 2

Firm Name: **FORTUNE FINANCIAL SERVICES, INC.**
Main Address: 3582 BROADHEAD ROAD
SUITE 202
MONACA, PA 15061
Firm ID#: 42150


	Regulator	Registration	Status	Date
	FINRA	Invest. Co and Variable Contracts	Approved	02/19/2020
	FINRA	General Securities Principal	Approved	05/18/2021
	FINRA	General Securities Representative	Approved	05/18/2021
	Pennsylvania	Agent	Approved	02/19/2020

Branch Office Locations

Mars, PA Mars, PA

Employment 2 of 2

Firm Name: **PROSPERITY WEALTH MANAGEMENT, INC.**
Main Address: 2333 SAN RAMON VALLEY BLVD.
SUITE 200
SAN RAMON, CA 94583
Firm ID#: 174328

	Regulator	Registration	Status	Date
	Pennsylvania	Investment Adviser Representative	Approved	05/20/2020

Branch Office Locations

PROSPERITY WEALTH MANAGEMENT, INC.
Mars, PA




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, 3 general industry/product exams, and 2 state securities law exams.



Principal/Supervisory Exams

	Exam	Category	Date
	General Securities Principal Examination (S24)	Series 24	05/28/2003

General Industry/Product Exams

	Exam	Category	Date
	Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
	General Securities Representative Examination (S7)	Series 7	04/14/1997
	Investment Company Products/Variable Contracts Representative Examination (S6)	Series 6	08/31/1988

State Securities Law Exams

	Exam	Category	Date
	Uniform Investment Adviser Law Examination (S65)	Series 65	07/18/2001
	Uniform Securities Agent State Law Examination (S63)	Series 63	02/12/1990

PROFESSIONAL DESIGNATIONS

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

Certified Financial Planner

This representative holds or did hold **1** professional designation(s) that may have been used to qualify as an Investment Advisor representative. Please check with the appropriate designation authority for verification that the designation is still in effect. The contact information for these professional designation authorities can be found on the website for the North American Securities Administrators Association at <http://www.nasaa.org>



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	08/28/2019 - 11/06/2019	WESBANCO SECURITIES, INC.	CRD# 43276	PITTSBURGH, PA
IA	08/28/2019 - 11/06/2019	WESBANCO SECURITIES, INC.	CRD# 43276	PITTSBURGH, PA
B	09/21/2016 - 08/16/2019	KEY INVESTMENT SERVICES LLC	CRD# 136300	CORAOPOLIS, PA
IA	09/21/2016 - 08/16/2019	KEY INVESTMENT SERVICES LLC	CRD# 136300	CORAOPOLIS, PA
B	09/08/2009 - 09/21/2016	LPL FINANCIAL LLC	CRD# 6413	MCKEES ROCKS, PA
IA	09/08/2009 - 09/21/2016	LPL FINANCIAL LLC	CRD# 6413	MCKEES ROCKS, PA
B	04/10/1997 - 08/31/2009	NATCITY INVESTMENTS, INC.	CRD# 17490	CORAOPOLIS, PA
B	01/04/1999 - 12/31/2001	NATCITY INSURANCE SERVICES, INC.	CRD# 16989	CLEVELAND, OH
B	08/03/1998 - 01/04/1999	LIBERTY SECURITIES CORPORATION	CRD# 14416	PURCHASE, NY
B	04/18/1997 - 08/03/1998	INDEPENDENT FINANCIAL SECURITIES, INC.	CRD# 19924	
B	01/20/1997 - 03/31/1997	CORELINK FINANCIAL, INC.	CRD# 23302	ST. CLOUD, MN
B	09/01/1995 - 01/24/1997	SPECTRUM SECURITIES CORPORATION	CRD# 31256	MAYFIELD HEIGHTS, OH
B	09/02/1988 - 08/25/1995	METLIFE SECURITIES INC.	CRD# 14251	SPRINGFIELD, MA
B	09/02/1988 - 08/25/1995	METROPOLITAN LIFE INSURANCE COMPANY	CRD# 4095	NEW YORK, NY



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
05/2020 - Present	Prosperity Wealth Management, Inc.	Investment Adviser Representative	Y	San Ramon, CA, United States
02/2020 - Present	Fortune Financial Services, Inc.	Registered Representative	Y	Monaca, PA, United States
08/2019 - 11/2019	WESBANCO SECURITIES INC	VP FINANCIAL ADVISOR	Y	PITTSBURGH, PA, United States
09/2016 - 08/2019	KEY INVESTMENT SERVICES LLC	Financial Advisor	Y	CORAOPOLIS, PA, United States
09/2009 - 09/2016	FIRST NIAGARA SECURITIES	REG REP	Y	PITTSBURGH, PA, United States
09/2009 - 09/2016	LPL FINANCIAL LLC	REGISTERED REPRESENTATIVE	Y	CORAOPOLIS, PA, 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] Rep is an IAR with Prosperity Wealth Management, providing investment advisory service to his clients.
- 2] Rep is licensed to sell life insurance, health, disability and LTC
- 3] Rep has a DBA of Life Goals Financial, he is the president and owner/sole proprietor



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

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: FINRA

Sanction(s) Sought:

Date Initiated: 03/23/2021

Docket/Case Number: [2019064527101](#)

Employing firm when activity occurred which led to the regulatory action: Key Investment Services LLC

Product Type: No Product

Allegations: Without admitting or denying the findings, Weimer consented to the sanctions and to the entry of findings that he, in anticipation of his departure from his member firm, removed from the firm and retained nonpublic personal information (NPI) of firm customers, without the firm's or the customers' knowledge or consent. The findings stated that the NPI included customer social security numbers, account numbers, and dates of birth. Weimer retained the NPI in hard copy format, and did not store it electronically, including on a third-party server or personal email account. In addition, Weimer did not use the NPI or disclose it to others. After the firm determined that Weimer had removed the NPI, he returned it.

Current Status: Final

Resolution: Acceptance, Waiver & Consent(AWC)



Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct?

No

Resolution Date:

03/23/2021

Sanctions Ordered:

Civil and Administrative Penalty(ies)/Fine(s)
Suspension

If the regulator is the SEC, CFTC, or an SRO, did the action result in a finding of a willful violation or failure to supervise?

No

(1) willfully violated any provision of the Securities Act of 1933, the Securities Exchange Act of 1934, the Investment Advisers Act of 1940, the Investment Company Act of 1940, the Commodity Exchange Act, or any rule or regulation under any of such Acts, or any of the rules of the Municipal Securities Rulemaking Board, or to have been unable to comply with any provision of such Act, rule or regulation?

(2) willfully aided, abetted, counseled, commanded, induced, or procured the violation by any person of any provision of the Securities Act of 1933, the Securities Exchange Act of 1934, the Investment Advisers Act of 1940, the Investment Company Act of 1940, the Commodity Exchange Act, or any rule or regulation under any of such Acts, or any of the rules of the Municipal Securities Rulemaking Board? or



(3) failed reasonably to supervise another person subject to your supervision, with a view to preventing the violation by such person of any provision of the Securities Act of 1933, the Securities Exchange Act of 1934, the Investment Advisers Act of 1940, the Investment Company Act of 1940, the Commodity Exchange Act, or any rule or regulation under any such Acts, or any of the rules of the Municipal Securities Rulemaking Board?

Sanction 1 of 1

Sanction Type: Suspension
Capacities Affected: All capacities
Duration: 15 business days
Start Date: 04/19/2021
End Date: 05/07/2021

Monetary Sanction 1 of 1

Monetary Related Sanction: Civil and Administrative Penalty(ies)/Fine(s)
Total Amount: \$5,000.00
Portion Levied against individual: \$5,000.00
Payment Plan:
Is Payment Plan Current:
Date Paid by individual: 04/07/2021
Was any portion of penalty waived? No

Amount Waived:
.....

Reporting Source: Individual
Regulatory Action Initiated By: FINRA
Sanction(s) Sought: Civil and Administrative Penalty(ies)/Fine(s)
Suspension
Date Initiated: 03/23/2021
Docket/Case Number: [2019064527101](#)



Employing firm when activity occurred which led to the regulatory action:	Key Investment Services, LLC
Product Type:	No Product
Allegations:	Without admitting or denying the findings, Weimer consented to the sanctions and to the entry of findings that he, in anticipation of his departure from his member firm, removed from the firm and retained nonpublic personal information of firm customers, without the firm's or the customers' knowledge or consent. The findings stated that the NPI included customer social security numbers, account numbers, and dates of birth. Weimer retained the NPI in hard copy format, and did not store it electronically, including on a third-party server or personal email account. In addition, Weimer did not use the NPI or disclose it to others. After the firm determined that Weimer had removed the NPI, he returned it.
Current Status:	Final
Resolution:	Acceptance, Waiver & Consent(AWC)
Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct?	No
Resolution Date:	03/23/2021
Sanctions Ordered:	Civil and Administrative Penalty(ies)/Fine(s) Suspension
Sanction 1 of 2	
Sanction Type:	Suspension
Capacities Affected:	All capacities
Duration:	15 business days
Start Date:	04/19/2021
End Date:	05/07/2021
Sanction 2 of 2	
Sanction Type:	Suspension
Capacities Affected:	representative
Duration:	15 business days
Start Date:	04/19/2021
End Date:	05/07/2021
Monetary Sanction 1 of 1	
Monetary Related Sanction:	Civil and Administrative Penalty(ies)/Fine(s)
Total Amount:	\$5,000.00
Portion Levied against individual:	\$0.00
Payment Plan:	Credit card for the full amount
Is Payment Plan Current:	Yes



Date Paid by individual: 03/31/2021

Was any portion of penalty waived? No

Amount Waived:



End of Report

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