



## IAPD Report

# DAVID T BUCKWALD

CRD# 1883251

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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

### DAVID T BUCKWALD (CRD# 1883251)

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 **03/03/2026**.

### CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
<b>B</b>	M HOLDINGS SECURITIES, INC.	CRD# 43285	10/29/2010
<b>IA</b>	PROSPERITY CAPITAL ADVISORS	CRD# 156480	11/09/2023

### QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **41** 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>IA</b>	M HOLDINGS SECURITIES, INC.	43285	Cranford, NJ	10/29/2010 - 03/07/2024
<b>B</b>	NATIONWIDE SECURITIES, LLC	11173	CRANFORD, NJ	08/01/2008 - 11/01/2010
<b>IA</b>	NATIONWIDE SECURITIES, LLC	11173	CRANFORD, NJ	08/01/2008 - 11/01/2010

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

### Employment 1 of 2

Firm Name: **PROSPERITY CAPITAL ADVISORS**  
Main Address: 30400 DETROIT ROAD  
SUITE 201  
WESTLAKE, OH 44145  
Firm ID#: 156480

Regulator	Registration	Status	Date
IA Nebraska	Investment Adviser Representative	Approved	03/16/2026
IA New Jersey	Investment Adviser Representative	Approved	11/09/2023
IA New York	Investment Adviser Representative	Approved	11/09/2023

### Branch Office Locations

**PROSPERITY CAPITAL ADVISORS**  
200 Connell Park Suite 2L8A  
Berkeley Heights, NJ 07922

**PROSPERITY CAPITAL ADVISORS**  
331 Newman Springs Road Bldg. 1, Suite 107  
Red Bank, NJ 07701

### Employment 2 of 2

Firm Name: **M HOLDINGS SECURITIES, INC.**  
Main Address: 1125 N.W. COUCH STREET  
SUITE 900  
PORTLAND, OR 97209  
Firm ID#: 43285

Regulator	Registration	Status	Date
B FINRA	Invest. Co and Variable Contracts	Approved	10/29/2010
B Alaska	Agent	Approved	10/24/2023
B Arizona	Agent	Approved	01/06/2025
B California	Agent	Approved	10/29/2010



### Qualifications

Regulator	Registration	Status	Date
<b>B</b> Colorado	Agent	Approved	11/08/2023
<b>B</b> Connecticut	Agent	Approved	10/29/2010
<b>B</b> Delaware	Agent	Approved	10/29/2010
<b>B</b> Florida	Agent	Approved	10/29/2010
<b>B</b> Georgia	Agent	Approved	10/23/2023
<b>B</b> Idaho	Agent	Approved	06/24/2025
<b>B</b> Illinois	Agent	Approved	10/29/2010
<b>B</b> Indiana	Agent	Approved	10/29/2010
<b>B</b> Kansas	Agent	Approved	10/29/2010
<b>B</b> Kentucky	Agent	Approved	10/29/2010
<b>B</b> Louisiana	Agent	Approved	01/02/2025
<b>B</b> Maine	Agent	Approved	01/06/2025
<b>B</b> Maryland	Agent	Approved	01/06/2025
<b>B</b> Massachusetts	Agent	Approved	11/27/2023
<b>B</b> Michigan	Agent	Approved	01/06/2025
<b>B</b> Minnesota	Agent	Approved	03/18/2025
<b>B</b> Mississippi	Agent	Approved	08/22/2024
<b>B</b> Missouri	Agent	Approved	10/29/2010



## Qualifications

	Regulator	Registration	Status	Date
B	Montana	Agent	Approved	01/02/2025
B	Nebraska	Agent	Approved	10/19/2023
B	Nevada	Agent	Approved	11/20/2025
B	New Hampshire	Agent	Approved	08/07/2025
B	New Jersey	Agent	Approved	10/29/2010
B	New Mexico	Agent	Approved	10/20/2023
B	New York	Agent	Approved	10/29/2010
B	North Carolina	Agent	Approved	10/29/2010
B	Ohio	Agent	Approved	11/01/2010
B	Oregon	Agent	Approved	06/02/2025
B	Pennsylvania	Agent	Approved	10/29/2010
B	South Carolina	Agent	Approved	01/08/2025
B	South Dakota	Agent	Approved	12/12/2018
B	Tennessee	Agent	Approved	01/03/2025
B	Texas	Agent	Approved	10/29/2010
B	Utah	Agent	Approved	12/24/2024
B	Virginia	Agent	Approved	10/29/2010
B	Washington	Agent	Approved	02/08/2024
B	Wisconsin	Agent	Approved	01/03/2025



## Qualifications

Regulator	Registration	Status	Date
<b>B</b> Wyoming	Agent	Approved	06/24/2025

### Branch Office Locations

**M HOLDINGS SECURITIES, INC.**  
331 NEWMAN SPRINGS ROAD, BLDG 1, SUITE 107  
RED BANK, NJ 07701



## 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 0 principal/supervisory exams, 2 general industry/product exams, and 2 state securities law exams.**

#### Principal/Supervisory Exams

Exam	Category	Date
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No information reported.

#### General Industry/Product Exams

Exam	Category	Date
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<b>B</b> Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
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<b>B</b> Investment Company Products/Variable Contracts Representative Examination (S6)	Series 6	12/06/1988
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#### State Securities Law Exams

Exam	Category	Date
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<b>B</b> Uniform Securities Agent State Law Examination (S63)	Series 63	02/04/1998
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<b>IA</b> Uniform Investment Adviser Law Examination (S65)	Series 65	03/24/1997
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### 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
IA	10/29/2010 - 03/07/2024	M HOLDINGS SECURITIES, INC.	CRD# 43285	Cranford, NJ
B	08/01/2008 - 11/01/2010	NATIONWIDE SECURITIES, LLC	CRD# 11173	CRANFORD, NJ
IA	08/01/2008 - 11/01/2010	NATIONWIDE SECURITIES, LLC	CRD# 11173	CRANFORD, NJ
IA	10/27/2000 - 08/01/2008	1717 CAPITAL MANAGEMENT COMPANY	CRD# 4082	CRANFORD, NJ
B	12/07/1988 - 08/01/2008	1717 CAPITAL MANAGEMENT COMPANY	CRD# 4082	CRANFORD, NJ
B	12/07/1988 - 12/15/1988	MOORE & SCHLEY SECURITIES CORPORATION	CRD# 10397	

### 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	C2P Capital Advisory Group, LLC dba Prosperity Capital Advisors	Investment Advisor Representative	Y	Westlake, OH, United States
07/2019 - Present	ONETEAM FINANCIAL LLC (d.b.a. for advisory business)	PRINCIPAL, Registered Representative, Investment Advisor Representative	Y	RED BANK, NJ, United States
10/2010 - Present	M HOLDINGS SECURITIES INC.	REGISTERED REPRESENTATIVE	Y	PORTLAND, OR, United States
10/2010 - 06/2019	ATLAS ADVISORY GROUP, LLC	PRINCIPAL / MARKETER	Y	CRANFORD, NJ, 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) BuckJoe, LLC; 16 Linden Place Colts Neck, NJ 07722; 02/17/2012; Owner; Real Estate and Cash Holdings; Not Investment Related; 2 hours/month; 0 hours/month during business hours; Ownership, Passive income.



## Registration & Employment History



### OTHER BUSINESS ACTIVITIES

- 2) OneTeam Financial, LLC; 331 Newman Springs Road Bldg. 1, Suite 107 Red Bank, NJ 07701; 07/01/2019; Owner/CEO/Principal/Producer; Financial planning, sales of insurance and investment products; Investment Related; 240 hours/month; 240 hours/month during business hours; Ownership, Commissions, Wages/Salary/Tips.
- 3) Madison Brokerage; 65 Madison Ave, Morristown, NJ 07962; 10/23/2015; Sales; Sales of non-M life insurance and annuity products; Investment Related; 10 hours/month; 10 hours/month during business hours; Commissions.
- 4) NJ DI & LTC Brokers; 1 Bethany Road, Hazlet, NJ 07730; 10/23/2015; Sales; Sales of long term care policies; Investment Related; 1 hour/month; 1 hour/month during business hours; Commissions.
- 5) Clarity 2 Prosperity; 30400 Detroit Road Suite 201, Westlake, OH 44145; 10/23/2015; Sales; Sales of life insurance and annuities; Investment Related; 3 hours/month; 3 hours/month during business hours; Commissions.
- 6) Hackensack Meridian Foundation; 1340 Campus Parkway, Wall, NJ 07753; 04/08/2019; Volunteer; Help with annual golf outing, answer questions from donors regarding insurance; Not Investment Related; 1 hour/month; 1 hour/month during business hours; No Compensation.
- 7) JackMorgan and Associates, LLC; 16 Linden Place Colts Neck, NJ 07722; 09/16/2013; Sole Member; LLC to handle business expenses; Not Investment Related; 0 hours/month; 0 hours/month during business hours; No Compensation.
- 8) OneTeam Financial Learning Program; 331 Newman Springs Road Bldg. 1, Suite 107 Red Bank, NJ 07701; Learning Program; Not Investment Related; CEO; Presenter in learning program; 02/01/2023; 3 hours per month; 3 hours per month during trading hours.
- 9) Prosperity Capital Advisors; 30400 Detroit Road Suite 201 Westlake, OH 44145; Registered Investment Advisor; Investment Related; Advisor; Holistic Retirement Planning and independent life insurance policy review; 03/01/2024; 80 hours per month; 60 hours per month during trading hours.
- 10) Mr. Buckwald is a registered representative of M Holdings Securities, Inc., a registered broker-dealer and member of FINRA conducting business at his registered location. In such capacity, Mr. Buckwald sells securities through M Holding Securities, Inc. and receives normal and customary commissions and other types of compensation, for example, mutual fund 12b-1 fees or variable annuity trails. Mr. Buckwald spends approximately 10 hours per week on this activity during trading hours.
- 11) David Buckwald has ownership shares in Blu, LLC and C2P Enterprises, LLC which includes its affiliate C2P Capital Advisory Group, LLC d.b.a. Prosperity Capital Advisors (PCA). Mr. Buckwald is not involved in the day-to-day operations of the company but is an advisor of PCA. Mr. Buckwald spends less than one hour per month on this activity during non-trading hours.
- 12) David Buckwald is a Board of Directors member for M Financial. In this position, Mr. Buckwald participates in regular meetings and consults M Financial on strategic matters. Mr. Buckwald spends approximately 4 hours per month on this activity during trading hours. Mr. Buckwald receives annual compensation for this activity.



## 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	1

**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**

<b>Reporting Source:</b>	Individual
<b>Employing firm when activities occurred which led to the complaint:</b>	M HOLDINGS SECURITIES, INC.
<b>Allegations:</b>	Mr. Buckwald is a named respondent. Consumer alleges forgery of trustee's signatures on insurance policy application; replacement and application of an insurance policy without consent; and unsuitability of insurance product. The alleged activity occurred in 2019.
<b>Product Type:</b>	Insurance
<b>Alleged Damages:</b>	\$0.00
<b>Alleged Damages Amount Explanation (if amount not exact):</b>	The complaint does not specify damages at this time. However, any damages from the alleged conduct would be greater than \$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>	SUPREME COURT OF THE STATE OF NEW YORK COUNTY OF NASSAU
<b>Docket/Case #:</b>	607329/2021
<b>Filing date of arbitration/CFTC reparation or civil litigation:</b>	06/10/2021



### Customer Complaint Information

**Date Complaint Received:** 07/02/2021  
**Complaint Pending?** No  
**Status:** Evolved into Civil litigation (the individual is a named party)  
**Status Date:** 06/10/2021  
**Settlement Amount:**

**Individual Contribution Amount:**

### Civil Litigation Information

**Type of Court:** State Court  
**Name of Court:** SUPREME COURT OF THE STATE OF NEW YORK COUNTY OF NASSAU  
**Location of Court:** Nassau County, New York  
**Docket/Case #:** 607329/2021  
**Date Notice/Process Served:** 07/08/2021  
**Litigation Pending?** Yes

### Broker Statement

Mr. Buckwald vehemently denies all allegations of wrongdoing in the customer's complaint. The claim of forgery is contradicted by the fact that the signatures are notarized. The customer was also aware of the policy and consented to it as he made inquiries about the policy a year before lodging this baseless complaint. The product was suitable as it was in accordance with the stated objectives of the customer. Any performance issues were caused by the customer's failure to pay policy premiums as set forth in the illustrations.



## End of Report

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