IAPD Report

DANIEL GENE WITHAM

CRD# 2139442

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 GENE WITHAM (CRD# 2139442)

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 **03/09/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	LPL FINANCIAL LLC	CRD# 6413	06/06/2008
IA	LPL FINANCIAL LLC	CRD# 6413	06/17/2008

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **25** 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	RAYMOND JAMES FINANCIAL SERVICES	6694	TULSA, OK	07/05/2006 - 06/06/2008
B	RAYMOND JAMES FINANCIAL SERVICES, INC.	6694	TULSA, OK	06/29/2006 - 06/06/2008
IA	CAMBRIDGE INVESTMENT RESEARCH ADVISORS, INC.	134139	TULSA, OK	02/13/2006 - 07/10/2006

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
Financial	3
Judgment/Lien	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 **25** jurisdiction(s) and 1 SRO(s) through his or her employer(s).

Employment 1 of 1

Firm Name: **LPL FINANCIAL LLC**

Main Address: 1055 LPL WAY
FORT MILL, SC 29715

Firm ID#: 6413

	Regulator	Registration	Status	Date
B	FINRA	General Securities Representative	Approved	06/06/2008
B	FINRA	General Securities Principal	Approved	07/25/2008
B	Arizona	Agent	Approved	12/17/2012
B	Arkansas	Agent	Approved	03/05/2009
B	California	Agent	Approved	09/30/2009
B	Colorado	Agent	Approved	05/21/2009
B	Florida	Agent	Approved	02/24/2010
B	Illinois	Agent	Approved	04/10/2015
B	Kansas	Agent	Approved	08/28/2008
B	Kentucky	Agent	Approved	08/18/2015
B	Massachusetts	Agent	Approved	08/29/2011
B	Minnesota	Agent	Approved	07/09/2025
B	Missouri	Agent	Approved	05/18/2009

Qualifications

	Regulator	Registration	Status	Date
B	Nebraska	Agent	Approved	04/09/2009
B	Nevada	Agent	Approved	01/31/2012
B	New York	Agent	Approved	06/08/2009
B	North Carolina	Agent	Approved	02/27/2014
B	Ohio	Agent	Approved	11/21/2012
B	Oklahoma	Agent	Approved	06/06/2008
IA	Oklahoma	Investment Adviser Representative	Approved	06/17/2008
B	Oregon	Agent	Approved	09/28/2012
B	Pennsylvania	Agent	Approved	06/28/2018
B	South Carolina	Agent	Approved	07/14/2025
B	Texas	Agent	Approved	04/20/2009
IA	Texas	Investment Adviser Representative	Restricted Approval	07/02/2009
B	Utah	Agent	Approved	12/16/2016
B	Virginia	Agent	Approved	03/27/2018
B	West Virginia	Agent	Approved	10/05/2015
B	Wyoming	Agent	Approved	05/02/2013

Branch Office Locations

LPL FINANCIAL LLC
8516 E. 101ST ST.
SUITE C
TULSA, OK 74133

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
B	General Securities Principal Examination (S24)	Series 24	07/24/2008

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	06/03/1991

State Securities Law Exams

	Exam	Category	Date
IA	Uniform Investment Adviser Law Examination (S65)	Series 65	12/16/1991
B	Uniform Securities Agent State Law Examination (S63)	Series 63	06/19/1991

PROFESSIONAL DESIGNATIONS

This section details that the representative has reported **0** professional designation(s).

No information reported.

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	07/05/2006 - 06/06/2008	RAYMOND JAMES FINANCIAL SERVICES	CRD# 6694	TULSA, OK
B	06/29/2006 - 06/06/2008	RAYMOND JAMES FINANCIAL SERVICES, INC.	CRD# 6694	TULSA, OK
IA	02/13/2006 - 07/10/2006	CAMBRIDGE INVESTMENT RESEARCH ADVISORS, INC.	CRD# 134139	TULSA, OK
B	02/09/2006 - 07/10/2006	CAMBRIDGE INVESTMENT RESEARCH, INC.	CRD# 39543	TULSA, OK
IA	08/26/2004 - 02/17/2006	UVEST FINANCIAL SERVICES GROUP, INC.	CRD# 13787	BROKEN ARROW, OK
B	08/24/2004 - 02/17/2006	UVEST FINANCIAL SERVICES GROUP, INC.	CRD# 13787	CHARLOTTE, NC
IA	04/20/2004 - 08/25/2004	CENTURY SECURITIES ASSOCIATES INC	CRD# 28218	BIXBY, OK
B	04/16/2004 - 08/25/2004	CENTURY SECURITIES ASSOCIATES, INC.	CRD# 28218	ST. LOUIS, MO
IA	04/16/2004 - 04/19/2004	CENTURY SECURITIES ASSOCIATES INC	CRD# 28218	BIXBY, OK
IA	07/21/2003 - 03/30/2004	ROYAL ALLIANCE ASSOCIATES, INC.	CRD# 23131	TULSA, OK
B	05/23/2003 - 03/30/2004	ROYAL ALLIANCE ASSOCIATES, INC.	CRD# 23131	SCOTTSDALE, AZ
IA	10/16/1997 - 12/10/2002	MORGAN STANLEY	CRD# 7556	TULSA, OK
B	04/08/1996 - 12/10/2002	MORGAN STANLEY DW INC.	CRD# 7556	PURCHASE, NY
B	06/05/1991 - 04/16/1996	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	CRD# 7691	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
06/2008 - Present	LPL FINANCIAL LLC	Registered Representative	Y	TULSA, OK, 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. 5/4/2012 - DW FINANCIAL SERVICES, INC. - Investment Related - At Reported Business Location(s) - DBA for LPL Business (entity for LPL business).

2. 01/05/2024 - Lawman Shave Products - Other - Business Owner - Owner - Not Investment Related - Home Based - Start Date 12/06/2023 - 10 Hours Per Month/ 0 Hours During Trading

3. 07/17/2024 - Other - Book publication - Investment Related - Home Based - Start Date 07/23/2024 - 10 hours Per Month/ 0 Hours During Trading

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
Financial	3
Judgment/Lien	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:	Individual
Employing firm when activities occurred which led to the complaint:	LPL FINANCIAL CORPORATION
Allegations:	Customer alleged that two mutual funds recommended by representative in July 2019 were unsuitable and sought recovery for losses. Activity dates: 7/17/2019 - 7/25/2019
Product Type:	Mutual Fund
Alleged Damages:	$17,000.00
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:	06/30/2021
Complaint Pending?	No
Status:	Denied
Status Date:	07/22/2021
Settlement Amount:	

Individual Contribution Amount:

Broker Statement This complaint has been denied. In July 2019, the customer purchased the two mutual funds, which were part of a portfolio of investments that Mr. Witham recommended, made none of the other recommended investments, and transferred her account on October 17, 2019. As of the date of transfer, the two mutual funds had increased in value by $1,125, or approximately 9% annualized. Then, and for approximately the next five months, the customer could have sold both funds for an investment gain, but did not do so. As a result of the global coronavirus crisis, the two funds declined in value after March 2020, and the customer sold the funds at a loss at her new firm. As he had not been her representative since October 17, 2019, Mr. Witham had no role in her decisions after that date about whether to hold or sell the two mutual funds, which had been recommended as components of a larger, diversified portfolio.

Disclosure 2 of 2

Reporting Source:	Firm
Employing firm when activities occurred which led to the complaint:	MORGAN STANLEY DW INC.
Allegations:	CLAIMED UNAUTHORIZED PURCHASES AND SALES.
Product Type:	Other
Other Product Type(s):	OPEN END MUTUAL FUNDS
Alleged Damages:	$11,438.00

Customer Complaint Information

Date Complaint Received:	05/31/2001
Complaint Pending?	No
Status:	Litigation
Status Date:	12/11/2002
Settlement Amount:	
Individual Contribution Amount:	

Civil Litigation Information

Court Details:	DISTRICT OF TULSA COUNTY STATE OF OKLAHOMA; CASE NO. CJ-2002-4109
Date Notice/Process Served:	07/22/2002
Litigation Pending?	No
Disposition:	Settled
Disposition Date:	12/11/2002
Monetary Compensation Amount:	$6,000.00
Individual Contribution Amount:	$0.00

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	MSDW
Allegations:	CLAIMED UNAUTHORIZED PURCHASES AND SALES
Product Type:	Other
Other Product Type(s):	OPEN END MUTUAL FUNDS
Alleged Damages:	$11,438.00

Customer Complaint Information

Date Complaint Received:	05/31/2001
Complaint Pending?	No
Status:	Litigation
Status Date:	12/11/2002
Settlement Amount:	
Individual Contribution Amount:	

Civil Litigation Information

Court Details:	TULSA COUNTY, OK CIVIL LITIGATION CJ 2002.4109
Date Notice/Process Served:	07/22/2002
Litigation Pending?	No
Disposition:	Settled
Disposition Date:	12/11/2002
Monetary Compensation Amount:	$6,000.00
Individual Contribution Amount:	$0.00

Financial

This disclosure event involves a final bankruptcy, compromise with one or more creditors, or Securities Investor Protection Corporation liquidation that occurred within the last 10 years and that involved the Investment Adviser Representative or an organization/investment adviser that the Investment Adviser Representative controlled that occurred within the last 10 years.

Disclosure 1 of 3

Reporting Source:	Individual
Action Type:	Compromise
Action Date:	07/19/2018
Organization Investment-Related?	
Action Pending?	Yes
If a compromise with creditor, provide:	
Name of Creditor:	MM Lending
Original Amount Owed:	$12,594.00
Terms Reached with Creditor:	Compromised/Settled for $8,000.00
Broker Statement	This is in reference to the judgment that was filed on 06/21/2018. A settlement has been reached and is being paid as agreed. The firm cannot take action against me as that is precluded by the settlement agreement. Their judgement is not valid nor enforceable.

Disclosure 2 of 3

Reporting Source:	Individual
Action Type:	Compromise
Action Date:	08/06/2018
Organization Investment-Related?	
Action Pending?	Yes
If a compromise with creditor, provide:	
Name of Creditor:	Ace Funding LLC
Original Amount Owed:	$20,151.39
Terms Reached with Creditor:	Compromised/Settled for $15,126.00
Broker Statement	This is in reference to the judgment that was filed on 06/20/2018. A settlement has been reached and is being paid as agreed. The firm cannot take action against me as that is precluded by the settlement agreement. Their judgement is not valid nor enforceable.

Disclosure 3 of 3

Reporting Source:	Individual
Action Type:	Compromise
Action Date:	11/07/2018
Organization Investment-Related?	
Action Pending?	No
Disposition:	Satisfied/Released
Disposition Date:	12/07/2020
If a compromise with creditor, provide:	
Name of Creditor:	24 Capital
Original Amount Owed:	$19,631.50
Terms Reached with Creditor:	Compromised/Settled for $15,525.20
Broker Statement	This is in reference to the judgment that was filed on 06/22/2018. A settlement has been reached and is being paid as agreed. The firm cannot take action against me as that is precluded by the settlement agreement. Their judgement is not valid nor enforceable.

Judgment/Lien

This disclosure event involves an unsatisfied and outstanding judgment or lien against the Investment Adviser Representative.

Disclosure 1 of 2

Reporting Source:	Individual
Judgment/Lien Holder:	Ace Funding Source, LLC
Judgment/Lien Amount:	$23,576.39
Judgment/Lien Type:	Civil
Date Filed with Court:	06/20/2018
Date Individual Learned:	12/13/2018
Type of Court:	County
Name of Court:	Erie County Clerk
Location of Court:	Erie County, NY
Docket/Case #:	18 809585
Judgment/Lien Outstanding?	Yes
Broker Statement	Compromise/Settlement was filed on 08/06/2018

Disclosure 2 of 2

Reporting Source:	Individual
Judgment/Lien Holder:	MM Lending Group
Judgment/Lien Amount:	$22,851.93
Judgment/Lien Type:	Civil
Date Filed with Court:	06/21/2018
Date Individual Learned:	12/13/2018
Type of Court:	County
Name of Court:	Orange County Clerk
Location of Court:	Orange County, NY
Docket/Case #:	EF0063352018
Judgment/Lien Outstanding?	Yes
Broker Statement	Compromise/Settlement was filed on 07/19/2018

End of Report

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