



IAPD Report

STEVEN DANIEL KATZENSTEIN

CRD# 2380645

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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

STEVEN DANIEL KATZENSTEIN (CRD# 2380645)

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 **02/26/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	DAI SECURITIES, LLC	CRD# 36673	08/07/2024
IA	PROSPERITY - AN EISNERAMPER COMPANY	CRD# 133777	08/13/2024

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **24** 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	AVANTAX ADVISORY SERVICES	104556	IRVING, TX	10/25/2019 - 08/19/2024
B	AVANTAX INVESTMENT SERVICES, INC.	13686	RALEIGH, NC	10/25/2019 - 08/19/2024
IA	1ST GLOBAL ADVISORS INC	111133	RALEIGH, NC	12/31/2001 - 10/25/2019

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	3



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

Employment 1 of 2

Firm Name: **DAI SECURITIES, LLC**
Main Address: 2800 CENTURY PARKWAY NE
SUITE 650
ATLANTA, GA 30345
Firm ID#: 36673

Regulator	Registration	Status	Date
B FINRA	General Securities Representative	Approved	08/07/2024
B FINRA	Invest. Co and Variable Contracts	Approved	08/07/2024
B Alabama	Agent	Approved	09/04/2024
B Arizona	Agent	Approved	09/04/2024
B California	Agent	Approved	08/07/2024
B Colorado	Agent	Approved	09/04/2024
B Delaware	Agent	Approved	09/06/2024
B Florida	Agent	Approved	08/08/2024
B Georgia	Agent	Approved	08/08/2024
B Illinois	Agent	Approved	04/08/2025
B Indiana	Agent	Approved	09/04/2024
B Kansas	Agent	Approved	08/19/2024
B Louisiana	Agent	Approved	10/10/2024



Qualifications

Regulator	Registration	Status	Date
B Maryland	Agent	Approved	09/23/2024
B Michigan	Agent	Approved	09/05/2024
B Mississippi	Agent	Approved	09/05/2024
B New Jersey	Agent	Approved	09/04/2024
B New York	Agent	Approved	09/02/2025
B North Carolina	Agent	Approved	09/04/2024
B Pennsylvania	Agent	Approved	08/08/2024
B South Carolina	Agent	Approved	09/05/2024
B Texas	Agent	Approved	11/22/2024
B Virginia	Agent	Approved	09/05/2024
B Washington	Agent	Approved	09/08/2025
B West Virginia	Agent	Approved	09/10/2024
B Wisconsin	Agent	Approved	09/05/2024

Branch Office Locations

1500 SUNDAY DR
SUITE 300
RALEIGH, NC 27607

Employment 2 of 2

Firm Name: **PROSPERITY - AN EISNERAMPER COMPANY**
Main Address: 10065 RED RUN BOULEVARD
SUITE 200
OWINGS MILLS, MD 21117
Firm ID#: 133777



Qualifications

Regulator	Registration	Status	Date
IA North Carolina	Investment Adviser Representative	Approved	08/13/2024
IA Texas	Investment Adviser Representative	Restricted Approval	08/13/2024

Branch Office Locations

PROSPERITY - AN EISNERAMPER COMPANY
1500 Sunday Drive
Suite 300
Raleigh, NC 27607



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, 3 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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 Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
 General Securities Representative Examination (S7)	Series 7	11/08/2000
 Investment Company Products/Variable Contracts Representative Examination (S6)	Series 6	01/30/1995

State Securities Law Exams

Exam	Category	Date
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 Uniform Investment Adviser Law Examination (S65)	Series 65	05/12/2000
 Uniform Securities Agent State Law Examination (S63)	Series 63	02/08/1995

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	10/25/2019 - 08/19/2024	AVANTAX ADVISORY SERVICES	CRD# 104556	IRVING, TX
B	10/25/2019 - 08/19/2024	AVANTAX INVESTMENT SERVICES, INC.	CRD# 13686	RALEIGH, NC
IA	12/31/2001 - 10/25/2019	1ST GLOBAL ADVISORS INC	CRD# 111133	RALEIGH, NC
B	09/08/1999 - 10/25/2019	1ST GLOBAL CAPITAL CORP.	CRD# 30349	RALEIGH, NC
B	01/31/1995 - 08/20/1999	NYLIFE SECURITIES INC.	CRD# 5167	NEW YORK, NY

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
08/2024 - Present	DAI SECURITIES LLC	REGISTERED REPRESENTATIVE	Y	ATLANTA, GA, United States
08/2024 - Present	Prosperity - An EisnerAmper Company	Investment Adviser Representative	Y	Raleigh, NC, United States
10/2019 - 08/2024	AVANTAX ADVISORY SERVICES	INVESTMENT ADVISER REPRESENTATIVE	Y	RALEIGH, NC, United States
10/2019 - 08/2024	AVANTAX INVESTMENT SERVICES, INC.	REGISTERED REPRESENTATIVE	Y	RALEIGH, NC, United States
01/2006 - 08/2024	HPG WEALTHCARE ADVISORS, LLC; (FORMERLY HPG FINANCIAL SERVICES,	FINANCIAL ADVISOR	Y	Raleigh, NC, United States
09/1999 - 08/2024	AVANTAX INSURANCE SERVICES, INC.	INSURANCE AGENT	Y	RALEIGH, NC, United States
07/2000 - 10/2019	1ST GLOBAL ADVISORS, INC.	REGISTERED INVESTMENT ADVISER REPRESENTATIVE	Y	RALEIGH, NC, United States
09/1999 - 10/2019	1ST GLOBAL CAPITAL CORP.	FINANCIAL ADVISOR	Y	RALEIGH, NC, United States



Registration & Employment History



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) FIXED INSURANCE AND ANNUITY SALES; POSITION: Insurance Agent NATURE: Fixed annuity and insurance sales INVESTMENT RELATED: Yes NUMBER OF HOURS: 1 SECURITIES TRADING HOURS: 1 START DATE: 08/2024; 1500 Sunday Drive, Suite 300, Raleigh NC 27607
- 2) MG SHELF CO LLC; INVESTMENT RELATED; SPRINGS, NC; REAL ESTATE INVESTING; INVESTOR; 9/2025; 0 HOURS; 0 HOURS; PASSIVE INVESTOR



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	3

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 3

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	AVANTAX INVESTMENT SERVICES, INC.
Allegations:	Customer alleged the representative did not conduct a reasonable basis analysis of the investment recommended and did not make a customer-specific suitable recommendation.
Product Type:	Direct Investment-DPP & LP Interests
Alleged Damages:	\$75,000.00
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
Docket/Case #:	23-00578
Filing date of arbitration/CFTC reparation or civil litigation:	03/08/2023
Customer Complaint Information	
Date Complaint Received:	03/13/2023
Complaint Pending?	No



Status: Denied
Status Date: 11/17/2023
Settlement Amount:
Individual Contribution Amount:
Broker Statement The arbitration panel dismissed the Claimant's claims in their entirety pursuant to FINRA Rule 12206(b) and denied all claims for damages.

Disclosure 2 of 3

Reporting Source: Individual
Employing firm when activities occurred which led to the complaint: 1ST GLOBAL
Allegations: CLIENT ALLEGES REPRESENTATIVE DID NOT UTILIZE STOP LOSS ORDERS EFFECTIVELY TO MANAGE RISK OF LOSS DURING DOWN MARKETS.
Product Type: Equity Listed (Common & Preferred Stock)
Alleged Damages: \$14,023.00
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: 11/20/2015
Complaint Pending? No
Status: Settled
Status Date: 12/30/2015
Settlement Amount: \$19,257.13
Individual Contribution Amount: \$5,000.00
Broker Statement FIRM AND REPRESENTATIVE RECEIVED EMAIL INQUIRY ON 08/20/15 FROM CLIENT INQUIRING ABOUT STOP LOSS ORDERING NOT TRIGGERING AT THE 7% MARKET PRICE DECREASE THRESHOLD AS EXPECTED. FIRM AND REPRESENTATIVE DETERMINED THAT STOP LOSS ORDERS HAD NOT BEEN PLACED. AFTER CAREFUL CONSIDERATION, THE FIRM AND REPRESENTATIVE CALCULATED ESTIMATED SALE PRICES CLIENT MAY HAVE SOLD SHARES AND CONCLUDED ESTIMATED DAMAGES IN THE AMOUNT OF \$14,023.

Disclosure 3 of 3

Reporting Source: Individual
Employing firm when activities occurred which led to the complaint: 1ST GLOBAL



Allegations: CLIENT ALLEGES DAMAGES IN CONNECTION WITH REQUIRED MINIMUM DISTRIBUTIONS TAKEN FROM JOHN HANCOCK VARIABLE ANNUITY. CLIENT ALLEGES DAMAGES IN THE AMOUNT OF \$449,225 WHICH HE STATES IS THE DIFFERENCE BETWEEN THE CURRENT VALUE OF THE VARIABLE ANNUITY AND THE PREDICTED VALUE OF THE RETIREMENT ACCOUNT WHICH FUNDED THE PURCHASE OF THE VARIABLE ANNUITY IN 2007 (THE POTENTIAL VALUE OF LOST OPPORTUNITY). THE CLIENT'S CALCULATION INCLUDED INCOME TAXES PAID AS A RESULT OF THE REQUIRED MINIMUM DISTRIBUTIONS.

Product Type: Annuity-Variable

Alleged Damages: \$449,225.00

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: 07/07/2014

Complaint Pending? No

Status: Settled

Status Date: 04/10/2015

Settlement Amount: \$297,891.08

Individual Contribution Amount: \$5,000.00

Broker Statement FIRM AND REGISTERED REPRESENTATIVE RESOLVED THIS MATTER BY SETTLEMENT IN LIEU OF LITIGATION. REPRESENTATIVE COMMENT: I HAVE GREAT RESPECT FOR MY CLIENTS AND VALUE THE CONFIDENCE AND TRUST THAT I EARN BY SERVING THEM WELL. I HAVE BEEN VERY FORTUNATE TO HAVE HAD SUCCESS IN BUILDING MY CLIENTS' WEALTH THROUGH HARD WORK AND DEDICATION. I FOUND AN ERROR IN THE WORK I HAD DONE FOR MY CLIENT AND REPORTED THIS TO MY HOME OFFICE AND TO THEM. MY CLIENTS WERE APPRECIATIVE OF THE WAY I HANDLED THIS ISSUE AND WAS AN ADVOCATE FOR THEM IN THE RESOLUTION PROCESS THAT WAS DONE BY 1 ST GLOBAL. MY CLIENTS HAVE CONTINUED TO WORK WITH ME WITH THEIR ACCOUNTS DURING THE RESOLUTION PROCESS AND AFTERWARDS. I LOOK FORWARD TO BEING OF GREAT HELP TO THEM FOR MANY YEARS TO COME."



End of Report

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