



IAPD Report

DANIEL ALLEN DAGUE

CRD# 2397866

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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 ALLEN DAGUE (CRD# 2397866)

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 **12/10/2020**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	FORTUNE FINANCIAL SERVICES, INC.	CRD# 42150	01/13/2015
IA	PROSPERITY WEALTH MANAGEMENT, INC.	CRD# 174328	01/06/2020

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
IA	PROSPERITY WEALTH MANAGEMENT, INC.	174328	Alliance, OH	11/21/2019 - 12/31/2019
B	INVESTMENT NETWORK, INC.	127724	N. CANTON, OH	12/03/2004 - 01/07/2015
B	LEGACY FINANCIAL SERVICES, INC.	38697	PETALUMA, CA	11/21/2003 - 09/28/2004

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

Employment 1 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
IA Ohio	Investment Adviser Representative	Approved	01/06/2020

Branch Office Locations

PROSPERITY WEALTH MANAGEMENT, INC.

333 E State Street
Alliance, OH 44601

Employment 2 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
B FINRA	General Securities Representative	Approved	01/13/2015
B Ohio	Agent	Approved	01/13/2015

Branch Office Locations

333 E. State Street
Alliance, OH 44601



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
No information reported.		

General Industry/Product Exams

Exam	Category	Date
 Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
 National Commodity Futures Examination (S3)	Series 3	11/28/1994
 General Securities Representative Examination (S7)	Series 7	10/26/1993

State Securities Law Exams

Exam	Category	Date
  Uniform Combined State Law Examination (S66)	Series 66	10/16/2019
 Uniform Securities Agent State Law Examination (S63)	Series 63	10/21/2004

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	11/21/2019 - 12/31/2019	PROSPERITY WEALTH MANAGEMENT, INC.	CRD# 174328	Alliance, OH
B	12/03/2004 - 01/07/2015	INVESTMENT NETWORK, INC.	CRD# 127724	N. CANTON, OH
B	11/21/2003 - 09/28/2004	LEGACY FINANCIAL SERVICES, INC.	CRD# 38697	PETALUMA, CA
B	07/18/2002 - 11/06/2003	QUESTAR CAPITAL CORPORATION	CRD# 43100	MINNEAPOLIS, MN
B	03/15/1999 - 07/02/2002	CHARTER ONE SECURITIES, INC.	CRD# 13373	CLEVELAND, OH
B	06/10/1997 - 03/15/1999	LOCUST STREET SECURITIES, INC.	CRD# 1703	DES MOINES, IA
B	10/03/1995 - 04/30/1997	MCDONALD & COMPANY SECURITIES, INC.	CRD# 566	CLEVELAND, OH
B	10/27/1993 - 09/22/1994	MULTI-BANK SECURITIES, INC.	CRD# 22098	SOUTHFIELD, MI

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
11/2019 - Present	Prosperity Wealth Management Inc.	Investment Adviser Representative	Y	San Ramon, CA, United States
01/2015 - Present	FORTUNE FINANCIAL SERVICES, INC.	REGISTERED REPRESENTATIVE	Y	MONACA, PA, United States
10/2004 - Present	BUCKEYE TAX SERVICE	TAX PREPARER	N	ALLIANCE, OH, 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.

PART OWNER OF BUCKEYE TAX AND FINANCIAL SERVICE LLC (DBA) LOCATED AT 319 EAST STATE STREET, ALLIANCE OH 44601. DUTIES INCLUDE FULL TIME TAX PREPARATION DURING TAX SEASON. ALSO CONDUCTS INSURANCE



Registration & Employment History

OTHER BUSINESS ACTIVITIES

SALES ON A COMMISSION BASIS. FIXED ANNUITIES AND HEALTH

Representative has met the requirements of the IRS to become an enrolled agent.

Representative also does sales of Medicare supplemental insurance and Medicare advantage plans. This is commission based Taxmasteronline.com Owner enrolled agent__/_ IAR with Prosperity Wealth Management



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
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:	Firm
Employing firm when activities occurred which led to the complaint:	CHARTER ONE SECURITIES
Allegations:	CUSTOMER ALLEGES MISREPRESENTATION IN THE OPPENHEIMER NATIONAL ROCHESTER MUNICIPAL BOND FUND CLASS B

Product Type:	Mutual Fund(s)
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Alleged Damages:	\$9,191.25
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Customer Complaint Information

Date Complaint Received:	04/14/2003
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Complaint Pending?	No
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Status:	Closed/No Action
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Status Date:	05/13/2003
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Settlement Amount:

Individual Contribution Amount:
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Reporting Source:	Individual
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Employing firm when activities occurred which led to the complaint:

CHARTER ONE SECURITIES

Allegations:

MR. KONESKI CAME TO ME WANTING TO INVEST IN A TAX FREE MUNICIPAL BOND. BECAUSE HE OWNED OPPENHEIMER FUNDS/ THOSE OPPENHEIMER ROCHESTER NATIONAL MUNICIPAL. HE STATES I MISREPRESENTED THE FUND BECAUSE HE TOLD ME HE DID NOT WANT TO INVEST IN TABACCO OR AIRLINE SECURITIES. I DON'T RECALL THAT CONVERSATION BUT SAVE HIM A PROSPECTUS. THE FUNDS HAVE DROPPED DUE TO A POSITION IN TABACCO & AIRLINE SECURITIES POSITIONS.

Product Type:

Mutual Fund(s)

Other Product Type(s):

OPPENHEIMER ROCHESTER NATIONAL MUNICIPAL BOND FUND.

Alleged Damages:

\$9,191.25

Customer Complaint Information

Date Complaint Received: 04/14/2003

Complaint Pending? No

Status: Closed/No Action

Status Date: 05/13/2003

Settlement Amount:

Individual Contribution Amount:

Disclosure 2 of 2

Reporting Source: Firm

Employing firm when activities occurred which led to the complaint: MCDONALD INVESTMENTS INC.

Allegations: CLIENT ASSERTS THAT THE INVESTMENT STRATEGY AND TRANSACTIONS IN HIS ACCOUNT WERE NOT SUITABLE. HE ALLEGES DAMAGES OF \$50,000.00 FROM THESE TRANSACTIONS.

Product Type:

Alleged Damages: \$50,000.00

Customer Complaint Information

Date Complaint Received: 04/01/1997

Complaint Pending? No

Status: Settled

Status Date:

Settlement Amount: \$25,588.41

Individual Contribution Amount: \$0.00

Firm Statement MCDONALD & COMPANY SETTLED THIS MATTER FOR \$25,588.41 IN ORDER TO RESTORE GOODWILL WITH THE CUSTOMER. MR. DAGUE DID NOT CONTRIBUTE TO THIS SETTLEMENT.



Not Provided

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: MCDONALD INVESTMENTS INC.

Allegations: [CUSTOMER] COMPLAINED WHEN THE VALUE OF HIS STOCK PORTFOLIO DECLINED BY \$50,000.00 MCDONALD & COMPANY SETTLED THE COMPLAINT FOR \$25000.00 BEFORE IT WENT TO ARBITRATION. THERE WAS AN INQUIRY BY THE NYSE & NASD. NO ACTION WAS TAKEN AND IT WAS CLOSED.

Product Type: Other

Other Product Type(s): STOCKS

Alleged Damages: \$50,000.00

Customer Complaint Information

Date Complaint Received: 04/01/1997

Complaint Pending? No

Status: Closed/No Action
Settled

Status Date: 02/01/1998

Settlement Amount: \$25,588.41

Individual Contribution Amount: \$0.00

Broker Statement MCDONALD & COMPANY SETTLED THIS MATTER FOR \$25,588.41 IN ORDER TO RESTORE GOODWILL WITH THE CUSTOMER.



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: STATE OF MICHIGAN
Judgment/Lien Amount: \$3,700.00
Judgment/Lien Type: Tax
Date Filed: 09/28/1993
Judgment/Lien Outstanding? Yes
Broker Statement I DID NOT KNOW ABOUT THIS UNTILL 11/21/2003, WHEN I RECEIVED A REQUESTED COPY FROM EXPERIAN. I PLAN ON RESOLVING THIS MATTER.

Disclosure 2 of 2

Reporting Source: Individual
Judgment/Lien Holder: UNITED PAINT & CHEMICAL
Judgment/Lien Amount: \$15,477.70
Judgment/Lien Type: Civil
Date Filed: 03/14/1994
Court Details: 93 331921 CK
Judgment/Lien Outstanding? Yes
Broker Statement UNSATISFIED JUDGMENT FOR \$15,477.70.
JUDGMENT REMAINS UNSATISFIED.
IN JANUARY OF 1993 I WAS FORCED OUT OF BUSINESS
(AS OWNER OF COATING SYSTEMS) DUE TO NO PAYMENT BY A
CONTRACTOR
WHO HAD ENTERED INTO AN AGREEMENT WITH ME (COATING SYSTEMS)
TO
PROVIDE PAINTING SERVICES. THE AMOUNT WHICH WAS OWED TO ME
AND
NEVER COLLECTED WAS \$53,000.00. THE AMOUNT OWED IS FOR
MATERIALS USED ON VARIOUS JOBS. BECAUSE OF THE NO PAYMENT AND
THE LOSS OF MY BUSINESS, I WAS NOT ABLE TO SATISFY THE
JUDGMENT.



End of Report

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