



## IAPD Report

# MATTHEW SCOTT DANA

CRD# 4231821

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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

### MATTHEW SCOTT DANA (CRD# 4231821)

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 **10/29/2025**.

### CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
<b>IA</b>	DANA WHITING FINANCIAL, LLC	CRD# 164151	02/01/2017

### QUALIFICATIONS

This representative is currently registered in **0** SRO(s) and **3** 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>	DANA FINANCIAL	164151	SCOTTSDALE, AZ	07/03/2012 - 12/31/2015
<b>IA</b>	RAYMOND JAMES FINANCIAL SERVICES ADVISORS, INC	149018	SCOTTSDALE, AZ	11/09/2010 - 10/18/2011
<b>B</b>	RAYMOND JAMES FINANCIAL SERVICES, INC.	6694	SCOTTSDALE, AZ	07/26/2000 - 10/18/2011

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	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 **3** jurisdiction(s) and **0** SRO(s) through his or her employer(s).

#### Employment 1 of 1

Firm Name: **DANA WHITING FINANCIAL, LLC**  
Main Address: 8817 E. BELL ROAD  
SUITE 201  
SCOTTSDALE, AZ 85260  
Firm ID#: 164151

Regulator	Registration	Status	Date
IA Arizona	Investment Adviser Representative	Approved	02/01/2017
IA California	Investment Adviser Representative	Approved	11/14/2025
IA Texas	Investment Adviser Representative	Restricted Approval	04/07/2022

#### Branch Office Locations

**DANA WHITING FINANCIAL, LLC**  
8817 E. BELL ROAD  
SUITE 201  
SCOTTSDALE, AZ 85260



## 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, 1 general industry/product exam, and 1 state securities law exam.**

#### 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>	General Securities Representative Examination (S7)	Series 7	07/25/2000
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#### State Securities Law Exams

Exam	Category	Date
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<b>IA</b> <b>B</b>	Uniform Combined State Law Examination (S66)	Series 66	09/01/2000
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### PROFESSIONAL DESIGNATIONS

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

#### Chartered Financial Consultant

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	07/03/2012 - 12/31/2015	DANA FINANCIAL	CRD# 164151	SCOTTSDALE, AZ
IA	11/09/2010 - 10/18/2011	RAYMOND JAMES FINANCIAL SERVICES ADVISORS, INC	CRD# 149018	SCOTTSDALE, AZ
B	07/26/2000 - 10/18/2011	RAYMOND JAMES FINANCIAL SERVICES, INC.	CRD# 6694	SCOTTSDALE, AZ

### 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
01/2020 - Present	Jet Probate, LLC	Principal	N	Scottsdale, AZ, United States
10/2017 - Present	Dana Whiting Law, PLLC	Attorney and Managing Member	N	Scottsdale, AZ, United States
02/2003 - Present	Dana Whiting Financial, LLC	Principal (since 02/2003) and IAR (since 07/2012)	Y	Scottsdale, AZ, United States
11/2014 - 10/2017	Quarles & Brady, LLP	Attorney and Partner	N	Scottsdale, AZ, 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.

Unless otherwise stated, all following businesses are in Scottsdale, AZ, are not investment related and represent fewer than 5 hours per month, substantially all during trading hours: (1) Jet Probate, LLC; formed to provide probate services; since 01/2020; (2) Dana Law Office Building LLC, formed to own real estate, Managing Member, since 02/2007; (3) Royal Meridian LLC, formed to own real estate, Managing Member, since 03/2006;(4) Dana Freeway Building LLC, formed to own real estate, Managing Member (indirect through trust), since 11/2008;(5) Rancho Allegre at Willow Creek Inc., homeowners association formed to manage personal vacation property, President, Mesa, AZ, since 04/2003; (6) Turbo Lawyer LLC, legal software business, Member, since 06/2013, (7)Dana Law Firm PA, previously established as an estate planning law firm, no longer practicing law, founder and Managing Partner, since 05/1989; (8) 30 Acre Desert Northwest LLC, formed to hold real estate, member, since 07/2005; (9) Lawyer's Fiduciary, LLC, formed to provide fiduciary services to legal estate planning clients, managing member, since 5/2015 (10) Dana Rosa, LLC, formed to own vacation property, managing member (indirect through trust), since 04/2013; (11) Law Partners LLC, formed as legal software business, not currently actively engaged in business, since 3/2013; (12) Estate Planning Source LLC, formed as legal software business, not currently actively engaged in business, since 5/2012; (13) Valley Heritage Foundation; nonprofit organization, since 3/31/2003; (14) Dana Bayside Cove, LLC; formed to own vacation property, managing member (indirect through trust, since 09/2021; (14) Lifeguard Law, LLC; formed to provide estate planning services;



## Registration & Employment History



### OTHER BUSINESS ACTIVITIES

since 12/2020.



## 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	2

### 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 2

<b>Reporting Source:</b>	Individual
<b>Regulatory Action Initiated By:</b>	Arizona State Board of Accountancy
<b>Sanction(s) Sought:</b>	Suspension
<b>Date Initiated:</b>	12/01/2015
<b>Docket/Case Number:</b>	ASBA File No. 2016.058
<b>Employing firm when activity occurred which led to the regulatory action:</b>	Matthew S. Dana CPA
<b>Product Type:</b>	No Product
<b>Allegations:</b>	Mr. Dana failed to obtain necessary CPA continuing education credits prior to date necessary to renew CPA certificate with the Arizona State Board of Accountancy, thus leading to an automatic suspension of his CPA license. Mr. Dana subsequently inadvertently used the CPA designation during the suspension by not removing existing CPA usages on his firm's website. This was brought to the attention of the ASBA, which opened an inquiry that was concluded with the entering into of a Consent Order by Mr. Dana and the ASBA and the payment of a \$250 administrative penalty.
<b>Current Status:</b>	Final
<b>Resolution:</b>	Consent



<b>Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct?</b>	No
<b>Resolution Date:</b>	02/25/2016
<b>Sanctions Ordered:</b>	Civil and Administrative Penalty(ies)/Fine(s) Suspension Other: Automatic suspension was automatically vacated upon compliance with registration renewal requirements and payment of all past due fees. Mr. Dana also paid a \$250 administrative penalty.
<b>Sanction 1 of 1</b>	
<b>Sanction Type:</b>	Suspension
<b>Capacities Affected:</b>	CPA
<b>Duration:</b>	See explanation
<b>Start Date:</b>	11/03/2014
<b>End Date:</b>	10/28/2015
<b>Monetary Sanction 1 of 1</b>	
<b>Monetary Related Sanction:</b>	Civil and Administrative Penalty(ies)/Fine(s)
<b>Total Amount:</b>	\$250.00
<b>Portion Levied against individual:</b>	\$250.00
<b>Payment Plan:</b>	
<b>Is Payment Plan Current:</b>	
<b>Date Paid by individual:</b>	02/18/2016
<b>Was any portion of penalty waived?</b>	No
<b>Amount Waived:</b>	
<b>Disclosure 2 of 2</b>	
<b>Reporting Source:</b>	Individual
<b>Regulatory Action Initiated By:</b>	Arizona Fiduciary Licensure Board
<b>Sanction(s) Sought:</b>	Denial
<b>Date Initiated:</b>	09/01/2016
<b>Docket/Case Number:</b>	None
<b>Employing firm when activity occurred which led to the regulatory action:</b>	None-individual fiduciary license application
<b>Product Type:</b>	No Product
<b>Allegations:</b>	Denial of a private fiduciary license for omissions on the initial application of civil



lawsuits and an informal reprimand Arizona State Bar complaint.

**Current Status:**

Final

**Resolution:**

Decision

**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:**

09/08/2016

**Sanctions Ordered:**

Denial

**Broker Statement**

License application for a Fiduciary License was denied because of two omissions on the initial application. One omission related to a civil lawsuit filed against a law firm owned by the applicant, Dana Law Firm. Dana Law Firm defended and ultimately settled the lawsuit and paid the defendant bonus money that was not believed to be owed because of past deficiencies accrued by that employee. Upon further review of the Court records the applicant and his spouse were in fact named defendants in the lawsuit. There were no allegations of fraud in this civil matter. The second omission related to an Informal Reprimand filed by the Arizona State Bar against the applicant in a matter almost 10 years ago. Applicant didn't disclose this matter because he believed the matter had been expunged because it was an "informal" reprimand. On further review it was discovered that it is part of the applicant's permanent record.



## End of Report

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