



IAPD Report

DANIEL CORAL GOODWIN

CRD# 5752768

<u>Section Title</u>	<u>Page(s)</u>
Report Summary	1
Qualifications	2 - 7
Registration and Employment History	8 - 9
Disclosure Information	10



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 CORAL GOODWIN (CRD# 5752768)

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 **08/28/2025**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
IA	PROVIDENT WEALTH ADVISORS, LLC	CRD# 157392	06/15/2011
IA	ACCURATE WEALTH MANAGEMENT, LLC	CRD# 298137	11/10/2022
B	GREAT POINT CAPITAL LLC	CRD# 114203	06/03/2024

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **50** 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	AAG CAPITAL, INC	188	The Woodlands, TX	03/09/2022 - 06/06/2024
IA	GRADIENT ADVISORS, LLC	152665	THE WOODLANDS, TX	02/18/2010 - 01/03/2012
IA	GRADIENT INVESTMENTS, LLC	141726	ARDEN HILLS, MN	01/26/2010 - 02/17/2010

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
Criminal	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 **50** jurisdiction(s) and 1 SRO(s) through his or her employer(s).

Employment 1 of 3

Firm Name: **GREAT POINT CAPITAL LLC**
Main Address: 200 WEST JACKSON BLVD.
SUITE 1000
CHICAGO, IL 60606
Firm ID#: 114203

	Regulator	Registration	Status	Date
B	FINRA	Direct Participation Programs	Approved	06/03/2024
B	FINRA	Invest. Co and Variable Contracts	Approved	06/03/2024
B	Alabama	Agent	Approved	06/03/2024
B	Alaska	Agent	Approved	06/03/2024
B	Arizona	Agent	Approved	06/03/2024
B	Arkansas	Agent	Approved	06/03/2024
B	California	Agent	Approved	06/03/2024
B	Colorado	Agent	Approved	06/03/2024
B	Connecticut	Agent	Approved	06/03/2024
B	Delaware	Agent	Approved	06/18/2024
B	District of Columbia	Agent	Approved	06/03/2024
B	Florida	Agent	Approved	06/03/2024
B	Georgia	Agent	Approved	06/03/2024



Qualifications

	Regulator	Registration	Status	Date
B	Hawaii	Agent	Approved	06/06/2024
B	Idaho	Agent	Approved	06/06/2024
B	Illinois	Agent	Approved	06/03/2024
B	Indiana	Agent	Approved	06/03/2024
B	Iowa	Agent	Approved	06/07/2024
B	Kansas	Agent	Approved	06/03/2024
B	Kentucky	Agent	Approved	06/03/2024
B	Louisiana	Agent	Approved	06/03/2024
B	Maine	Agent	Approved	06/04/2024
B	Maryland	Agent	Approved	06/03/2024
B	Massachusetts	Agent	Approved	06/03/2024
B	Michigan	Agent	Approved	06/03/2024
B	Minnesota	Agent	Approved	06/03/2024
B	Mississippi	Agent	Approved	06/03/2024
B	Missouri	Agent	Approved	06/03/2024
B	Montana	Agent	Approved	06/06/2024
B	Nebraska	Agent	Approved	06/03/2024
B	Nevada	Agent	Approved	06/03/2024
B	New Hampshire	Agent	Approved	06/06/2024



Qualifications

	Regulator	Registration	Status	Date
B	New Jersey	Agent	Approved	06/03/2024
B	New Mexico	Agent	Approved	06/03/2024
B	New York	Agent	Approved	06/03/2024
B	North Carolina	Agent	Approved	06/03/2024
B	North Dakota	Agent	Approved	06/10/2024
B	Ohio	Agent	Approved	06/03/2024
B	Oklahoma	Agent	Approved	06/03/2024
B	Oregon	Agent	Approved	06/03/2024
B	Pennsylvania	Agent	Approved	06/03/2024
B	Rhode Island	Agent	Approved	06/28/2024
B	South Carolina	Agent	Approved	06/03/2024
B	South Dakota	Agent	Approved	06/03/2024
B	Texas	Agent	Approved	06/03/2024
B	Utah	Agent	Approved	06/03/2024
B	Vermont	Agent	Approved	06/05/2024
B	Virginia	Agent	Approved	06/03/2024
B	Washington	Agent	Approved	06/03/2024
B	West Virginia	Agent	Approved	06/06/2024
B	Wisconsin	Agent	Approved	06/03/2024



Qualifications

Regulator	Registration	Status	Date
B Wyoming	Agent	Approved	06/06/2024

Branch Office Locations

25511 Budde Road
Suite 1002
The Woodland, TX 77380

Employment 2 of 3

Firm Name: **ACCURATE WEALTH MANAGEMENT, LLC**
Main Address: 2211 ASHLEY OAKS CIRCLE
WESLEY CHAPEL, FL 33544
Firm ID#: 298137

Regulator	Registration	Status	Date
IA Texas	Investment Adviser Representative	Approved	11/10/2022

Branch Office Locations

ACCURATE WEALTH MANAGEMENT, LLC
25511 Budde Road
Suite 1002
The Woodlands, TX 77380

Employment 3 of 3

Firm Name: **PROVIDENT WEALTH ADVISORS, LLC**
Main Address: 25511 BUDDE RD.
SUITE 1002
THE WOODLANDS, TX 77380
Firm ID#: 157392

Regulator	Registration	Status	Date
IA Louisiana	Investment Adviser Representative	Approved	08/29/2016
IA Texas	Investment Adviser Representative	Approved	06/15/2011

Branch Office Locations

PROVIDENT WEALTH ADVISORS, LLC



Qualifications

25511 BUDDE RD.
SUITE 1002
THE WOODLANDS, TX 77380



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
------	----------	------

B	Investment Company Products/Variable Contracts Representative Examination (S6TO)	Series 6TO	04/28/2022
B	Direct Participation Programs Representative Examination (S22TO)	Series 22TO	02/18/2022
B	Securities Industry Essentials Examination (SIE)	SIE	01/06/2022

State Securities Law Exams

Exam	Category	Date
------	----------	------

B	Uniform Securities Agent State Law Examination (S63)	Series 63	03/22/2022
IA	Uniform Investment Adviser Law Examination (S65)	Series 65	10/20/2009

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
B	03/09/2022 - 06/06/2024	AAG CAPITAL, INC	CRD# 188	The Woodlands, TX
IA	02/18/2010 - 01/03/2012	GRADIENT ADVISORS, LLC	CRD# 152665	THE WOODLANDS, TX
IA	01/26/2010 - 02/17/2010	GRADIENT INVESTMENTS, LLC	CRD# 141726	ARDEN HILLS, MN

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
06/2024 - Present	Great Point Capital, LLC	Registered Representative	Y	Chicago, IL, United States
11/2022 - Present	Accurate Wealth Management, LLC	investment adviser representative	Y	Wesley Chapel, FL, United States
12/2016 - Present	PROVIDENT MANAGEMENT LLC	MANAGING MEMBER	N	THE WOODLANDS, TX, United States
03/2011 - Present	PROVIDENT WEALTH ADVISORS, LLC	MANAGING MEMBER/PRESIDENT/CCO	Y	THE WOODLANDS, TX, United States
04/2010 - Present	GOODWIN FINANCIAL REALTY	MANAGING MEMBER	N	CONROE, TX, United States
05/2005 - Present	SELF EMPLOYED	INDEPENDENT INSURANCE AGENT	Y	THE WOODLANDS, TX, United States
03/2005 - Present	TCEI DBA GOODWIN FINANCIAL GROUP	OWNER	Y	THE WOODLANDS, TX, United States
03/2022 - 06/2024	AAG Capital, Inc.	registered representative	Y	Wesley Chapel, FL, United States
01/2007 - 12/2016	HOMETRUST	BRANCH MANAGER	N	THE WOODLANDS, TX, 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.

Daniel Goodwin is a managing member of Goodwin Financial Reality. The address of Goodwin Financial Reality is 5354 Montego



Registration & Employment History



OTHER BUSINESS ACTIVITIES

Cove Drive, Willis, TX, 77318. The start date is April 2010. He plans to spend 5 hours per month during normal trading hours and 5 hours per month outside of normal trading hours. This is not investment related.

Daniel Goodwin is a managing member of Provident Wealth Advisors, LLC. The address of Provident Management LLC is 25511 Budde Rd. Suite 1002, The Woodlands, TX, 77380. The start date is March 2011. He plans to spend 70 hours per month during normal trading hours and 30 hours per month outside of normal trading hours. This is investment related.

Daniel Goodwin is a managing member of Provident Management LLC. The address of Provident Management LLC is 25511 Budde Rd. Suite 1002, The Woodlands, TX, 77380. The start date is December 2016. He plans to spend 2 hours per month during normal trading hours and 2 hours per month outside of normal trading hours. This is not investment related.

Daniel Goodwin is an owner/Insurance Agent of TCEI DBA Goodwin Financial Group. The address of TCEI DBA Goodwin Financial Group is 25511 Budde Rd. Suite 1002, The Woodlands, TX, 77380. The start date is March 2005. He plans to spend 10 hours per month during normal trading hours and 0 hours per month outside of normal trading hours. This is investment related.



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
Criminal	1

Criminal

This disclosure event involves a criminal charge against the Investment Adviser Representative that has resulted in a dismissal, plea, acquittal or conviction. The criminal matter may relate to any felony or certain misdemeanor offenses (e.g., bribery, perjury, forgery, counterfeiting, extortion, fraud, wrongful taking of property).

Disclosure 1 of 1

Reporting Source:	Individual
Formal Charges were brought in:	State Court
Name of Court:	New Jersey state court
Location of Court:	Morris, New Jersey
Docket/Case #:	not known
Charge Date:	06/02/1988
Charge(s) 1 of 1	
Formal Charge(s)/Description:	unlicensed possession of a firearm
No of Counts:	1
Felony or Misdemeanor:	Felony
Plea for each charge:	not guilty
Disposition of charge:	Dismissed
Current Status:	Final
Status Date:	07/01/1988
Disposition Date:	07/01/1988
Sentence/Penalty:	To Whom It May Concern,

Over 30 year ago and during my 20's, and not very long after college I traveled from my home state of Texas to the state of New Jersey to help a friend for a few weeks with his family business. I traveled there with a handgun in my car which is entirely legal in my home state. While in New Jersey I was pulled over for a routine traffic stop and the officer asked me if I had any weapons. I confirmed that I had a handgun in my vehicle and was immediately searched, and the weapon was



confiscated. I'm not sure if I was even arrested as the officers on the scene seemed very confused about what to do with me being an out of state resident. I know I went to a station and had to fill out some kind of paperwork where I agreed to a minor court process and was told later that the case was settled if I were to agree to surrender the gun, which I did. I'm not sure that I was even ever "arrested" and I'm highly confident I was not charged with anything. I'm 100 percent certain that I was not convicted of anything and the attorney I hired even told me it was entirely expunged from my record.

Since this event over 30 years ago I have never heard mention of this incident. Not one time, ever. I am 60 years old today and I have assumed for more than three decades that this was in the past and the matter was closed and expunged. I have contacted everyone I can think to contact in New Jersey to request information on this matter and no one I could find had any information on this case. I was told repeatedly in multiple jurisdictions that no one there keeps records like this that long. I am working now on the expungement that should have happened long ago. At the time this happened, and as a young man in my 20's I had no idea that other states had gun laws that could be different from my home state of Texas. Today I know differently. I would never willfully break the law and I think my unblemished record for over thirty years attests to such. I hold my pers

Broker Statement

all charges were dismissed against Mr. Goodwin, and the record of the proceedings was expunged



End of Report

This page is intentionally left blank.