User Guidance

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IAPD Report

DANIEL PATRICK COREY

CRD# 6319568

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 PATRICK COREY (CRD# 6319568)

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 **05/04/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	BANKERS LIFE SECURITIES, INC.	CRD# 173962	05/26/2016
IA	BANKERS LIFE ADVISORY SERVICES, INC.	CRD# 281285	02/26/2019

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **12** 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	PROEQUITIES, INC.	15708	PORTLAND, OR	09/17/2014 - 05/26/2016

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

Employment 1 of 2

Firm Name: **BANKERS LIFE SECURITIES, INC.**

Main Address: 303 E WACKER DRIVE
STE 500
CHICAGO, IL 60601

Firm ID#: 173962

	Regulator	Registration	Status	Date
B	FINRA	Invest. Co and Variable Contracts	Approved	05/26/2016
B	FINRA	General Securities Representative	Approved	03/06/2018
B	FINRA	General Securities Principal	Approved	01/02/2020
B	Arizona	Agent	Approved	04/11/2024
B	Arkansas	Agent	Approved	08/04/2022
B	California	Agent	Approved	08/02/2022
B	Idaho	Agent	Approved	09/09/2021
B	Kentucky	Agent	Approved	09/06/2022
B	Michigan	Agent	Approved	04/03/2024
B	Mississippi	Agent	Approved	08/03/2022
B	Oregon	Agent	Approved	05/26/2016
B	Texas	Agent	Approved	08/01/2022
B	Utah	Agent	Approved	05/05/2026

Qualifications

	Regulator	Registration	Status	Date
B	Virginia	Agent	Approved	09/29/2025
B	Washington	Agent	Approved	05/26/2016

Branch Office Locations

6135 NE 80th Ave Unit A5
PORTLAND, OR 97218

Employment 2 of 2

Firm Name:	**BANKERS LIFE ADVISORY SERVICES, INC.**
Main Address:	303 E. WACKER DRIVE STE 500 CHICAGO, IL 60601
Firm ID#:	281285

	Regulator	Registration	Status	Date
IA	Oregon	Investment Adviser Representative	Approved	02/26/2019

Branch Office Locations

BANKERS LIFE ADVISORY SERVICES, INC.
6135 NE 80th Ave Unit A5
Portland, OR 97218

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, 3 general industry/product exams, and 2 state securities law exams.

Principal/Supervisory Exams

	Exam	Category	Date
B	General Securities Principal Examination (S24)	Series 24	12/30/2019

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	03/06/2018
B	Investment Company Products/Variable Contracts Representative Examination (S6)	Series 6	09/17/2014

State Securities Law Exams

	Exam	Category	Date
IA B	Uniform Combined State Law Examination (S66)	Series 66	01/31/2019
B	Uniform Securities Agent State Law Examination (S63)	Series 63	09/25/2014

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
B	09/17/2014 - 05/26/2016	PROEQUITIES, INC.	CRD# 15708	PORTLAND, OR

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
01/2019 - Present	Bankers Life Advisory Services	Financial Advisor	Y	Portland, OR, United States
05/2016 - Present	BANKERS LIFE SECURITIES, INC.	Financial Representative	Y	PORTLAND, OR, United States
02/2012 - Present	Bankers Life & Casualty	Insurance Agent/Branch Sales Manager	N	PORTLAND, OR, United States
02/2012 - 01/2018	Bankers Life	Unit Supervisor	N	Portland, OR, 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.

BANKERS LIFE; INVESTMENT RELATED;5933 NE WIN SIVERS DRIVE, STE 204, PORTLAND, OR 97220; INSURANCE SALES AND SERVICE; INSURANCE AGENT; START DATE 02/2012; 200 HOURS PER MONTH WITH 140 HOURS PER MONTH BEING DURING TRADING HOURS; SELL AND SERVICE LTC, LIFE, MEDICARE SUPPLEMENT, ANNUITY, AND EQUITY INDEXED ANNUITY INSURANCE PRODUCTS.

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
Customer Dispute	3

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:	CIRCUIT COURT
Name of Court:	CIRCUIT COURT
Location of Court:	MULTNOMAH COUNTY, OREGON, USA
Docket/Case #:	000343598
Charge Date:	03/13/2000
Charge(s) 1 of 1	
Formal Charge(s)/Description:	THEFT OF PROPERTY IN THE THIRD DEGREE (THEFT III) - MISDEMEANOR
No of Counts:	1
Felony or Misdemeanor:	Misdemeanor
Plea for each charge:	GUILTY
Disposition of charge:	Convicted
Current Status:	Final
Status Date:	03/13/2000
Disposition Date:	03/23/2000
Sentence/Penalty:	MONETARY ASSESSMENT OF $600.

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:	Bankers Life Securities, Inc. and Bankers Life and Casualty Company
Allegations:	In a written complaint received on March 14, 2022, addressed to Bankers Life and Casualty Company (BLC), an affiliated insurance company, clients alleged that their financial representative recommended they cancel their term life policies held with another financial institution and purchase whole life policies, funding premiums with withdrawals from their securities account with the Firm. Clients further allege their income was insufficient to fund the new premiums and requested their life insurance policies be cancelled and all money be refunded. Clients also alleged that their financial representative recommended the purchase of a Premium Bonus Indexed Annuity (PBIA) from BLC in February of 2020 comprising a high percentage of their liquid net worth and subject to high surrender charges. BLC found that the both the life insurance policies and the annuity were suitable recommendations and denied the complaint, but as an accommodation refunded the premiums paid into their life insurance policies minus the costs and expenses of the insurance over the period of time they were held via a settlement and release. The financial representative did not contribute nor was we asked to contribute to the settlement. While the life insurance policies and the annuity sold to the client were not securities and were issued by BLC, the Firm is reporting this complaint because the source of funding came from the sale of, or income generated by, securities and were recommended by a financial representative of the Firm.
Product Type:	Insurance Other: Equity Indexed-Annuities
Alleged Damages:	$22,253.00
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:	03/14/2022
Complaint Pending?	No
Status:	Settled
Status Date:	07/05/2022
Settlement Amount:	$16,002.85
Individual Contribution Amount:	$0.00

Disclosure 2 of 3

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	Bankers Life Securities, Inc. and Bankers Life and Casualty Company
Allegations:	In a written complaint received on March 21, 2021, addressed to Bankers Life and Casualty Company (BLC), an insurance company affiliate of the Firm, Client alleged that her financial representative misrepresented the terms of two Guaranteed Lifetime Income Annuities (GLIA) purchased from BLC in December of 2017 and March of 2018 and asked to have the annuities surrendered without penalties. BLC determined that annuities were suitable, that the client was informed of all material terms of the annuities were disclosed and denied the complaint. While the annuities sold to client were not securities and were issued by BLC, the Firm is reporting this complaint because the source of funding for the BLC annuities came from the sale of securities recommended by a registered representative of this Firm and the client also has accounts with the Firm.
Product Type:	Other: Equity-Indexed Annuities
Alleged Damages:	$5,000.00
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:	03/21/2021
Complaint Pending?	No
Status:	Denied
Status Date:	04/14/2021
Settlement Amount:	
Individual Contribution Amount:	

Disclosure 3 of 3

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	Bankers Life and Casualty Company and Bankers Life Securities, Inc.
Allegations:	In a Statement of Claim for Arbitration (Claim) filed with FINRA and received by Bankers Life Securities, Inc. (Firm) on September 26, 2019, [REDACTED] name the Firm as a Respondent and allege that the Firm's registered representative, Daniel Corey (Corey), recommended they surrender two annuities, sold to the [REDACTED] by another firm, incurring surrender fees, in order to purchase two equity-indexed annuities issued by Bankers Life and Casualty Company (BLC), an insurance company affiliate of the Firm. The [REDACTED] also allege in the Claim that Corey recommended they purchase three life insurance policies through BLC which were unsuitable for them and were recommended in order to generate commissions. BLC determined to settle this matter. While the equity-indexed

	annuities and the life insurance policies sold to client were not securities and were issued by BLC, the Firm is reporting this arbitration because the source of funding for the equity-indexed annuities came from the sale of securities recommended by a registered representative of the Firm.
Product Type:	Insurance Other: Equity-Indexed Annuity
Alleged Damages:	$0.00
Alleged Damages Amount Explanation (if amount not exact):	Clients did not specify damages in their Statement of Claim, but did state that when surrendering their previous annuities, there was a $17,000 surrender charge associated with the transfer
Is this an oral complaint?	No
Is this a written complaint?	Yes
Is this an arbitration/CFTC reparation or civil litigation?	Yes
Arbitration/Reparation forum or court name and location:	Financial Regulatory Authority
Docket/Case #:	19-02814
Filing date of arbitration/CFTC reparation or civil litigation:	09/19/2019

Customer Complaint Information

Date Complaint Received:	09/24/2019
Complaint Pending?	No
Status:	Settled
Status Date:	12/07/2020
Settlement Amount:	$24,640.51
Individual Contribution Amount:	$0.00
Broker Statement	With respect to the accusations made in the complaintants' statement of claim related to life insurance policies sold by Bankers Life and Casualty Company (BLC), I did not recommend any life insurance policies, nor was I compensated for any life insurance policies by BLC. Those policies were recommended and sold to the complaintants by other BLC agents. With respect to those accusations made in the complaintants' statement of claim related to fixed annuity products: 1.Variable Annuity Surrender Charges: Liquidation of the variable annuity products was done at the request of the complaintants and not upon my recommendation. When complaintants requested that I assist them with liquidating the annuities that were under surrender, I instructed that I would assist complaintants, only upon the signing of a letter that the liquidation was being completed at the complaintants' request and that complaintants were aware of all applicable surrender charges and fees. This letter is in possession of the firm. 2.Assisting complaintants in reducing over-exposure to REITs and unregistered alternative investments: Complaintants were overly exposed and over invested in REITs and unregistered, alternative investments. I spent over eighty documented hours assisting complaintants in liquidating and negotiating liquidation of these investments at no charge to the client and for which I received no compensation.

End of Report

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