



IAPD Report

DANIEL JAMES LARAWAY

CRD# 728337

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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 JAMES LARAWAY (CRD# 728337)

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 **03/30/2023**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
IA	SHARPEPOINT, LLC	CRD# 290719	01/12/2018

QUALIFICATIONS

This representative is currently registered in **0** SRO(s) and **2** 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	LPL FINANCIAL LLC	6413	PHOENIX, AZ	08/21/2015 - 01/17/2018
IA	PRIVATE ADVISOR GROUP, LLC	155216	Phoenix, AZ	06/05/2017 - 01/10/2018
IA	LPL FINANCIAL LLC	6413	PHOENIX, AZ	08/21/2015 - 10/03/2017

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

Employment 1 of 1

Firm Name: **SHARPEPOINT, LLC**
Main Address: 5090 N. 40TH STREET
SUITE 200
PHOENIX, AZ 85018
Firm ID#: 290719

Regulator	Registration	Status	Date
IA Arizona	Investment Adviser Representative	Approved	01/12/2018
IA Texas	Investment Adviser Representative	Restricted Approval	06/25/2019

Branch Office Locations

SHARPEPOINT, LLC
5090 N. 40TH STREET
SUITE 200
PHOENIX, AZ 85018




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
	General Securities Principal Examination (S24)	Series 24	01/14/1998

General Industry/Product Exams

	Exam	Category	Date
	Securities Industry Essentials Examination (SIE)	SIE	01/17/2018
	National Commodity Futures Examination (S3)	Series 3	04/20/1993
	General Securities Representative Examination (S7)	Series 7	04/11/1981

State Securities Law Exams

	Exam	Category	Date
	Uniform Investment Adviser Law Examination (S65)	Series 65	05/11/2004
	Uniform Securities Agent State Law Examination (S63)	Series 63	04/20/1981

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	08/21/2015 - 01/17/2018	LPL FINANCIAL LLC	CRD# 6413	PHOENIX, AZ
IA	06/05/2017 - 01/10/2018	PRIVATE ADVISOR GROUP, LLC	CRD# 155216	Phoenix, AZ
IA	08/21/2015 - 10/03/2017	LPL FINANCIAL LLC	CRD# 6413	PHOENIX, AZ
IA	07/02/2012 - 08/26/2015	FIRST ALLIED ADVISORY SERVICES, INC.	CRD# 137888	PHOENIX, AZ
B	12/09/2008 - 08/25/2015	FIRST ALLIED SECURITIES, INC.	CRD# 32444	Phoenix, AZ
IA	12/09/2008 - 07/02/2012	FIRST ALLIED SECURITIES, INC.	CRD# 32444	Phoenix, AZ
IA	06/03/2004 - 12/09/2008	FIRST MONTAUK SECURITIES CORP.	CRD# 13755	SCOTTSDALE, AZ
B	09/16/1997 - 12/09/2008	FIRST MONTAUK SECURITIES CORP.	CRD# 13755	PHOENIX, AZ
B	09/04/1990 - 08/22/1997	EVEREN SECURITIES, INC.	CRD# 19616	ST. LOUIS, MO
B	06/12/1989 - 09/04/1990	BATEMAN EICHLER, HILL RICHARDS, INCORPORATED	CRD# 76	
B	11/03/1987 - 06/13/1989	DREXEL BURNHAM LAMBERT INCORPORATED	CRD# 7323	
B	04/13/1981 - 10/13/1987	E. F. HUTTON & COMPANY INC	CRD# 235	

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
01/2018 - Present	SHARPEPOINT, LLC	CERTIFIED WEALTH STRATEGIST	Y	PHOENIX, AZ, United States
06/2017 - 01/2018	Private Advisor Group, LLC	Investment Adviser Representative	Y	PHOENIX, AZ, United States



Registration & Employment History

EMPLOYMENT HISTORY

Employment Dates	Employer Name	Position	Investment Related	Employer Location
08/2015 - 01/2018	LPL Financial, LLC	Registered Representative	Y	PHOENIX, 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.

- (1) 08/21/2015: Laraway LLC - Business Entity For Tax/Investment Purposes Only - Investment Related - At Reported Business Location(s) - Start 2001 - 2% Time Spent
- (2) 08/21/2015: No Business Name - Business owner - Not Investment Related - At Reported Business Location(s) - Start 07/25/2015 - 4 Hr/Mo; 1% Time Spent - Grief recovery coaching
- (3) 08/21/2015: Real Love Coaching - Life Coach - Not Investment Related - At Reported Business Location(s) - Start 2012 - 1% Time Spent
- (4) 08/21/2015: No Business Name - Coach - Not Investment Related - At Reported Business Location(s) - Start 2013 - 4 Hr/Mo; 1% Time Spent - High performance driving coach.
- (5) 6/14/2017 - SharpePoint Insurance Group - Investment Related - At Reported Business Location(s) - Non-Variable Insurance - Insurance Agent - Started 06/01/17 - 15 Hours Per Month During Securities Trading.
- (6) 8/29/2017 - DBA: SharpePoint Private Client Group - Investment Related - At Reported Business Location(s) - Registered Investment Advisor DBA - Started 06/01/17 - 40 Hours Per Month/30 Hours During Securities Trading - I provide investment advisory services through Private Advisor Group, LLC., an independent investment advisor firm.



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	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
Court Details:	CITY COURT OF PHOENIX, AZ. CASE #8284261-OC
Charge Date:	02/25/1981
Charge Details:	MR. LARAWAY WAS CHARGED WITH BURGLARY, A FELONY. THE CHARGE OF BURGLARY WAS REDUCED TO SHOPLIFTING AND DISMISSED IN EXCHANGE FOR AN AGREEMENT NOT TO SUE THE COMPLAINTANT AND A FINE OF \$112.00
Felony?	Yes
Current Status:	Final
Status Date:	07/16/1981
Disposition Details:	THE CHARGE OF BURGLARY WAS REDUCED TO SHOPLIFTING AND DISMISSED IN EXCHANGE FOR AN AGREEMENT NOT TO SUE THE COMPLAINTANT AND A FINE OF \$112.00
Broker Statement	I WENT SHOPPING IN LUCKY STORES IN PHOENIX, AZ. I HAD PICKED UP SOME ITEMS AND I FORGOT TO PAY FOR THEM BEFORE LEAVING.



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 1

Reporting Source: Regulator

Employing firm when activities occurred which led to the complaint: KEMPER SECURITIES, INC

Allegations: SUITABILITY; UNAUTHORIZED TRADING; BRCH OF FIDUCIARY DT; ACCOUNT RELATED - FAILURE TO SUPERVISE

Product Type:

Alleged Damages: \$170,000.00

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: [NASD - CASE #93-01849](#)

Date Notice/Process Served: 05/10/1993

Arbitration Pending? No

Disposition: Other

Disposition Date: 02/09/1994

Disposition Detail: AWARD AGAINST PARTY ACTUAL/COMPENSATORY DAMAGES, RELIEF HAS BEEN AWARDED (PARTIAL OR FULL), AWARD AMOUNT \$122,803.16 JOINTLY AND SEVERALLY; TREBLE DAMAGES, RELIEF REQUEST HAS BEEN DENIED IN FULL; PUNITIVE/EXEMPLARY DAMAGES, RELIEF REQUEST HAS BEEN DENIED IN FULL; OTHER COSTS, RELIEF HAS BEEN AWARDED (PARTIAL OR FULL), AWARD AMOUNT \$1,250.00 JOINTLY AND SEVERALLY; ATTORNEY'S FEES, RELIEF HAS BEEN AWARDED (PARTIAL OR FULL), AWARD AMOUNT \$10,000.00 JOINTLY AND SEVERALLY; OTHER MONETARY RELIEF, RELIEF REQUEST HAS BEEN DENIED IN FULL; INTEREST, RELIEF REQUEST HAS BEEN DENIED IN FULL

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: KEMPER SECURITIES, INC

Allegations: CLAIMANT HAS ALLEGED THAT LARAWAY USED UNAUTHORIZED DISCRETION, FORGED A DISCRETIONARY ACCOUNT FORM & RECOMMENDED UNSUITABLE INVESTMENTS.

Product Type: Equity - OTC

Other Product Type(s): MUTUAL FUNDS AND CORPORATE BONDS

Alleged Damages: \$170,000.00



Customer Complaint Information

Date Complaint Received: 05/13/1993
Complaint Pending? No
Status: Arbitration/Reparation
Status Date: 02/15/1994

Settlement Amount:

Individual Contribution Amount:

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: [NATIONAL ASSOCIATION OF SECURITIES DEALERS, INC.; 93-01849](#)

Date Notice/Process Served: 05/10/1993
Arbitration Pending? No
Disposition: Award to Customer

Disposition Date: 02/15/1994

Monetary Compensation Amount: \$132,803.00

Individual Contribution Amount: \$0.00

Broker Statement THE NASD PANEL HELD KSI & MR LAVAWAY JOINTLY & SEVERALLY LIABLE. KSI PAID THE ENTIRE AMOUNT WITHOUT ASKING MR. LARAWAY TO CONTRIBUTE.



End of Report

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