

BrokerCheck Report

DANIEL PATRICK DEIGHAN

CRD# 1029361

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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.

About BrokerCheck®

BrokerCheck offers information on all current, and many former, registered securities brokers, and all current and former registered securities firms. FINRA strongly encourages investors to use BrokerCheck to check the background of securities brokers and brokerage firms before deciding to conduct, or continue to conduct, business with them.

- **What is included in a BrokerCheck report?**

- BrokerCheck reports for individual brokers include information such as employment history, professional qualifications, disciplinary actions, criminal convictions, civil judgments and arbitration awards. BrokerCheck reports for brokerage firms include information on a firm's profile, history, and operations, as well as many of the same disclosure events mentioned above.
- Please note that the information contained in a BrokerCheck 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 broker or brokerage firm, or concluded through a negotiated settlement with no admission or finding of wrongdoing.

- **Where did this information come from?**

- The information contained in BrokerCheck comes from FINRA's Central Registration Depository, or CRD® and is a combination of:
 - information FINRA and/or the Securities and Exchange Commission (SEC) require brokers and brokerage firms to submit as part of the registration and licensing process, and
 - information that regulators report regarding disciplinary actions or allegations against firms or brokers.

- **How current is this information?**

- Generally, active brokerage firms and brokers are required to update their professional and disciplinary information in CRD within 30 days. Under most circumstances, information reported by brokerage firms, brokers and regulators is available in BrokerCheck the next business day.

- **What if I want to check the background of an investment adviser firm or investment adviser representative?**

- To check the background of an investment adviser firm or representative, you can search for the firm or individual in BrokerCheck. If your search is successful, click on the link provided to view the available licensing and registration information in the SEC's Investment Adviser Public Disclosure (IAPD) website at <https://www.adviserinfo.sec.gov>. In the alternative, you may search the IAPD website directly or contact your state securities regulator at <http://www.finra.org/Investors/ToolsCalculators/BrokerCheck/P455414>.

- **Are there other resources I can use to check the background of investment professionals?**

- FINRA recommends that you learn as much as possible about an investment professional before deciding to work with them. Your state securities regulator can help you research brokers and investment adviser representatives doing business in your state.

Thank you for using FINRA BrokerCheck.



Using this site/information means that you accept the FINRA BrokerCheck Terms and Conditions. A complete list of Terms and Conditions can be found at brokercheck.finra.org



For additional information about the contents of this report, please refer to the User Guidance or www.finra.org/brokercheck. It provides a glossary of terms and a list of frequently asked questions, as well as additional resources. For more information about FINRA, visit www.finra.org.

DANIEL P. DEIGHAN

CRD# 1029361

This broker is not currently registered.

Report Summary for this Broker



This report summary provides an overview of the broker's professional background and conduct. Additional information can be found in the detailed report.

Broker Qualifications

This broker is not currently registered.

This broker has passed:

- 1 Principal/Supervisory Exam
- 3 General Industry/Product Exams
- 1 State Securities Law Exam

Registration History

This broker was previously registered with the following securities firm(s):

- B BOOGIE INVESTMENT GROUP, INC.**
CRD# 142200
MELBOURNE, FL
01/2007 - 09/2011
- B COBALT CAPITAL, INC.**
CRD# 136161
LAKE MARY, FL
11/2006 - 03/2007
- B CAMBRIDGE INVESTMENT RESEARCH, INC.**
CRD# 39543
MELBOURNE, FL
08/2003 - 11/2006

Disclosure Events

This broker has been involved in one or more disclosure events involving certain final criminal matters, regulatory actions, civil judicial proceedings, or arbitrations or civil litigations.

Are there events disclosed about this broker? **Yes**

The following types of disclosures have been reported:

Type	Count
Regulatory Event	1
Customer Dispute	1

Investment Adviser Representative Information

The information below represents the individual's record as a broker. For details on this individual's record as an investment adviser representative, visit the SEC's Investment Adviser Public Disclosure website at

<https://www.adviserinfo.sec.gov>

Broker Qualifications



Registrations

This section provides the self-regulatory organizations (SROs), states and U.S. territories the broker is currently registered and licensed with, the category of each registration, and the date on which the registration became effective. This section also provides, for each firm with which the broker is currently employed, the address of each branch where the broker works.

This broker is not currently registered.



Broker Qualifications

Industry Exams this Broker has Passed

This section includes all securities industry exams that the broker has passed. Under limited circumstances, a broker may attain a registration after receiving an exam waiver based on exams the broker has passed and/or qualifying work experience. Any exam waivers that the broker has received are not included below. A passed exam or exam waiver does not permit a broker to do business without an active SRO or state registration.

This individual has passed 1 principal/supervisory exam, 3 general industry/product exams, and 1 state securities law exam.

Principal/Supervisory Exams

Exam	Category	Date
B General Securities Principal Examination	Series 24	07/06/1990

General Industry/Product Exams

Exam	Category	Date
B General Securities Representative Examination	Series 7	06/17/1989
B Direct Participation Programs Representative Examination	Series 22	05/09/1986
B Investment Company Products/Variable Contracts Representative Examination	Series 6	04/04/1985

State Securities Law Exams

Exam	Category	Date
B Uniform Securities Agent State Law Examination	Series 63	02/10/1994

Additional information about the above exams or other exams FINRA administers to brokers and other securities professionals can be found at www.finra.org/brokerqualifications/registeredrep/.



Broker Qualifications

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 and Employment History

Registration History

The broker previously was registered with the following securities firms:

Registration Dates	Firm Name	CRD#	Branch Location
B 01/2007 - 09/2011	BOOGIE INVESTMENT GROUP, INC.	142200	MELBOURNE, FL
B 11/2006 - 03/2007	COBALT CAPITAL, INC.	136161	LAKE MARY, FL
B 08/2003 - 11/2006	CAMBRIDGE INVESTMENT RESEARCH, INC.	39543	MELBOURNE, FL
B 05/1995 - 12/2002	CADARET, GRANT & CO., INC.	10641	SYRACUSE, NY
B 03/1987 - 05/1995	TRANSAMERICA SECURITIES SALES CORPORATION	17970	LOS ANGELES, CA
B 10/1985 - 05/1995	TRANSAMERICA FINANCIAL RESOURCES, INC.	3600	LOS ANGELES, CA
B 04/1985 - 09/1985	CONNECTICUT MUTUAL FINANCIAL SERVICES, INC.	173	

Employment History

This section provides up to 10 years of an individual broker's employment history as reported by the individual broker on the most recently filed Form U4.

Please note that the broker is required to provide this information only while registered with FINRA or a national securities exchange and the information is not updated via Form U4 after the broker ceases to be registered. Therefore, an employment end date of "Present" may not reflect the broker's current employment status.

Employment	Employer Name	Position	Investment Related	Employer Location
10/2006 - Present	BOOGIE INVESTMENT GROUP, INC.	PRESIDENT / CEO / REGISTERED REP	Y	MELBOURNE, FL, United States
10/2006 - Present	COBALT CAPITAL, INC.	REGISTERED REPRESENTATIVE	Y	WINTER PARK, FL, United States
05/1973 - Present	DEIGHAN FINANCIAL ADVISORS	IAR	Y	MELBOURNE, FL, United States

Disclosure Events



What you should know about reported disclosure events:

- 1. **Disclosure events in BrokerCheck reports come from different sources:**
 - As mentioned at the beginning of this report, information contained in BrokerCheck comes from brokers, their employing firms, and regulators. When more than one source reports information for the same disclosure event, all versions of the event will appear in the BrokerCheck report. The different versions are separated by a solid line with the reporting source labeled.

For your convenience, below is a matrix of the number and status of regulatory disclosure events involving this broker. Further information regarding these events can be found in the subsequent pages of this report. You also may wish to contact the broker to obtain further information regarding these events.

	Final	On Appeal
Regulatory Event	1	0
Customer Dispute	1	N/A



Disclosure Event Details

This report provides the information exactly as it was reported to CRD and therefore some of the specific data fields contained in the report may be blank if the information was not provided to CRD.

Regulatory - Final

This type of disclosure event involves a final, formal proceeding initiated by a regulatory authority (e.g., a state securities agency, self-regulatory organization, federal regulator such as the Securities and Exchange Commission, foreign financial regulatory body) for a violation of investment-related rules or regulations.

Disclosure 1 of 1

Reporting Source:	Regulator
Regulatory Action Initiated By:	FINRA
Sanction(s) Sought:	Other: N/A
Date Initiated:	07/11/2013
Docket/Case Number:	2011030085101
Employing firm when activity occurred which led to the regulatory action:	BOOGIE INVESTMENT GROUP, INC.
Product Type:	Other: PRIVATE PLACEMENTS
Allegations:	<p>FINRA BY-LAWS ARTICLE V, SECTION 2(C), FINRA RULE 2010, NASD RULES 2110, 2310:</p> <p>DEIGHAN, WHILE REGISTERED WITH A MEMBER FIRM, RECOMMENDED AND EFFECTED THE SALE OF HIGH RISK PRIVATE PLACEMENTS TO CUSTOMERS, WITHOUT A REASONABLE BASIS TO BELIEVE THAT THE TRANSACTIONS WERE SUITABLE GIVEN THE FINANCIAL CIRCUMSTANCES AND CONDITION OF THE CUSTOMERS. DEIGHAN OVERSTATED THE CUSTOMERS' NET WORTH AND ANNUAL INCOME ON NEW ACCOUNT DOCUMENTS AND MADE RECOMMENDATIONS THAT RESULTED IN AN OVER CONCENTRATION OF THE CUSTOMERS' NET WORTH IN THE PRIVATE PLACEMENTS.</p> <p>DEIGHAN, AS PRESIDENT OF THE MEMBER FIRM, FAILED ON EIGHT OCCASIONS TO TIMELY AMEND HIS FORM U4 TO DISCLOSE REPORTABLE EVENTS.</p>
Current Status:	Final
Resolution:	Acceptance, Waiver & Consent(AWC)



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:

07/11/2013

Sanctions Ordered:

Civil and Administrative Penalty(ies)/Fine(s)
Suspension

If the regulator is the SEC, CFTC, or an SRO, did the action result in a finding of a willful violation or failure to supervise?

No

(1) willfully violated any provision of the Securities Act of 1933, the Securities Exchange Act of 1934, the Investment Advisers Act of 1940, the Investment Company Act of 1940, the Commodity Exchange Act, or any rule or regulation under any of such Acts, or any of the rules of the Municipal Securities Rulemaking Board, or to have been unable to comply with any provision of such Act, rule or regulation?



(2) willfully aided, abetted, counseled, commanded, induced, or procured the violation by any person of any provision of the Securities Act of 1933, the Securities Exchange Act of 1934, the Investment Advisers Act of 1940, the Investment Company Act of 1940, the Commodity Exchange Act, or any rule or regulation under any of such Acts, or any of the rules of the Municipal Securities Rulemaking Board? or

(3) failed reasonably to supervise another person subject to your supervision, with a view to preventing the violation by such person of any provision of the Securities Act of 1933, the Securities Exchange Act of 1934, the Investment Advisers Act of 1940, the Investment Company Act of 1940, the Commodity Exchange Act, or any rule or regulation under any such Acts, or any of the rules of the Municipal Securities Rulemaking Board?

Sanction 1 of 1

Sanction Type:	Suspension
Capacities Affected:	ANY CAPACITY
Duration:	SEVEN MONTHS
Start Date:	07/15/2013
End Date:	02/14/2014

**Monetary Sanction 1 of 1**

Monetary Related Sanction: Civil and Administrative Penalty(ies)/Fine(s)

Total Amount: \$27,500.00

Portion Levied against individual: \$27,500.00

Payment Plan:

Is Payment Plan Current:

Date Paid by individual:

Was any portion of penalty waived? No

Amount Waived:

Regulator Statement

WITHOUT ADMITTING OR DENYING THE FINDINGS, DEIGHAN CONSENTED TO THE DESCRIBED SANCTIONS AND TO THE ENTRY OF FINDINGS, THEREFORE HE IS FINED \$27,500 AND SUSPENDED FROM ASSOCIATION WITH ANY FINRA MEMBER IN ANY CAPACITY FOR SEVEN MONTHS.

THE FINE SHALL BE DUE AND PAYABLE PRIOR TO REASSOCIATION WITH A MEMBER FIRM FOLLOWING THE SUSPENSION OR PRIOR TO ANY APPLICATION OR REQUEST FOR RELIEF FROM ANY STATUTORY DISQUALIFICATION RESULTING FROM THIS OR ANY OTHER EVENT OR PROCEEDING, WHICHEVER IS EARLIER.

THE SUSPENSION IS IN EFFECT FROM JULY 15, 2013, THROUGH FEBRUARY 14, 2014.



Customer Dispute - Closed-No Action / Withdrawn / Dismissed / Denied

This type of disclosure event involves a final, consumer-initiated, investment-related arbitration containing allegations of sales practice violations against the broker that resulted in an award to the customer, along with an associated civil suit that was dismissed, withdrawn, or denied.

Disclosure 1 of 1

Reporting Source:	Regulator
Employing firm when activities occurred which led to the complaint:	DEIGHAN FINANCIAL ADVISORS, INC., BOOGIE INVESTMENT GROUP, INC.
Allegations:	VIOlation OF CHAPTER 517, FLA. STAT.; FRAUDULENT MISREPRESENTATION; NEGLIGENT MISREPRESENTATION; BREACH OF FIDUCIARY DUTY; NEGLIGENCE; AND SUITABILITY
Product Type:	Direct Investment-DPP & LP Interests Equity-OTC Real Estate Security Other: PRIVATE PLACEMENTS AND CONVERTIBLE NOTES
Alleged Damages:	\$416,430.87

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: [FINRA - CASE #10-03083](#)

Date Notice/Process Served: 07/01/2010

Arbitration Pending? No

Disposition: Award

Disposition Date: 10/11/2011

Disposition Detail: RESPONDENT WAS FOUND LIABLE ON THE CLAIMS OF VIOLATION OF FLORIDA STATUTE § 517, UNSUITABILITY AND BREACH OF FIDUCIARY DUTY. RESPONDENT WAS FOUND NOT LIABLE ON THE CLAIMS OF NEGLIGENCE, NEGLIGENT MISREPRESENTATION AND FRAUDULENT MISREPRESENTATION. THE HEARING PANEL GRANTED THE CLAIMANT'S REQUEST FOR RESCISSION: RESPONDENT IS JOINTLY AND SEVERALLY LIABLE FOR AND SHALL PAY TO CLAIMANT COMPENSATORY DAMAGES TOTALING \$173,264.19 PLUS INTEREST.

UPON CLAIMANT'S RECEIPT OF PAYMENT OF THE AFOREMENTIONED COMPENSATORY DAMAGES, CLAIMANT SHALL TENDER TO RESPONDENT HER INVESTMENTS THAT WERE THE SUBJECT OF THE AWARD.



Regulator Statement CLAIMANT ALSO REQUESTED RESCISSION.

Reporting Source: Firm

Employing firm when activities occurred which led to the complaint: BOOGIE INVESTMENT GROUP, INC.

Allegations: VIOLATION OF CH 517, FLA STAT.; FRAUDULENT MISREPRESENTATION; NEGLIGENT MISREPRESENTATION; BREACH OF FIDUCIARY DUTY; NEGLIGENCE; AND SUITABILITY

Product Type: Debt-Asset Backed
Direct Investment-DPP & LP Interests
Equipment Leasing
Real Estate Security

Alleged Damages: \$416,430.87

Arbitration Information

Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.):

FINRA

Docket/Case #: [10-03083](#)

Date Notice/Process Served: 07/01/2011

Arbitration Pending? No

Disposition: Award to Customer

Disposition Date: 10/11/2011

Monetary Compensation Amount: \$173,264.19

Individual Contribution Amount: \$173,264.19

Firm Statement APPLICANT NOT FOUND LIABLE ON CLAIMS OF NEGLIGENCE, NEGLIGENT MISREPRESENTATION AND FRAUDULENT MISREPRESENTATION.

Reporting Source: Broker



Employing firm when activities occurred which led to the complaint: BOOGIE INVESTMENT GROUP, INC.

Allegations: CUSTOMER HAS ALLEGED AN UNSUITABLE RECOMMENDATION AND MISREPRESENTATIONS REGARDING INVESTMENTS IN DEBT-ASSET BACKED, DIRECT INVESTMENT-DPP & LP INTEREST, EQUIPMENT LEASING, AND OIL & GAS.

Product Type: Debt-Asset Backed
Direct Investment-DPP & LP Interests
Equipment Leasing
Oil & Gas

Alleged Damages: \$390,000.00

Is this an oral complaint? No

Is this a written complaint? Yes

Is this an arbitration/CFTC reparation or civil litigation? No

Arbitration/Reparation forum or court name and location: FINRA ARBITRATION

Docket/Case #: 10-03083

Filing date of arbitration/CFTC reparation or civil litigation: 05/10/2010

Customer Complaint Information

Date Complaint Received: 05/10/2010

Complaint Pending? No

Status: Evolved into Arbitration/CFTC reparation (the individual is a named party)

Status Date: 05/10/2010

Settlement Amount:

Individual Contribution Amount:

Arbitration Information



Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.): FINRA

Docket/Case #: 10-03083

Date Notice/Process Served: 09/14/2010

Arbitration Pending? Yes

Civil Litigation Information

Disposition: Denied

Disposition Date: 05/10/2010

Broker Statement

6/9/11 - CORRECTION MADE: BOX 14I(1)(A) WAS CHECKED BUT BOX 14I(3)(A) SHOULD HAVE BEEN CHECKED BECAUSE CASE HAS EVOLVED INTO FINRA ARBITRATION. CUSTOMER ALLEGATIONS ARE UNSUPPORTED BY THE FACTS, AND ARE BEING VIGOROUSLY CONTESTED. THE INVESTMENTS IN QUESTION WAS SUITABLE, I MADE NO MISREPRESENTATIONS, AND I PERFORMED ALL NECESSARY DUE DILIGENCE BEFORE RECOMMENDING THE INVESTMENTS.

End of Report



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