

BrokerCheck Report

DANIEL PETER CANNON

CRD# 1952609

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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:

- o 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
- o 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.



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.](http://www.finra.org)

Thank you for using FINRA BrokerCheck.

DANIEL P. CANNON

CRD# 1952609

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
- 4 General Industry/Product Exams
- 2 State Securities Law Exams

Registration History

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

- B** **ALEXANDER CAPITAL, L.P.**
CRD# 40077
NEW YORK, NY
12/2019 - 12/2020
- B** **WORLD CHOICE SECURITIES, INC.**
CRD# 30933
COLUMBUS, OH
11/2019 - 12/2019
- B** **OBERON SECURITIES, LLC**
CRD# 132598
NEW YORK, NY
06/2017 - 08/2019

Disclosure Events

All individuals registered to sell securities or provide investment advice are required to disclose customer complaints and arbitrations, regulatory actions, employment terminations, bankruptcy filings, and criminal or civil judicial proceedings.

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

The following types of disclosures have been reported:

Type	Count
Criminal	3
Customer Dispute	1

Broker Qualifications



Registrations

This section provides the self-regulatory organizations (SROs) and U.S. states/territories the broker is currently registered and licensed with, the category of each license, and the date on which it became effective. This section also provides, for every brokerage 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.

This individual has passed 1 principal/supervisory exam, 4 general industry/product exams, and 2 state securities law exams.

Principal/Supervisory Exams

Exam	Category	Date
B General Securities Principal Examination	Series 24	11/27/1998

General Industry/Product Exams

Exam	Category	Date
B Securities Industry Essentials Examination	SIE	10/01/2018
B Investment Banking Registered Representative Examination	Series 79	01/05/2017
B General Securities Representative Examination	Series 7	12/24/2008
B Direct Participation Programs Representative Examination	Series 22	05/25/1989

State Securities Law Exams

Exam	Category	Date
B Uniform Securities Agent State Law Examination	Series 63	01/26/2009
B IA Uniform Combined State Law Examination	Series 66	03/08/2000

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 **0** professional designation(s).

No information reported.



Registration and Employment History

Registration History

The broker previously was registered with the following firms:

Registration Dates	Firm Name	CRD#	Branch Location
B 12/2019 - 12/2020	ALEXANDER CAPITAL, L.P.	40077	NEW YORK, NY
B 11/2019 - 12/2019	WORLD CHOICE SECURITIES, INC.	30933	COLUMBUS, OH
B 06/2017 - 08/2019	OBERON SECURITIES, LLC	132598	NEW YORK, NY
B 02/2015 - 03/2017	BENJAMIN & JEROLD BROKERAGE I, LLC	29110	NEW YORK, NY
B 03/2013 - 10/2014	MONARCH BAY SECURITIES, LLC	141391	IRVINE, CA
B 04/2009 - 12/2011	RIDGEWAY & CONGER, INC.	113055	CORAL SPRINGS, FL
B 01/1999 - 03/2002	INTERFIRST CAPITAL CORPORATION	7659	LOS ANGELES, CA
B 07/1998 - 09/1998	WALDRON & CO., INC.	868	IRVINE, CA
B 09/1997 - 02/1998	JOSEPH CHARLES & ASSOC., INC.	3949	BOCA RATON, FL
B 05/1989 - 07/1989	DUNMAN RESOURCES, INC.	16799	TORRANCE, CA

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
12/2019 - Present	Alexander Capital, L.P.	Registered Representative	Y	New York, NY, United States
11/2019 - Present	World Choice Securities, Inc	Investment Banker	Y	Columbus, OH, United States
09/2017 - 11/2019	Artillery One, Inc.	CEO	N	Highlands, NC, United States
03/2017 - 08/2017	Oberon Securities, LLC	Managing Director	Y	New York, NY, United States
03/2013 - 03/2017	MONARCH BAY SECURITIES,LLC	REGISTERED REPRESENTATIVE	Y	NEWPORT BEACH, CA, United States



Registration and Employment History

Employment History, continued

Employment	Employer Name	Position	Investment Related	Employer Location
01/2014 - 05/2014	CANNON ASSOCIATES	INDEPENDENT CONTRACTOR	N	RESTON, VA, United States
03/2013 - 05/2014	NEWPORT BEACH HOLDING CORP	OFFICER	N	NEWPORT BEACH, CA, United States
01/2013 - 03/2013	CLEAN ENERGY RESOLUTIONS, INC.	PRESIDENT	N	HOUSTON, TX, United States
09/2012 - 03/2013	CARBON FRIENDLY	VICE PRESIDENT	N	VANCOUVER, Canada
03/2007 - 03/2013	SELF EMPLOYED	ENTERTAINMENT CONSULTANT	N	NEW SMYRNA BEACH, FL, United States
11/2008 - 11/2011	RIDGEWAY & CONGER. INC	REGISTERED REPRESENTATIVE	Y	NEW WOODSTOCK, NY, United States

Other Business Activities

This section includes information, if any, as provided by the broker regarding other business activities the broker 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, Artillery One Inc (A1) -CEO and majority owner; holding company. Blockchain and cybersecurity consulting and education business, not investment related. 705 Highlands Cove Drive, Unit 44 Highlands, NC 28741.



Disclosure Events

What you should know about reported disclosure events:

1. All individuals registered to sell securities or provide investment advice are required to disclose customer complaints and arbitrations, regulatory actions, employment terminations, bankruptcy filings, and criminal or civil judicial proceedings.
2. **Certain thresholds must be met before an event is reported to CRD, for example:**
 - o A law enforcement agency must file formal charges before a broker is required to disclose a particular criminal event.
 - o A customer dispute must involve allegations that a broker engaged in activity that violates certain rules or conduct governing the industry and that the activity resulted in damages of at least \$5,000.
 - o
3. **Disclosure events in BrokerCheck reports come from different sources:**
 - o As mentioned at the beginning of this report, information contained in BrokerCheck comes from brokers, brokerage 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 BrokerCheck report. The different versions will be separated by a solid line with the reporting source labeled.
 - o
4. **There are different statuses and dispositions for disclosure events:**
 - o A disclosure event may have a status of *pending*, *on appeal*, or *final*.
 - § A "pending" event involves allegations that have not been proven or formally adjudicated.
 - § An event that is "on appeal" involves allegations that have been adjudicated but are currently being appealed.
 - § A "final" event has been concluded and its resolution is not subject to change.
 - o A final 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 involves an agreement by the parties to resolve the matter. Please note that brokers and brokerage firms may choose to settle customer disputes or regulatory matters for business or other reasons.
 - § A "resolved" matter usually involves no payment to the customer and no finding of wrongdoing on the part of the individual broker. Such matters generally involve customer disputes.

For your convenience, below is a matrix of the number and status of 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.

	Pending	Final	On Appeal
Criminal	0	3	0
Customer Dispute	0	1	N/A



Disclosure Event Details

When evaluating this information, please keep in mind that a disclosure event may be pending or involve allegations that are contested and have not been resolved or proven. The matter may, in the end, be withdrawn, dismissed, resolved in favor of the broker, or concluded through a negotiated settlement for certain business reasons (e.g., to maintain customer relationships or to limit the litigation costs associated with disputing the allegations) with no admission or finding of wrongdoing.

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.

Criminal - Final Disposition

This type of disclosure event involves a criminal charge against the broker that has resulted in a conviction, acquittal, dismissal, or plea. The criminal matter may pertain to any felony or certain misdemeanor offenses, including bribery, perjury, forgery, counterfeiting, extortion, fraud, and wrongful taking of property.

Disclosure 1 of 3

Reporting Source:	Broker
Court Details:	CIRCUIT COURT, SEVENTH JUDICIAL CIRCUIT VOLUSIA COUNTY, FLORIDA (DELAND)CASE# 2008-04038CFAWS
Charge Date:	11/16/2008
Charge Details:	1. POSSESSION OF COCAINE: FELONY (ONE-COUNT) NOLLE PROSECU(DISMISSED) FELONY CHARGE *DISMISSED* ON 03/27/2007 BY THE OFFICE OF THE STATE ATTORNEY
Felony?	Yes
Current Status:	Final
Status Date:	03/27/2009
Disposition Details:	POSSESSION OF COCAINE/ NOLLE PROSEQUI

Disclosure 2 of 3

Reporting Source:	Broker
Court Details:	SHERIFF'S OFFICE, ORANGE COUNTY, FLORIDA CR95-7352
Charge Date:	06/18/1995
Charge Details:	FELONY POSSESSION OF PRESCRIPTION DRUGS (PERCODAN AN XANAX)

**Felony?****Current Status:** Final**Status Date:** 04/17/1996**Disposition Details:** ADJUDICATION WITHHELD, FINE PAID IN FULL.**Broker Statement**

I WAS INJURED DURING A VACATION IN THE BAHAMAS. I WAS ARRESTED FOR POSSESSION OF PRESCRIBED MEDS ABOVE U.S. LIMIT. (AT ORLANDO INT'L AIRPORT, FLORIDA) SUCCESSFUL COMPLETION OF PROBATION 2 YRS-CONCLUDED 4/2/98.

Disclosure 3 of 3**Reporting Source:** Broker**Court Details:** ARREST WAS IN SANTA MONICA, CALIFORNIA. THE CHARGES NEVER GOT TO COURT...WERE NEVER PROSECUTED...WERE REJECTED BY THE PROSECUTOR.**Charge Date:** 09/18/1986**Charge Details:** CULTIVATION OF MARIJUANA/HASHISH. FELONY CHARGE. NO PLEA...CHARGE NEVER PROSECUTED.**Felony?** Yes**Current Status:** Final**Status Date:** 09/25/1986**Disposition Details:** PROSECUTOR REJECTED CHARGE AND DID NOT PROSECUTE. DID NOT BRING TO COURT.**Broker Statement**

A POLICE OFFICER CAME TO A PARTY AT MY HOUSE, SAW A PLANT IN MY BACK YARD AND THOUGHT IT WAS MARIJUANA. I WAS ARRESTED AND CHARGED. THE PLANT WAS CONFISCATED AND TESTED AND WHEN THE RESULTS OF THE TEST CAME BACK SHOWING THE PLANT WAS NOT MARIJUANA, THE PROSECUTOR REJECTED THE CHARGE AND DID NOT BRING THE MATTER TO COURT. THE MATTER WAS DROPPED.



Customer Dispute - Settled

This type of disclosure event involves a consumer-initiated, investment-related complaint, arbitration proceeding or civil suit containing allegations of sale practice violations against the broker that resulted in a monetary settlement to the customer.

Disclosure 1 of 1

Reporting Source:	Firm
Employing firm when activities occurred which led to the complaint:	INTERFIRST CAPITAL CORPORATION
Allegations:	ALLEGED CHURNING
Product Type:	Direct Investment(s) - DPP & LP Interest(s)
Alleged Damages:	\$53,094.00

Customer Complaint Information

Date Complaint Received:	08/10/2001
Complaint Pending?	No
Status:	Arbitration/Reparation Settled
Status Date:	03/28/2002
Settlement Amount:	\$9,999.00
Individual Contribution Amount:	\$0.00

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.:	NASD #01-06879
Date Notice/Process Served:	12/05/2001
Arbitration Pending?	No
Disposition:	Settled
Disposition Date:	03/21/2002
Monetary Compensation Amount:	\$9,999.00
Individual Contribution Amount:	



Reporting Source: Broker
Employing firm when activities occurred which led to the complaint: INTERFIRST CAPITAL CORPORATION
Allegations: ALLEGED CHURNING
Product Type: Direct Investment(s) - DPP & LP Interest(s)
Alleged Damages: \$53,094.00

Customer Complaint Information

Date Complaint Received: 08/10/2001
Complaint Pending? No
Status: Arbitration/Reparation
Status Date: 03/28/2002
Settlement Amount: \$9,999.00
Individual Contribution Amount: \$0.00

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: NASD# 01-06879
Date Notice/Process Served: 12/05/2001
Arbitration Pending? No
Disposition: Settled
Disposition Date: 03/21/2002
Monetary Compensation Amount: \$9,999.00
Individual Contribution Amount: \$0.00

End of Report



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