

BrokerCheck Report

DONALD A CANADE

CRD# 2540434

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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:
 - 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.

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.

**DONALD A. CANADE**

CRD# 2540434

Currently employed by and registered with the following Firm(s):

IA STRATEGIC ADVISERS LLC
 1551 OLD COUNTRY RD
 PLAINVIEW, NY 11803
 CRD# 104555
 Registered with this firm since: 03/31/2025

B FIDELITY BROKERAGE SERVICES LLC
 1551 OLD COUNTRY ROAD
 PLAINVIEW, NY 11803
 CRD# 7784
 Registered with this firm since: 07/20/2001

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 registered with:

- 2 Self-Regulatory Organizations
- 26 U.S. states and territories

This broker has passed:

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

Registration History

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

- IA FIDELITY PERSONAL AND WORKPLACE ADVISORS**
 CRD# 288590
 BOSTON, MA
 07/2020 - 03/2025
- B FIRST COLONIAL SECURITIES GROUP, INC.**
 CRD# 25121
 BOCA RATON, FL
 04/1998 - 03/2001
- B NICHOLS, SAFINA, LERNER & CO. INC.**
 CRD# 35476
 NEW YORK, NY
 01/1997 - 01/1998

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
Regulatory Event	1
Customer Dispute	2

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 individual is currently registered with 2 SROs and is licensed in 26 U.S. states and territories through his or her employer.

Employment 1 of 2

Firm Name: **FIDELITY BROKERAGE SERVICES LLC**

Main Office Address: **900 SALEM STREET
SMITHFIELD, RI 02917**

Firm CRD#: **7784**

	SRO	Category	Status	Date
B	FINRA	General Securities Representative	Approved	07/20/2001
B	New York Stock Exchange	General Securities Representative	Approved	07/23/2001

	U.S. State/ Territory	Category	Status	Date
B	California	Agent	Approved	11/19/2013
B	Colorado	Agent	Approved	12/19/2013
B	Connecticut	Agent	Approved	07/27/2001
B	Delaware	Agent	Approved	12/19/2013
B	District of Columbia	Agent	Approved	10/15/2020
B	Florida	Agent	Approved	07/23/2001
B	Georgia	Agent	Approved	03/15/2021
B	Illinois	Agent	Approved	03/13/2013
B	Louisiana	Agent	Approved	04/16/2024
B	Maine	Agent	Approved	01/06/2020
B	Maryland	Agent	Approved	01/06/2020

Broker Qualifications



Employment 1 of 2, continued

	U.S. State/ Territory	Category	Status	Date
B	Massachusetts	Agent	Approved	12/10/2013
B	Missouri	Agent	Approved	08/10/2020
B	Nevada	Agent	Approved	07/29/2020
B	New Jersey	Agent	Approved	07/26/2001
B	New York	Agent	Approved	07/27/2001
B	North Carolina	Agent	Approved	03/13/2013
B	Ohio	Agent	Approved	09/29/2023
B	Oregon	Agent	Approved	11/22/2023
B	Pennsylvania	Agent	Approved	03/14/2013
B	Puerto Rico	Agent	Approved	05/13/2022
B	Rhode Island	Agent	Approved	01/05/2015
B	South Carolina	Agent	Approved	04/03/2013
B	Texas	Agent	Approved	01/07/2020
B	Virginia	Agent	Approved	03/13/2013
B	Washington	Agent	Approved	01/06/2015

Branch Office Locations

FIDELITY BROKERAGE SERVICES LLC
 1551 OLD COUNTRY ROAD
 PLAINVIEW, NY 11803

Employment 2 of 2

Firm Name: **STRATEGIC ADVISERS LLC**



Broker Qualifications

Employment 2 of 2, continued

Main Office Address: **155 SEAPORT BLVD
BOSTON, MA 02210-2698**
Firm CRD#: **104555**

U.S. State/ Territory	Category	Status	Date
IA New York	Investment Adviser Representative	Approved	03/31/2025
IA Texas	Investment Adviser Representative	Restricted Approval	03/31/2025

Branch Office Locations

1551 OLD COUNTRY RD
PLAINVIEW, NY 11803-5014

MASSAPEQUA, NY



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

Principal/Supervisory Exams

Exam	Category	Date
B General Securities Principal Examination	Series 24	05/17/1995

General Industry/Product Exams

Exam	Category	Date
B Securities Industry Essentials Examination	SIE	10/01/2018
B General Securities Representative Examination	Series 7	11/05/1994

State Securities Law Exams

Exam	Category	Date
B IA Uniform Combined State Law Examination	Series 66	09/14/2006
B Uniform Securities Agent State Law Examination	Series 63	11/16/1994

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).

Certified Financial Planner

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 firms:

Registration Dates	Firm Name	CRD#	Branch Location
IA 07/2020 - 03/2025	FIDELITY PERSONAL AND WORKPLACE ADVISORS	288590	PLAINVIEW, NY
B 04/1998 - 03/2001	FIRST COLONIAL SECURITIES GROUP, INC.	25121	BOCA RATON, FL
B 01/1997 - 01/1998	NICHOLS, SAFINA, LERNER & CO. INC.	35476	NEW YORK, NY
B 06/1995 - 01/1997	SOVEREIGN EQUITY MANAGEMENT CORP.	20016	DEERFIELD BEACH, FL
B 02/1995 - 06/1995	JOSEPH ROBERTS & CO., INC.	15971	POMPANO BEACH, FL
B 02/1995 - 02/1995	HANOVER, STERLING & COMPANY LTD.	15491	NEW YORK, NY

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
03/2025 - Present	Fidelity Investments	Mass Transfer	Y	BOSTON, MA, United States
03/2001 - Present	FIDLEITY INVESTMENTS	PLANNING CONSULTANT	N	GARDEN CITY, 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.

No information reported.

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
Regulatory Event	0	1	0
Customer Dispute	0	2	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.

Regulatory - Final

This type of disclosure event may involve (1) a final, formal proceeding initiated by a regulatory authority (e.g., a state securities agency, self-regulatory organization, federal regulatory such as the Securities and Exchange Commission, foreign financial regulatory body) for a violation of investment-related rules or regulations; or (2) a revocation or suspension of a broker's authority to act as an attorney, accountant, or federal contractor.

Disclosure 1 of 1

Reporting Source:	Regulator
Regulatory Action Initiated By:	SC Securities Division
Sanction(s) Sought:	
Other Sanction(s) Sought:	
Date Initiated:	06/12/1998
Docket/Case Number:	98179
Employing firm when activity occurred which led to the regulatory action:	
Product Type:	
Other Product Type(s):	
Allegations:	A CONSENT ORDER OF AGREEMENT SIGNED 10/19/1998; AGENT AGREES TO WITHDRAW HIS PENDING APPLICATION AND NOT TO REAPPLY FOR REGISTRATION IN SC FOR 18 MONTHS.
Current Status:	Final
Resolution:	Consent
Resolution Date:	10/19/1998

**Sanctions Ordered:****Other Sanctions Ordered:****Sanction Details:**

Not Provided

Regulator Statement

CONTACT: SC SECURITIES DIVISION 803-734-4731

Reporting Source:

Broker

Regulatory Action Initiated By:

STATE OF SOUTH CAROLINA

Sanction(s) Sought:**Other Sanction(s) Sought:****Date Initiated:**

06/12/1998

Docket/Case Number:

98179

Employing firm when activity occurred which led to the regulatory action:**Product Type:**

Equity - OTC

Other Product Type(s):**Allegations:**

IN MAY OF 1998, THE STATE OF SOUTH CAROLINA REQUESTED I NOT DO BUSINESS WITHIN THE STATE FOR 18 MONTHS DUE TO MY DISCIPLINARY HISTORY.

Current Status:

Final

Resolution:

Consent

Resolution Date:

10/19/1998

Sanctions Ordered:**Other Sanctions Ordered:****Sanction Details:**

CONSENT AGREEMENT.

Broker Statement

ON MAY 6 OF 1998, THE S.C. STATE REQUESTED INFORMATION ABOUT THREE ARBITRATIONS ON MY CRD LISCENCE. THIS REQUEST RESULTED FROM MY APPLYING FOR REGISTRATION IN THAT STATE. I THEREAFTER PROVIDED THEM WITH THAT INFORMATION.

ON JUNE 12TH OF THE SAME YEAR THE STATE ISSUED A DENIAL ORDER



AND I AGREED AS THEY SUGGESTED TO NOT DO BUSINESS WITHIN THE
STATE OF SOUTH CAROLINA FOR 18 MONTHS.
THIS AGREEMENT HAD NO BEARING ON MY LICENSE AND I CONTINUED TO
DO BUSINESS IN OTHER STATES ONLY.



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

This type of disclosure event involves (1) a consumer-initiated, investment-related arbitration or civil suit containing allegations of sales practice violations against the individual broker that was dismissed, withdrawn, or denied; or (2) a consumer-initiated, investment-related written complaint containing allegations that the broker engaged in sales practice violations resulting in compensatory damages of at least \$5,000, forgery, theft, or misappropriation, or conversion of funds or securities, which was closed without action, withdrawn, or denied.

Disclosure 1 of 2

Reporting Source:	Broker
Employing firm when activities occurred which led to the complaint:	Fidelity Brokerage Services LLC
Allegations:	The attorney who represents the Estate of a deceased customer alleged that the Estate incurred unexpected tax consequences because in 2017, the representative failed to follow specific instructions relating to the transfer of assets to multiple accounts.
Product Type:	No Product
Alleged Damages:	\$79,506.00
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:	07/02/2018
Complaint Pending?	No
Status:	Denied
Status Date:	07/12/2018
Settlement Amount:	
Individual Contribution Amount:	

Disclosure 2 of 2

Reporting Source:	Broker
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Employing firm when activities occurred which led to the complaint: SOVEREIGN EQUITY

Allegations: CLIENT CLAIMED UNSUITABLE STOCKS AND BROKER NOT ADHERING TO STATED INVESTMENT RECOMMENDATIONS IN RECOMMENDATIONS

Product Type: Equity - OTC

Alleged Damages: \$124,000.00

Customer Complaint Information

Date Complaint Received: 11/04/1997

Complaint Pending? No

Status: Closed/No Action

Status Date: 05/24/1998

Settlement Amount: \$0.00

Individual Contribution Amount: \$0.00

Arbitration Information

Disposition: No Action

Disposition Date:

End of Report



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