

BrokerCheck Report

Daniel Scott LaForest

CRD# 5491065

<u>Section Title</u>	<u>Page(s)</u>
Report Summary	1
Broker Qualifications	2 - 4
Registration and Employment History	6 - 8



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 S. LaForest**

CRD# 5491065

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

- IA KESTRA ADVISORY SERVICES, LLC**
 2420 S. Lakemont Ave
 Suite 120
 Orlando, FL 32814
 CRD# 283330
 Registered with this firm since: 02/17/2022
- B KESTRA INVESTMENT SERVICES, LLC**
 2420 S. Lakemont Ave
 Suite 120
 Orlando, FL 32814
 CRD# 42046
 Registered with this firm since: 01/31/2022

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:**

- 1 Self-Regulatory Organization
- 4 U.S. states and territories

This broker has passed:

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

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

- IA CONCOURSE FINANCIAL GROUP ADVISORS**
 CRD# 15708
 BIRMINGHAM, AL
 03/2019 - 02/2022
- B CONCOURSE FINANCIAL GROUP SECURITIES, INC.**
 CRD# 15708
 ORLANDO, FL
 02/2019 - 02/2022
- IA NEXT FINANCIAL GROUP, INC.**
 CRD# 46214
 HOUSTON, TX
 09/2013 - 03/2019

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? **No**



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 1 SRO and is licensed in 4 U.S. states and territories through his or her employer.

Employment 1 of 2

Firm Name: **KESTRA ADVISORY SERVICES, LLC**
 Main Office Address: **5707 SOUTHWEST PARKWAY
 BUILDING 2, SUITE 400
 AUSTIN, TX 78735**
 Firm CRD#: **283330**

	U.S. State/ Territory	Category	Status	Date
IA	Florida	Investment Adviser Representative	Approved	02/17/2022

Branch Office Locations

5707 SOUTHWEST PARKWAY
 BUILDING 2, SUITE 400
 AUSTIN, TX 78735

2420 S. Lakemont Ave
 Suite 120
 Orlando, FL 32814

8245 Devereux Drive
 Suite 103
 MELBOURNE, FL 32940

Employment 2 of 2

Firm Name: **KESTRA INVESTMENT SERVICES, LLC**
 Main Office Address: **5707 SOUTHWEST PARKWAY
 BUILDING 2, SUITE 400
 AUSTIN, TX 78735**



Broker Qualifications

Employment 2 of 2, continued

Firm CRD#: **42046**

SRO	Category	Status	Date
B FINRA	General Securities Representative	Approved	01/31/2022

U.S. State/ Territory	Category	Status	Date
B Florida	Agent	Approved	01/31/2022
B Georgia	Agent	Approved	01/31/2022
B North Carolina	Agent	Approved	01/17/2023
B Tennessee	Agent	Approved	06/02/2023

Branch Office Locations

KESTRA INVESTMENT SERVICES, LLC

2420 S. Lakemont Ave
Suite 120
Orlando, FL 32814

KESTRA INVESTMENT SERVICES, LLC

8245 Devereux Drive
Suite 103
Melbourne, FL 32940



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 0 principal/supervisory exams, 2 general industry/product exams, and 1 state securities law exam.

Principal/Supervisory Exams

Exam	Category	Date
No information reported.		

General Industry/Product Exams

Exam	Category	Date
B Securities Industry Essentials Examination	SIE	10/01/2018
B General Securities Representative Examination	Series 7	05/01/2008

State Securities Law Exams

Exam	Category	Date
B IA Uniform Combined State Law Examination	Series 66	06/10/2009

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
IA 03/2019 - 02/2022	CONCOURSE FINANCIAL GROUP ADVISORS	15708	ORLANDO, FL
B 02/2019 - 02/2022	CONCOURSE FINANCIAL GROUP SECURITIES, INC.	15708	ORLANDO, FL
IA 09/2013 - 03/2019	NEXT FINANCIAL GROUP, INC.	46214	WINTER PARK, FL
B 09/2013 - 03/2019	NEXT FINANCIAL GROUP, INC.	46214	WINTER PARK, FL
IA 10/2010 - 10/2018	SMATHERS FINANCIAL GROUP, INC.	130349	THE VILLAGES, FL
B 02/2009 - 09/2013	CAPITAL GUARDIAN, LLC	137919	THE VILLAGES, FL
B 05/2008 - 01/2009	SAGEPOINT FINANCIAL, INC.	133763	SUMMERFIELD, FL

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
01/2022 - Present	KESTRA INVESTMENT SERVICES, LLC	REGISTERED REPRESENTATIVE/IA R	Y	MELBOURNE, FL, United States
01/2022 - Present	Kestra Advisory Services, LLC	Investment Advisor	Y	MELBOURNE, FL, United States
02/2019 - 01/2022	PROEQUITIES, INC.	REGISTERED REPRESENTATIVE/IA R	Y	ORLANDO, FL, United States
09/2013 - 02/2019	NEXT FINANCIAL GROUP, INC.	REGISTERED REP	Y	WINTER PARK, FL, United States
07/2010 - 08/2018	SMATHERS FINANCIAL GROUP, INC	FINANCIAL ADVISOR	Y	THE VILLAGES, FL, United States



Registration and Employment History

Employment History, continued

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.

(dba) SECURITY FINANCIAL MANAGEMENT, INC. - INV REL - 2420 S LAKEMONT AVENUE, SUITE 120, ORLANDO, FL 32814 - INSURANCE AND SECURITIES - FINANCIAL ADVISOR - START DATE: 02/2019 - 160 HPM WHICH ARE ALL DURING SECURITIES TRADING HOURS - ASSET MANAGEMENT, FINANCIAL AND RETIREMENT PLANNING.

NAME: DANIEL S. LAFOREST PA - INV REL - 1528 SUGARWOOD CIRCLE, WINTER PARK, FL 32792 - INSURANCE - PRESIDENT - 10 HPM WITH 0 HPM DURING TRADING HOURS - START DATE: 06/2008 - REGISTERED S-CORP AND INSURANCE BROKER WITH THE STATE OF FLORIDA

NAME:TUSKAWILLA TUSSLE SCHOLARSHIP FUND - NOT INV REL - 1528 SUGARWOOD CIRCLE, WINTER PARK, FL 32792 - SCHOLARSHIP FUND - CO-FOUNDER - 1 HPM WITH 0 HPM DURING SECURITIES TRADING HOURS - START DATE: 08/2015 - A SCHOLARSHIP FUND THAT I CO-FOUNDED FOR LOCAL HIGH SCHOOL STUDENTS THAT HAVE EXCELLED ON THE FIELD AND IN THE CLASSROOM.

NAME: UNITED HEALTHCARE - NOT INV REL - 495 N. KELLER ROAD, SUITE 200, MAITLAND, FL 32751 - MEDICARE INSURANCE - INSURANCE AGENT - START DATE: 02/2010 - 10 HPM - 0 HPM DURING SECURITIES TRADING HOURS - START DATE: 02/2010 - SELLING MEDICARE INSURANCE PRODUCTS.

NAME: ORLANDO SPORTS FOUNDATION-NON INV REL-121 S ORANGE AVENUE, SUITE 1500, ORLANDO, FL 32801-CONSULTANT- START DATE: 08/2021-1 HPM WITH 0 HPM DURING SECURITIES TRADING HOURS. I CONSULT ON THE CURE CLASSIC HIGH SCHOOL ALL STAR FOOTBALL GAME. INVESTMENT RENTAL-2101 LAKE FRANCIS DRIVE, SUITE 16, APOPKA, FL 32712 01/2000

NAME: SECURITY FINANCIAL MANAGEMENT POS: Financial Advisor NOB: Registered rep activities through Kestra Investment Services INV REL: Y #OF HRS: 130 SEC TRAD HRS: 130 STRT DTE: 02/22/2019 ADDR: 2420 S. Lakemont Avenue, Suite 120, Orlando FL 32814

DESCRIPTION: Asset Management, Financial and Retirement Planning

NAME: DANIEL S LAFOREST PA POS: Owner NOB: Insurance INV REL: Y #OF HRS: 10 SEC TRAD HRS: 5 STRT DTE: 06/01/2008 ADDR: 1528 Sugarwood Circle, Winter Park FL 32792 DESC: Sales of Medicare insurance products.

NAME: RENTAL PROPERTY POS: Owner NOB: Real Estate INV REL: N #OF HRS: 0 SEC TRAD HRS: 0 STRT DTE: 03/03/2004 ADDR: 925-16 Lexington Parkway, Apopka FL 32712 DESC: Maintenance.

NAME: VARSITY SPORTS NETWORK LLC POS: Co-Owner NOB: High School Sports Broadcasting INV REL: N #OF HRS: 20 SEC TRAD HRS: 10 STRT DTE: 12/01/2021 ADDR: 302 E. Lake Victoria Circle, Deland FL 32724 DESC: Co-owner and Show host

NAME:UNITED HEALTHCARE POS: Sales Agent NOB: Insurance INV REL: Y #OF HRS: 8 SEC TRAD HRS: 6 STRT DTE: 02/01/2010 ADDR: 495 N. Keller Road, Suite 200, Maitland FL 32751 DESC: Presenting Medicare options and enrolling members.

NAME: KESTRA ADVISORY SERVICES POS: IAR NOB: Investment advisory services through Kestra Advisory Services, LLC INV REL: Y #OF HRS: 160 SEC TRAD HRS: 160 STRT DTE: 01/27/2022 ADDR: 5707 Southwest Parkway Building 2 Ste. 400, Suite 120, Austin TX 78735 DESC: Advisory Services

NAME: SECURITY FINANCIAL MANAGEMENT POS: Instructor NOB: Registered rep activities through Kestra Investment Services INV REL: Y #OF HRS: 6 SEC TRAD HRS: 0 STRT DTE: 04/17/2023 ADDR: 2420 S. Lakemont Avenue, Suite 120, Orlando FL 32814 DESC: Instructor in classroom and virtual setting. Class is to educate the retirement planning process. No securities or other products will be indorsed.

NAME: INFLUENCER COUNSEL POS: Director; NIL Relationships

NAME: Sports Agent INV REL: No NUMBER OF HOURS: 20 SECURITIES TRADING HOURS: 10 STRT DTE: 05/09/2023 ADDR: 615 Crescent Executive Court, Suite 212, Lake Mary FL 32746, United States DESC: Communications with student-athletes, Universities, and families providing education and representation on Name, Image, & Likeness (NIL).

Registration and Employment History



Other Business Activities, continued

End of Report



This page is intentionally left blank.