

This brochure supplement provides information about Investment Adviser Representative, Steven D. Katzenstein (CRD No. 2380645), that supplements the firm brochure of The Prosperity Consulting Group, LLC d/b/a Prosperity - An EisnerAmper Company (IARD No. 133777) ("Prosperity" or the "Firm"). You should have received a copy of that Brochure. Please contact Donna C. Gestl (contact information below), if you did not receive the Prosperity Brochure or if you have any questions about the contents of this supplement.

Additional information about Investment Adviser Representative, Steven D. Katzenstein, CRD No. 2380645 can be found on the Investment Adviser Public Disclosure website at [www.adviserinfo.sec.gov](http://www.adviserinfo.sec.gov). That website can be searched by using the investment adviser representative's CRD number (shown above).

**BROCHURE SUPPLEMENT**  
*for*  
**Steven Daniel Katzenstein**  
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Raleigh, NC 27607



**Prosperity - An EisnerAmper Company**

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**Firm Supervisory Contact:**

Donna C. Gestl, Chief Compliance Officer

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**August 6, 2024**

## **BROCHURE SUPPLEMENT for Steven D. Katzenstein, CRD No. 2380645**

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### **EDUCATIONAL BACKGROUND & BUSINESS EXPERIENCE (Item 2)**

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#### Prosperity requirements for Investment Adviser Representative Employment

Prosperity requires that employees who provide discretionary security selection on behalf of the Firm have at least, a 4-year college degree, 2 years relevant work experience in the securities industry and have taken and passed the appropriate state advisory exam. Investment Adviser Representatives must have work experience that demonstrates their aptitude for financial planning and investment management. Investment Adviser Representatives should have further coursework demonstrating knowledge of financial planning and tax planning. Examples of acceptable coursework include: an MBA, a CFP®, a CFA®, a ChFC, JD, or CPA. If an Investment Adviser Representative does not meet the above requirements, he or she will be required to work jointly with a senior advisor until such requirements are met.

#### Investment Adviser Representative's Information

**Steven D. Katzenstein**

**Year of Birth: 1960**

#### **Educational Background**

Bachelor of Science, Business Administration and Management and Marketing, University of South Carolina, 1983

#### **Business Experience**

<i>Registered Representative</i> DAI Securities, LLC, Atlanta, GA	<i>08/2024 to Present</i>
<i>Investment Advisor Representative</i> Prosperity - An EisnerAmper Company, Raleigh, NC	<i>08/2024 to Present</i>
<i>Registered Representative</i> Avantax Investment Services, Inc., Raleigh, NC	<i>10/2019 to 08/2024</i>
<i>Investment Adviser Representative</i> Avantax Advisory Services, Raleigh, NC	<i>10/2019 to 08/2024</i>
<i>Financial Advisor</i> HPG Wealthcare Advisors, LLC	<i>01/2006 to 08/2024</i>
<i>Insurance Agent</i> Avantax Insurance Services, Raleigh, NC	<i>09/1999 to 08/2024</i>
<i>Financial Advisor</i> 1st Global Capital Corp., Raleigh, NC	<i>09/1999 to 10/2019</i>
<i>Investment Adviser Representative</i> 1st Global Advisors, Inc., Raleigh, NC	<i>07/2000 to 10/2019</i>

## **DISCIPLINARY INFORMATION (Item 3)**

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Criminal or Civil Actions  
None.

Administrative Actions or Proceedings  
None.

Self-Regulatory Organization (SRO) Proceedings  
None.

Professional Standards Violations  
None.

## **OTHER BUSINESS ACTIVITIES (Item 4)**

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### Investment Related

Steven Katzenstein is a licensed insurance agent who transacts insurance product sales through various insurance vendors. Mr. Katzenstein will earn separate, yet customary compensation for insurance product sales. Mr. Katzenstein spends on average two hours per week selling insurance products.

In his dual roles as investment advisor representative, insurance agent, and securities salesperson (as referenced in Items 5 and 10 of our Brochure), Mr. Katzenstein is faced with conflicts of interest whereby, the receipt of commissions for selling insurance or securities products gives him an incentive to recommend insurance or investment products based on the compensation received, rather than the client's needs. We address this conflict of interest by, among other things, requiring all representatives who are licensed to offer insurance products to our clients to assure that the recommendation to purchase insurance is in the client's best interest. These products may be available through other channels and as a client you are not obligated to purchase products recommended by our representatives. *(Please see Item 10, Financial Industry Affiliations of our Brochure for additional details)*

Non-Investment Related  
None

## **ADDITIONAL COMPENSATION (Item 5)**

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Mr. Katzenstein also earns additional compensation as a result of his dual financial industry activities and affiliations. *(Please see Item 10, Financial Industry Affiliations of our Brochure for additional details)*

## **SUPERVISION (Item 6)**

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Donna C. Gestl, another investment adviser representative of the Firm, supervises Mr. Katzenstein. The Firm administers supervision through application of its written supervisory policies and procedures. If you have questions regarding the supervisory procedures of the Firm, you may contact Donna C. Gestl, Chief Compliance Officer by phone at 410-363-7211 or by email to [donna.gestl@prosperityea.com](mailto:donna.gestl@prosperityea.com).