



IAPD Report

DANIEL AMARADIO

CRD# 1571991

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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.



IAPD Information About Representatives

IAPD offers information on all current-and many former representatives. Investors are strongly encouraged to use IAPD to check the background of representatives before deciding to conduct, or continue to conduct, business with them.

What is included in a IAPD report?

IAPD reports for individual representatives include information such as employment history, professional qualifications, disciplinary actions, criminal convictions, civil judgments and arbitration awards.

It is important to note that the information contained in an IAPD 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 representative, or concluded through a negotiated settlement with no admission or finding of wrongdoing.

Where did this information come from?

The information contained in IAPD comes from the Investment Adviser Registration Depository (IARD) and FINRA's Central Registration Depository, or CRD, (see more on CRD below) and is a combination of:

- information the states require representatives and firms to submit as part of the registration and licensing process, and
- information that state regulators report regarding disciplinary actions or allegations against representatives.

How current is this information?

Generally, representatives are required to update their professional and disciplinary information in IARD within 30 days.

Need help interpreting this report?

For help understanding how to read this report, please consult NASAA's IAPD Tips page <http://www.nasaa.org/IAPD/IARReports.cfm>

What if I want to check the background of an Individual Broker or Brokerage Firm?

To check the background of an Individual Broker or Brokerage firm, you can search for the firm or individual in IAPD. If your search is successful, click on the link provided to view the available licensing and registration information in FINRA's BrokerCheck website.

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

It is recommended that you learn as much as possible about an individual representative or Investment Adviser firm before deciding to work with them. Your state securities regulator can help you research individuals and certain firms doing business in your state. The contact information for state securities regulators can be found on the website of the North American Securities Administrators Association <http://www.nasaa.org>



Report Summary

DANIEL AMARADIO (CRD# 1571991)

The report summary provides an overview of the representative's professional background and conduct. The information contained in this report has been provided by the representative, investment adviser and/or securities firms, and/or securities regulators as part of the states' investment adviser registration and licensing process. The information contained in this report was last updated by the representative, a previous employing firm, or a securities regulator on **10/24/2025**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	SIGNATURE ESTATE SECURITIES, LLC	CRD# 18923	10/24/2025
IA	SEIA	CRD# 108163	10/27/2025

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **1** jurisdiction(s).

Is this representative currently Inactive or Suspended with any regulator? **No**

Note: Not all jurisdictions require IAR registration or may have an exemption from registration.

Additional information including this individual's qualification examinations and professional designations is available in the Detailed Report.

REGISTRATION HISTORY

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

	FIRM	CRD#	LOCATION	REGISTRATION DATES
IA	SELECT MONEY MANAGEMENT, INC.	153256	ALISO VIEJO, CA	02/12/2013 - 12/31/2025
B	SECURITIES EQUITY GROUP	47215	ALISO VIEJO, CA	04/13/2000 - 10/19/2025
IA	SELECT PORTFOLIO MANAGEMENT INC	107228	ALISO VIEJO, CA	02/01/1996 - 10/19/2025

For additional registration and employment history details as reported by the individual, refer to the Registration and Employment History section of the Detailed Report.

DISCLOSURE INFORMATION

Disclosure events include certain criminal charges and convictions, formal investigations and disciplinary actions initiated by regulators, customer disputes and arbitrations, and financial disclosures such as bankruptcies and unpaid judgments or liens.

Are there events disclosed about this representative?

Yes

The following types of events are disclosed about this representative:

Type	Count
Customer Dispute	3



Qualifications

REGISTRATIONS

This section provides the SRO, states and U.S. territories in which the representative is currently registered and licensed, the category of each registration, and the date on which the registration becomes effective. This section also provides, for each firm with which the representative is currently employed, the address of each location where the representative works. This individual is currently registered with 1 jurisdiction(s) and 1 SRO(s) through his or her employer(s).

Employment 1 of 2

Firm Name: **SIGNATURE ESTATE SECURITIES, LLC**
Main Address: 2121 AVENUE OF STARS
SUITE 1600
LOS ANGELES, CA 90067
Firm ID#: 18923


	Regulator	Registration	Status	Date
	FINRA	General Securities Representative	Approved	10/24/2025
	California	Agent	Approved	10/28/2025

Branch Office Locations

120 Vantis Dr
Suite 440
Aliso Viejo, CA 92656

Employment 2 of 2

Firm Name: **SEIA**
Main Address: 2121 AVENUE OF THE STARS
SUITE 1600
LOS ANGELES, CA 90067
Firm ID#: 108163

	Regulator	Registration	Status	Date
	California	Investment Adviser Representative	Approved	10/27/2025

Branch Office Locations

SEIA
120 Vantis Dr
Suite 440
Aliso Viejo, CA 92656



Qualifications



PASSED INDUSTRY EXAMS

This section includes all industry exams that the representative has passed. Under limited circumstances, a representative may attain registration after receiving an exam waiver based on a combination of exams the representative has passed and qualifying work experience. Likewise a new exam requirement may be grandfathered based on a representative's specific qualifying work experience. Exam waivers and grandfathering are not included below.

This individual has passed 0 principal/supervisory exams, 3 general industry/product exams, and 1 state securities law exam.

Principal/Supervisory Exams

Exam	Category	Date
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No information reported.

General Industry/Product Exams

Exam	Category	Date
B Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
B General Securities Representative Examination (S7)	Series 7	08/24/1994
B Investment Company Products/Variable Contracts Representative Examination (S6)	Series 6	11/14/1986

State Securities Law Exams

Exam	Category	Date
B Uniform Securities Agent State Law Examination (S63)	Series 63	01/06/1987



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 & Employment History

PREVIOUSLY REGISTERED WITH THE FOLLOWING FIRMS

This representative held registrations with the following firms:

	Registration Dates	Firm Name	ID#	Branch Location
IA	02/12/2013 - 12/31/2025	SELECT MONEY MANAGEMENT, INC.	CRD# 153256	ALISO VIEJO, CA
B	04/13/2000 - 10/19/2025	SECURITIES EQUITY GROUP	CRD# 47215	ALISO VIEJO, CA
IA	02/01/1996 - 10/19/2025	SELECT PORTFOLIO MANAGEMENT INC	CRD# 107228	ALISO VIEJO, CA
IA	03/15/2010 - 12/31/2012	SELECT MONEY MANAGEMENT, INC.	CRD# 153256	ALISO VIEJO, CA
B	05/14/1997 - 04/28/2000	SECURITIES SERVICE NETWORK, INC.	CRD# 13318	KNOXVILLE, TN
B	11/15/1994 - 05/06/1997	SECURITIES AMERICA, INC.	CRD# 10205	LAVISTA, NE
B	01/04/1991 - 12/08/1994	PRUCO SECURITIES CORPORATION	CRD# 5685	NEWARK, NJ
B	01/04/1991 - 12/10/1993	THE PRUDENTIAL INSURANCE COMPANY OF AMERICA	CRD# 680	NEWARK, NJ
B	01/06/1987 - 01/07/1991	EQUICO SECURITIES, INC.	CRD# 6627	NEW YORK, NY
B	11/17/1986 - 01/07/1991	THE EQUITABLE LIFE ASSURANCE SOCIETY OF THE UNITED STATES	CRD# 4039	NEW YORK, NY
B	02/19/1987 - 09/24/1988	COORDINATED CAPITAL SECURITIES OF WI INC.	CRD# 14762	

EMPLOYMENT HISTORY

Below is the representative's employment history for up to the last 10 years.

Employment Dates	Employer Name	Position	Investment Related	Employer Location
10/2025 - Present	SEIA LLC	Partner	Y	Los Angeles, CA, United States
10/2025 - Present	SES LLC	Partner	Y	Los Angeles, CA, United States
03/2010 - Present	SELECT MONEY MANAGEMENT, INC.	INVESTMENT ADVISOR REPRESENTATIVE	Y	ALISO VIEJO, CA, United States



Registration & Employment History



EMPLOYMENT HISTORY

Employment Dates	Employer Name	Position	Investment Related	Employer Location
04/2000 - 10/2025	SECURITIES EQUITY GROUP	REGISTERED REPRESENTATIVE	Y	ALISO VIEJO, CA, United States
12/1995 - 10/2025	SELECT PORTFOLIO MANAGEMENT, INC.	INVESTMENT ADVISOR REPRESENTATIVE	Y	ALISO VIEJO, CA, United States



OTHER BUSINESS ACTIVITIES

This section includes information, if any, as provided by the representative regarding other business activities the representative 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.

SEIA LLC, SMM Inc

POSITION: Partner, NATURE: RIA, INVESTMENT RELATED: Yes, NUMBER OF HOURS: 160, SECURITIES TRADING

HOURS: 120, START DATE: 10/17/2025

ADDRESS: 120 Vantis Dr, Suite 440, Aliso Viejo CA 92656, United States

DESCRIPTION: RIA sales & service



Disclosure Summary

Disclosure Information

What you should know about reported disclosure events:

(1) Certain thresholds must be met before an event is reported to IARD, for example:

- A law enforcement agency must file formal charges before an Investment Adviser Representative is required to report a particular criminal event.;
- A customer dispute must involve allegations that an Investment Adviser Representative engaged in activity that violates certain rules or conduct governing the industry and that the activity resulted in damages of at least \$5,000.

(2) Disclosure events in IAPD reports come from different sources:

As mentioned in the "About IAPD" section on page 1 of this report, information contained in IAPD comes from Investment Adviser Representatives, 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 IAPD report. The different versions will be separated by a solid line with the reporting source labeled.

(3) There are different statuses and dispositions for disclosure events:

- A disclosure event may have a status of *pending*, *on appeal*, or *final*.
 - A "pending" disclosure event involves allegations that have not been proven or formally adjudicated.
 - A disclosure event that is "on appeal" involves allegations that have been adjudicated but are currently being appealed.
 - A "final" disclosure event has been concluded and its resolution is not subject to change.
- A final disclosure 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 represents a disposition wherein the parties involved in a dispute reach an agreement to resolve the matter. Please note that Investment Adviser Representatives and firms may choose to settle customer disputes or regulatory matters for business or other reasons.
 - A "resolved" matter usually includes a disposition wherein no payment is made to the customer or there is no finding of wrongdoing on the part of the Investment Adviser Representative. Such matters generally involve customer disputes.

(4) You may wish to contact the Investment Adviser Representatives to obtain further information regarding any of the disclosure events contained in this IAPD report.



DISCLOSURE EVENT DETAILS

When evaluating this information, please keep in mind that some items may involve pending actions or allegations that may be contested and have not been resolved or proven. The event may, in the end, be withdrawn, dismissed, resolved in favor of the Investment Adviser Representative, or concluded through a negotiated settlement with no admission or finding of wrongdoing.

This report provides the information exactly as it was reported to the Investment Adviser Registration Depository. Some of the specific data fields contained in the report may be blank if the information was not provided.

The following types of events are disclosed about this representative:

Type	Count
Customer Dispute	3

Customer Dispute

This section provides information regarding a customer dispute that was reported to the Investment Adviser Registration Depository (IARD) by the Investment Adviser Representative (IAR), an investment adviser and/or securities firm, and/or a securities regulator. The event may include a consumer-initiated, investment-related complaint, arbitration proceeding or civil suit that contains allegations of sales practice violations against the individual.

The customer dispute may be pending or may have resulted in a civil judgment, arbitration award, monetary settlement, closure without action, withdrawal, dismissal, denial, or other outcome.

Disclosure 1 of 3

Reporting Source:	Firm
Employing firm when activities occurred which led to the complaint:	SECURITIES SERVICE NETWORK, INC.
Allegations:	CLIENT ALLEGES THAT SUB-ACCOUNT ALLOCATIONS WERE TOO AGGRESSIVE FOR HER RISK TOLERANCE, CDSC NOT DISCLOSED AND MUTUAL FUNDS LIQUIDATED WITHOUT AUTHORIZATION. TRANSACTIONS OCCURRED IN 2000.
Product Type:	Annuity(ies) - Variable
Alleged Damages:	\$6,330.52

Customer Complaint Information

Date Complaint Received:	05/08/2001
Complaint Pending?	No
Status:	Denied
Status Date:	05/23/2001

Settlement Amount:

Individual Contribution Amount:

Firm Statement AFTER REVIEW OF THE RELEVANT DOCUMENTATION, THE BROKER-DEALER HAS DENIED ALL CLAIMS.



Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: SECURITIES SERVICE NETWORK, INC. & SECURITIES EQUITY GROUP

Allegations: CUSTOMER PURCHASED TWO VARIABLE ANNUITIES. ONE IN JANUARY OF 2000 AND THE OTHER IN JULY OF 2000. SHE ALSO EXECUTED AN ASSET MANAGEMENT AGREEMENT FOR THE MANAGEMENT OF THESE TWO ASSETS BY SELECT PORTFOLIO MANAGEMENT, INC. CUSTOMER WAS ALSO AN AGGRESSIVE STOCK TRADING CLIENT AND DIRECTED BUYS AND SELLS OF INDIVIDUAL STOCKS ACCORDING TO HER OWN INTERPRETATION OF THE MARKET. WHEN MARKET CONDITIONS DECLINED SHE MOVED HER ASSETS TO ANOTHER BROKER. THAT BROKER RECOMMENDED THAT SHE 1035 HER TWO ANNUITIES TO GUARDIAN. SHE INCURRED BACK-END PENALTIES THAT WERE FULLY DISCLOSED AND DISCUSSED WITH HER. SHE ALLEGES THAT SHE DID NOT AUTHORIZE AGGRESSIVE TRADING AND COULD NOT AFFORD LOSSES. SHE ALSO CLAIMS SHE THOUGHT SHE BOUGHT MUTUAL FUNDS NOT ANNUITIES AND WAS NOT AWARE OF THE BACK-END PENALTIES. ALL ALLEGATIONS CAN BE REFUTED BY SIGNED DOCUMENTATION IN THE FILE.

Product Type: Annuity(ies) - Variable

Alleged Damages: \$20,496.23

Customer Complaint Information

Date Complaint Received: 05/14/2001

Complaint Pending? No

Status: Denied

Status Date: 05/23/2001

Settlement Amount:

Individual Contribution Amount:

Broker Statement AFTER REVIEW OF THE RELEVANT DOCUMENTATION, THE BROKER-DEALER HAS DENIED ALL CLAIMS. ON APRIL 30, 2002 THE NASD ADVISED THAT THEY HAD CLOSED THEIR FILE CONCERNING THIS MATTER, STATING THAT THEY FOUND NO BASIS FOR ANY DISCIPLINARY ACTION. THIS MATTER IS NO LONGER REPORTABLE SINCE IT IS BEYOND 24 MONTHS.

Disclosure 2 of 3

Reporting Source: Firm

Employing firm when activities occurred which led to the complaint: SECURITIES SERVICE NETWORK

Allegations: CLIENTS ALLEGE NEGLIGENCE, MISREPRESENTATION AND BREACH OF FIDUCIARY DUTY IN RELATION TO THE SALE OF COMMON STOCK AND PURCHASE OF MUTUAL FUNDS WHICH OCCURED IN NOV - DEC 1999.

Product Type: Mutual Fund(s)

Other Product Type(s): N/A

Alleged Damages: \$30,000.00

Customer Complaint Information



Date Complaint Received: 06/12/2000
Complaint Pending? No
Status: Arbitration/Reparation
Status Date: 06/12/2000

Settlement Amount:

Individual Contribution Amount:

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: GENE A AND JANICE HEDLUND V. DANIEL AMARADIO, TONY AMARADIO, CARIN AMARADIO AND MARK GOLDSMITH. NASD ARBITRATION NUMBER 00-02005.

Date Notice/Process Served: 06/12/2000
Arbitration Pending? Yes

Reporting Source: Individual
Employing firm when activities occurred which led to the complaint: SECURITIES SERVICE NETWORK, INC.

Allegations: NOVEMBER 17, 1999 CLIENT PURCHASED FIDELITY ADVISOR MUTUAL FUND IN THE AMOUNT OF \$39,911.62 WITH THE PROCEEDS FROM THE SALE OF A STOCK PORTFOLIO IN ORDER TO PARTICIPATE IN THE SECTOR MANAGED PROGRAM OF RIA IN WHICH REP. IS AFFILIATED. ON 12/2/1999 RIA MOVED FUNDS TO MONEY MARKET POSITION IN ANTICIPATION OF Y2K. CLIENT CLAIMS THEY WOULD HAVE MADE MORE MONEY IF THEY HAD KEPT THEIR STOCKS. UNHAPPY WITH REATE OF RETURN. CLIENT TERMINATED THE MUTUAL FUND ON 1/3/2000. RECEIVED \$38,985.21.

Product Type: Mutual Fund(s)
Alleged Damages: \$30,000.00

Customer Complaint Information

Date Complaint Received: 06/05/2000
Complaint Pending? No
Status: Settled
Status Date: 09/12/2000
Settlement Amount: \$4,999.99
Individual Contribution Amount: \$2,500.00

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: ARBITRATION CLAIM FILED WITH NASD - ARBITRATION NUMBER 00-02005, HOWEVER CASE WAS SETTLED VIA MEDIATION.
Date Notice/Process Served: 06/05/2000
Arbitration Pending? No
Disposition: Settled



Disposition Date: 09/12/2000

Monetary Compensation Amount: \$4,999.99

Individual Contribution Amount: \$2,500.00

Disclosure 3 of 3

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: SECURITIES SERVICE NETWORK

Allegations: VARIABLE ANNUITIES WERE INAPPROPRIATE AND UNSUITABLE. SOLD 3, REQUESTED SURRENDER OF ANNUITIES AND WAIVER OF SURENDER CHARGES.

Product Type: Annuity(ies) - Variable

Alleged Damages: \$29,200.00

Customer Complaint Information

Date Complaint Received: 11/03/1999

Complaint Pending? No

Status: Withdrawn

Status Date: 01/13/2000

Settlement Amount:

Individual Contribution Amount:

Broker Statement CLIENT WITHDREW COMPLAINT. ALL ASPECTS OF HER VARIABLE ANNUITIES WERE REVIEWED WITH HER AGAIN IN FULL DETAIL. SHE HAS TERMINATED HER RELATIONSHIP WITH BOTH ATTORNEYS (WHO WROTE THE COMPLAINT), STATING THAT THEY DID NOT EXPRESS HER CONCERNS ACCURATELY. HER CONCERN WAS LIQUIDITY AND THIS WAS REVIEWED AGAIN WITH HER IN FULL DETAIL.



End of Report

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