



IAPD Report

MARK GOLDSMITH

CRD# 1740865

<u>Section Title</u>	<u>Page(s)</u>
Report Summary	1
Qualifications	2 - 5
Registration and Employment History	6 - 7
Disclosure Information	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.



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

MARK GOLDSMITH (CRD# 1740865)

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 **02/09/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	SECURITIES EQUITY GROUP	CRD# 47215	09/27/1999
IA	SEIA	CRD# 108163	10/17/2025
IA	SELECT MONEY MANAGEMENT, INC.	CRD# 153256	02/09/2026

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **9** 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	02/11/2013 - 12/31/2025
IA	SELECT PORTFOLIO MANAGEMENT INC	107228	ALISO VIEJO, CA	05/20/1996 - 10/19/2025
IA	SELECT MONEY MANAGEMENT, INC.	153256	ALISO VIEJO, CA	03/15/2010 - 12/31/2012

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	1



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 9 jurisdiction(s) and 1 SRO(s) through his or her employer(s).

Employment 1 of 3

Firm Name: **SELECT MONEY MANAGEMENT, INC.**
Main Address: 2121 AVE. OF THE STARS
SUITE 1600
LOS ANGELES, CA 90067
Firm ID#: 153256

Regulator	Registration	Status	Date
IA California	Investment Adviser Representative	Approved	02/09/2026
IA Texas	Investment Adviser Representative	Approved	02/09/2026

Branch Office Locations

SELECT MONEY MANAGEMENT, INC.
120 Vantis Drive
Suite 440
Aliso Viejo, CA 92656

Employment 2 of 3

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

Regulator	Registration	Status	Date
IA California	Investment Adviser Representative	Approved	10/17/2025
IA Texas	Investment Adviser Representative	Approved	10/17/2025

Branch Office Locations

SEIA
120 Vantis Dr
Suite 440



Qualifications

Aliso Viejo, CA 92656

Employment 3 of 3

Firm Name: **SECURITIES EQUITY GROUP**

Main Address: 120 VANTIS DRIVE
SUITE 440
ALISO VIEJO, CA 92656

Firm ID#: 47215

Regulator	Registration	Status	Date
B FINRA	Financial and Operations Principal	Approved	09/27/1999
B FINRA	General Securities Principal	Approved	09/27/1999
B FINRA	General Securities Representative	Approved	09/27/1999
B FINRA	Invest. Co and Variable Contracts	Approved	09/27/1999
B FINRA	Operations Professional	Approved	12/15/2011
B Arizona	Agent	Approved	11/23/2016
B California	Agent	Approved	10/06/1999
B Colorado	Agent	Approved	04/01/2004
B Florida	Agent	Approved	11/15/2004
B Maryland	Agent	Approved	08/17/2010
B Michigan	Agent	Approved	06/08/2000
B Oklahoma	Agent	Approved	05/22/2006
B Texas	Agent	Approved	11/23/2004
B Wyoming	Agent	Approved	10/28/2016

Branch Office Locations



Qualifications

120 Vantis Drive
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 2 principal/supervisory exams, 4 general industry/product exams, and 1 state securities law exam.

Principal/Supervisory Exams

Exam	Category	Date
Financial and Operations Principal Examination (S27)	Series 27	02/14/1999
General Securities Principal Examination (S24)	Series 24	05/24/1996

General Industry/Product Exams

Exam	Category	Date
Operations Professional Examination (S99TO)	Series 99TO	01/02/2023
Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
General Securities Representative Examination (S7)	Series 7	02/15/1996
Investment Company Products/Variable Contracts Representative Examination (S6)	Series 6	10/06/1987

State Securities Law Exams

Exam	Category	Date
Uniform Securities Agent State Law Examination (S63)	Series 63	05/22/1995

PROFESSIONAL DESIGNATIONS

This section details that the representative has reported **0** professional designation(s).

No information reported.



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	02/11/2013 - 12/31/2025	SELECT MONEY MANAGEMENT, INC.	CRD# 153256	ALISO VIEJO, CA
IA	05/20/1996 - 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	05/13/1997 - 04/28/2000	SECURITIES SERVICE NETWORK, INC.	CRD# 13318	KNOXVILLE, TN
B	11/07/1994 - 05/06/1997	SECURITIES AMERICA, INC.	CRD# 10205	LAVISTA, NE
B	12/04/1992 - 12/02/1994	PRUCO SECURITIES CORPORATION	CRD# 5685	NEWARK, NJ
B	06/06/1990 - 11/24/1992	EQUICO SECURITIES, INC.	CRD# 6627	NEW YORK, NY
B	10/08/1987 - 11/24/1992	THE EQUITABLE LIFE ASSURANCE SOCIETY OF THE UNITED STATES	CRD# 4039	NEW YORK, NY

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	Sr. Financial Advisor	Y	Aliso Viejo, CA, United States
03/1999 - Present	SECURITIES EQUITY GROUP	FINOP	Y	ALISO VIEJO, CA, United States
03/2010 - 10/2025	SELECT MONEY MANAGEMENT, INC.	INVESTMENT ADVISOR REP.	Y	ALISO VIEJO, CA, United States
03/1996 - 10/2025	SELECT PORTFOLIO MANAGEMENT, INC.	INVESTMENT ADVISOR REPRESENTATIVE	Y	ALISO VIEJO, CA, United States



Registration & Employment History



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.

1) Mark Goldsmith, Agent. Non-Investment related. 120 Vantis, Suite 440, Aliso Viejo, CA 92656. Fixed Life and Annuity Sales. Agent. Start Date 2000. 40 hours/month-20 during trading hours. Sales of fixed life and annuity contracts to clients.

2) G-Land Hale Nani, LLC - Non-Investment related. 11961 Kensington, Rossmore, CA 90720. Family-owned residential rental property. Owner. Manager. Start Date 2020. 10 hours/month-5 during trading hours. Management duties.

3)SEIA LLC

POSITION: Sr. Financial Advisor, 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

Licensed Insurance Producer

Position: Licensed Insurance Producer, Nature: Insurance, Investment Related: Yes, Number of Hours: 20, Securities Trading Hours: 10, Start Date: 10/17/2025

Address: 120 Vantis Dr, Suite 440, Aliso Viejo, CA 92656

Description: Insurance sales and service consistent with financial planning



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	1

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 1

Reporting Source: Individual

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

Allegations: ALLEGATIONS THAT COMPLAINANTS SUFFERED DAMAGES IN THE FORMS OF INTEREST ON LOANS, SURRENDER FEES, UNNECESSARY SALES CHARGES AND HIGHER COSTS OF NEW INSURANCE DUE TO THE 1035 EXCHANGE OF TWO LIFE INSURANCE POLICIES IN AUGUST OF 1997 & JANUARY OF 1998. APPLICANT DENIES THE ALLEGATIONS AND BELIEVES THAT THEY WERE TRIGGERED BY AN IDS REPRESENTATIVE IN ORDER TO JUSTIFY 1035 EXCHANGES THAT AGENT IMPLEMENTED ON THE TWO CUSTOMER POLICIES ADDRESSED IN THIS COMPLAINT. THE INTEREST ON POLICY LOANS AROSE FROM POLICY BORROWINGS INITIATED BY THE INVESTOR, NOT BY ANY ACTIONS OR RECOMMENDATIONS OF THE REPRESENTATIVES. FIRM DOCUMENTATION SIGNED BY THE INVESTOR REFUTES ALLEGATIONS OF FAILURE TO DISCLOSE INFORMATION.

Product Type: Insurance

Alleged Damages: \$750,000.00

Customer Complaint Information

Date Complaint Received: 07/12/2000

Complaint Pending? No

Status: Settled

Status Date: 09/23/2002

Settlement Amount: \$9,900.00



Individual Contribution Amount: \$0.00

Civil Litigation Information

Court Details: TWENTIETH JUDICIAL DISTRICT, CHANCERY COURT, DAVIDSON COUNTY, TENNESSEE (00-2393-III)

Date Notice/Process Served: 08/15/2000

Litigation Pending? No

Disposition: Settled

Disposition Date: 09/23/2002

Monetary Compensation Amount: \$9,900.00

Individual Contribution Amount: \$0.00

Broker Statement THE AGREED ORDER OF DISMISSAL WAS FILED ON 9/23/2002.



End of Report

This page is intentionally left blank.