



IAPD Report

DANIEL BRYAN ALDRICH

CRD# 2265693

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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 BRYAN ALDRICH (CRD# 2265693)

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 **11/04/2025**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	LPL FINANCIAL LLC	CRD# 6413	03/18/2003
IA	LPL FINANCIAL LLC	CRD# 6413	03/21/2003

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **13** 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	THE ESTATE MANAGEMENT GROUP, INC.	119293	VALENCIA, CA	04/23/2003 - 11/06/2009
B	LONG SECURITIES CORPORATION II	44179	GLENDALE, CA	01/01/1998 - 01/12/1999
B	LONG SECURITIES CORPORATION	6718	GLENDALE, CA	08/01/1995 - 01/01/1998

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
Regulatory Event	1
Customer Dispute	2



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

Employment 1 of 1

Firm Name: **LPL FINANCIAL LLC**
Main Address: 1055 LPL WAY
FORT MILL, SC 29715
Firm ID#: 6413

	Regulator	Registration	Status	Date
B	FINRA	General Securities Representative	Approved	03/18/2003
B	FINRA	General Securities Principal	Approved	10/21/2009
B	Arizona	Agent	Approved	11/23/2021
IA	California	Investment Adviser Representative	Approved	03/21/2003
B	California	Agent	Approved	04/09/2003
B	Florida	Agent	Approved	11/08/2023
B	Georgia	Agent	Approved	08/03/2018
B	Illinois	Agent	Approved	11/09/2023
B	New Mexico	Agent	Approved	11/08/2023
B	New York	Agent	Approved	09/12/2024
B	Oregon	Agent	Approved	05/31/2007
B	Pennsylvania	Agent	Approved	11/09/2023
B	South Carolina	Agent	Approved	10/28/2025



Qualifications

Regulator	Registration	Status	Date
B South Dakota	Agent	Approved	11/08/2023
B Utah	Agent	Approved	04/29/2022
B Washington	Agent	Approved	05/09/2007

Branch Office Locations

LPL FINANCIAL LLC
912 N HOLLYWOOD WAY STE D
BURBANK, CA 91505-2815

LPL FINANCIAL LLC
670 N. ROSEMEAD BLVD
PASADENA, CA 91107

LPL FINANCIAL LLC
6840 EASTERN AVE STE B
BELL GARDENS, CA 90201

LPL FINANCIAL LLC
GLENDALE, CA

LPL FINANCIAL LLC
1285 NORTH LAKE AVE
PASADENA, CA 91104



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 1 principal/supervisory exam, 3 general industry/product exams, and 2 state securities law exams.

Principal/Supervisory Exams

	Exam	Category	Date
B	General Securities Principal Examination (S24)	Series 24	10/09/2009

General Industry/Product Exams

	Exam	Category	Date
B	Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
B	Futures Managed Funds Examination (S31)	Series 31	01/11/2005
B	General Securities Representative Examination (S7)	Series 7	03/17/2003

State Securities Law Exams

	Exam	Category	Date
IA B	Uniform Combined State Law Examination (S66)	Series 66	03/20/2003
B	Uniform Securities Agent State Law Examination (S63)	Series 63	12/22/1997



PROFESSIONAL DESIGNATIONS

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

No information reported.

Only professional designations listed in Question 8 of the Form U4 will appear in this section if the appropriate box is checked and verified by the issuing organization at the time of the filing. Learn more about eligible designations at [IARD](#) and [NASAA](#).



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	04/23/2003 - 11/06/2009	THE ESTATE MANAGEMENT GROUP, INC.	CRD# 119293	VALENCIA, CA
B	01/01/1998 - 01/12/1999	LONG SECURITIES CORPORATION II	CRD# 44179	GLENDALE, CA
B	08/01/1995 - 01/01/1998	LONG SECURITIES CORPORATION	CRD# 6718	GLENDALE, CA
B	09/17/1992 - 07/20/1995	DEAN WITTER REYNOLDS INC.	CRD# 7556	PURCHASE, 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
03/2003 - Present	LINSCO/PRIVATE LEDGER	REGISTERED REPRESENTATIVE	Y	BURBANK, 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.

- 9/23/2008 / ARM SLING / CREATED AN ARM SLING TO HELP PEOPLE WHO HAVE PARALYZED THEIR ARM TO GET ACTIVE IN SPORTS AGAIN. SLING WILL BE MADE, BILLED AND SHIPPED BY COMPANY THAT SPECIALIZES IN HIGH IMPACT SPORTS EQUIPEMENT - TIME SPENT 2%
- 10/14/2009 - NON-VARIABLE INSURANCE DBA, ALDRICH WEALTH MANAGEMENT GROUP, 5% OF TIME.
- 1/7/2021 - Aldrich Wealth Management Group - Investment Related - At Reported Business Location(s) - DBA for LPL Business (entity for LPL business) - Start Date: 11/11/2020 - 168 Hours Per Month/8 Hours During Securities Trading.



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
Regulatory Event	1
Customer Dispute	2

Regulatory Event

This disclosure event may include a final, formal proceeding initiated by a regulatory authority (e.g., a state securities agency, a federal regulator such as the Securities and Exchange Commission or the Commodities Futures Trading Commission, or a foreign financial regulatory body) for a violation of investment-related rules or regulations. This disclosure event may also include a revocation or suspension of an Investment Adviser Representative's authority to act as an attorney, accountant or federal contractor.

Disclosure 1 of 1

Reporting Source: Regulator

Regulatory Action Initiated By: CA

Sanction(s) Sought:

Other Sanction(s) Sought:

Date Initiated: 12/29/1997

Docket/Case Number: 913-1115

Employing firm when activity occurred which led to the regulatory action: LONG SECURITIES CORPORATION

Product Type:

Other Product Type(s):

Allegations: THE COMMISSIONER ALLEGES THAT LONG SECURITIES CORPORATION ("LONG") AND DANIEL B. ALDRICH SOLD UNQUALIFIED, NON-EXEMPT SECURITIES IN VIOLATION OF CALIFORNIA CORPORATIONS CODE ("CC") 4,6 SECTION 25130. IN ADDITION, LONG'S SUPERVISORY MANUAL WAS INADEQUATE AND IN VIOLATION OF CALIFORNIA CODE OF REGULATIONS ("CCR") SECTION 260.218.4. LONG ALSO FAILED TO FILE ANNUAL FINANCIAL REPORTS WITH THE DEPARTMENT, AS REQUIRED BY CCR SECTION 260.241.2.

Current Status: Final

Resolution: Order

Resolution Date: 12/29/1997



Sanctions Ordered: Suspension

Other Sanctions Ordered:

Sanction Details: LONG AGREED TO THE ENTRY OF AN ORDER OF SUSPENSION, PROHIBITING LONG FROM SOLICITING NEW CLIENTS FOR A PERIOD OF 3 DAYS. ALDRICH ALSO AGREED TO AN ENTRY OF ORDER OF SUSPENSION, SUSPENDING ALDRICH FROM THE INDUSTRY FOR A PERIOD OF FIVE (5) DAYS. LONG'S PRESIDENT, LAWRENCE S. JAY, WILL RETAKE AND PASS THE SERIES 24 EXAMINATION WITHIN 90 DAYS, AND ALDRICH WILL RETAKE AND PASS THE SERIES 63 EXAMINATION WITHIN 90 DAYS AS WELL. LONG ALSO AGREED TO PAY THE DEPARTMENT'S COSTS IN THE AMOUNT OF \$4223.07.

Regulator Statement CONTACT: PHYLLIS SMITH (213) 736-2288

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Reporting Source: Firm

Regulatory Action Initiated By: CALIFORNIA

Sanction(s) Sought:

Other Sanction(s) Sought:

Date Initiated: 12/29/1997

Docket/Case Number: 913-1115

Employing firm when activity occurred which led to the regulatory action: LONG SECURITIES CORPORATION

Product Type:

Other Product Type(s):

Allegations:

Current Status: Final

Resolution: Order

Resolution Date: 12/29/1997

Sanctions Ordered: Suspension

Other Sanctions Ordered:

Sanction Details:

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Reporting Source: Individual

Regulatory Action Initiated By: CALIFORNIA DEPARTMENT OF CORPORATIONS

Sanction(s) Sought: Suspension

Other Sanction(s) Sought:

Date Initiated: 12/29/1997

Docket/Case Number: 913-1115



Employing firm when activity occurred which led to the regulatory action:	LONG SECURITIES CORPORATION
Product Type:	Debt - Asset Backed
Other Product Type(s):	
Allegations:	SOLICITED THE SALE OF PACIFIC DIAGNOSTIC TECHNOLOGIES, INC. COMMON STOCK AND THAT THESE TRANSACTIONS CONSTITUTED THE SALE OF UNQUALIFIED NON-EXEMPT SECURITIES.
Current Status:	Final
Resolution:	Order
Resolution Date:	12/29/1997
Sanctions Ordered:	Suspension
Other Sanctions Ordered:	
Sanction Details:	SUSPENSION FOR A PERIOD OF 5 DAYS. 12/29/1997 - 1/2/1998 SUSPENDED FROM INDUSTRY RETAKE SERIES 63 WITHIN 90 DAYS. PASSED SERIES 63 12/22/1997
Broker Statement	SOLICITED THE SALE OF PACIFIC DIAGNOSTIC TECHNOLOGIES, INC. COMMON STOCK AND THAT THESE TRANSACTIONS CONSTITUTED THE SALE OF UNQUALIFIED NON-EXEMPT SECURITIES.



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 2

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint:

Allegations: REGARDING TRANSACTIONS INVOLVING SHARES OF PACIFIC DIAGNOSTIC TECHNOLOGIES, CUSTOMER ALLEGES THAT HE WAS SOLD UNQUALIFIED SECURITIES. DAMAGES CLAIMED ARE \$7,762.10.

Product Type:

Alleged Damages: \$7,762.10

Customer Complaint Information

Date Complaint Received: 01/22/1998

Complaint Pending? No

Status: Closed/No Action

Status Date:

Settlement Amount:

Individual Contribution Amount:

Broker Statement PENDING
Not Provided

Disclosure 2 of 2

Reporting Source: Firm

Employing firm when activities occurred which led to the complaint:

Allegations: HE IS ALLEGED TO HAVE MISREPRESENTED OR OMITTED MATERIAL FACTS INDUCING CLAIMANT TO PURCHASE 350,000 SHARES OF PACIFIC DIAGNOSTIC TECHNOLOGY, A SECURITY NOT QUALIFIED FOR SALE IN CALIFORNIA.

Product Type:

Alleged Damages: \$138,507.00

Customer Complaint Information

Date Complaint Received: 10/21/1997

Complaint Pending? No

Status: Arbitration/Reparation



Status Date: 01/08/1998

Settlement Amount:

Individual Contribution Amount:

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: 98-00120

Date Notice/Process Served: 01/09/1998

Arbitration Pending? Yes

Firm Statement PENDING
NOT PROVIDED

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: LONG SECURITIES CORPORATION

Allegations: REGARDING THE SALE OF SHARES OF PACIFIC DIAGNOSTIC TECHNOLOGIES, CUSTOMER ALLEGED MISREPRESENTATION AND OMISSION OF MATERIAL FACTS, NEGLIGENCE, FRAUD AND THE SALE OF UNQUALIFIED SECURITIES. THE DAMAGES CLAIMED WERE APPROXIMATELY \$138,507.

Product Type: Penny Stock(s)

Alleged Damages: \$138,507.00

Customer Complaint Information

Date Complaint Received: 10/21/1997

Complaint Pending? No

Status: Arbitration/Reparation

Status Date: 01/08/1998

Settlement Amount:

Individual Contribution Amount:

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: 98-00120

Date Notice/Process Served: 01/09/1998

Arbitration Pending? No

Disposition: Settled

Disposition Date: 11/21/2000



Monetary Compensation Amount:	\$57,000.00
Individual Contribution Amount:	\$0.00
Broker Statement	SETTLED PRIOR TO ARBITRATION



End of Report

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