IAPD Report

WILLIAM GLUBIAK

CRD# 2552443

Section Title	**Page(s)**

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

WILLIAM GLUBIAK (CRD# 2552443)

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 **03/16/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	SIGNATURE ESTATE SECURITIES, LLC	CRD# 18923	06/26/2024
IA	SEIA	CRD# 108163	06/26/2024

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **14** 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	CEDAR BROOK GROUP	290670	CLEVELAND, OH	03/01/2018 - 07/01/2024
IA	CADARET GRANT & CO INC	10641	Cleveland, OH	04/07/2021 - 06/17/2024
B	CADARET, GRANT & CO., INC.	10641	Cleveland, OH	04/07/2021 - 06/17/2024

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

Employment 1 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
IA	New Hampshire	Investment Adviser Representative	Approved	03/20/2026
IA	Ohio	Investment Adviser Representative	Approved	06/27/2024
IA	Texas	Investment Adviser Representative	Restricted Approval	06/26/2024

Branch Office Locations

SEIA
5885 Landerbrook Dr., Suite 200
Cleveland, OH 44124

Employment 2 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
B	FINRA	General Securities Representative	Approved	06/26/2024
B	FINRA	Invest. Co and Variable Contracts	Approved	06/26/2024
B	Colorado	Agent	Approved	06/26/2024

Qualifications

	Regulator	Registration	Status	Date
B	Connecticut	Agent	Approved	06/26/2024
B	Delaware	Agent	Approved	07/03/2024
B	Florida	Agent	Approved	06/26/2024
B	Georgia	Agent	Approved	06/27/2024
B	Maine	Agent	Approved	06/28/2024
B	Michigan	Agent	Approved	06/26/2024
B	New Hampshire	Agent	Approved	06/26/2024
B	New York	Agent	Approved	06/26/2024
B	Ohio	Agent	Approved	06/26/2024
B	Texas	Agent	Approved	06/26/2024
B	Utah	Agent	Approved	06/26/2024
B	Vermont	Agent	Approved	06/26/2024
B	Virginia	Agent	Approved	06/26/2024

Branch Office Locations

5885 Landerbrook Dr., Suite 200
Cleveland, OH 44124

5885 Landerbrook Dr., Suite 200
Cleveland, OH 44124

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, 4 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)	SIE	10/01/2018
B	Futures Managed Funds Examination (S31)	Series 31	01/27/2006
B	General Securities Representative Examination (S7)	Series 7	11/03/2003
B	Investment Company Products/Variable Contracts Representative Examination (S6)	Series 6	11/21/1994

State Securities Law Exams

	Exam	Category	Date
B	Uniform Securities Agent State Law Examination (S63)	Series 63	01/11/1995

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	03/01/2018 - 07/01/2024	CEDAR BROOK GROUP	CRD# 290670	CLEVELAND, OH
IA	04/07/2021 - 06/17/2024	CADARET GRANT & CO INC	CRD# 10641	Cleveland, OH
B	04/07/2021 - 06/17/2024	CADARET, GRANT & CO., INC.	CRD# 10641	Cleveland, OH
IA	07/26/2005 - 04/15/2021	SECURITIES AMERICA ADVISORS, INC.	CRD# 110518	MAYFIELD HEIGHTS, OI
B	07/15/2005 - 04/15/2021	SECURITIES AMERICA, INC.	CRD# 10205	MAYFIELD HEIGHTS, OI
IA	01/01/2000 - 07/20/2005	LINCOLN FINANCIAL ADVISORS CORPORATION	CRD# 3978	CLEVELAND, OH
B	11/22/1994 - 07/20/2005	LINCOLN FINANCIAL ADVISORS CORPORATION	CRD# 3978	FORT WAYNE, IN
B	11/22/1994 - 07/20/2005	THE LINCOLN NATIONAL LIFE INSURANCE COMPANY	CRD# 2580	FORT WAYNE, IN

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
06/2024 - Present	SEIA LLC	Director	Y	Cleveland, OH, United States
06/2024 - Present	SES LLC	Director	Y	Cleveland, OH, United States
04/2021 - 06/2024	Cadaret Grant & Co., Inc.	RR/IAR	Y	Cleveland, OH, United States
02/2018 - 06/2024	CEDAR BROOK FINANCIAL PARTNERS, LLC/DBA Cedar Brook Group	CHIEF EXECUTIVE OFFICER/CHIEF COMPLIANCE OFFICER	Y	CLEVELAND, OH, United States
07/2005 - 04/2021	SECURITES AMERICA ADVISORS INC.	INVESTMENT ADVISER REPRESENTATIVE	Y	MAYFIELD HEIGHTS, OH, United States
06/2005 - 04/2021	SECURITIES AMERICA	REGISTERED REPRESENTATIVE	Y	MAYFEILD HEIGHTS, OH, United States

Registration & Employment History

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.

INSURANCE LICENSE - PRODUCER
POSITION: Insurance License Holder NATURE: Insurance sales & service. INVESTMENT RELATED: Yes NUMBER OF HOURS: 5 SECURITIES TRADING HOURS: 2 START DATE: 06/14/2024
ADDRESS: 5885 Landerbrook Dr., Suite 200, Cleveland OH 44124, United States
DESCRIPTION: Insurance sales and service consistent with financial planning.

SEIA LLC
POSITION: Partner NATURE: LLC INVESTMENT RELATED: Yes NUMBER OF HOURS: 160 SECURITIES TRADING HOURS: 120 START DATE: 06/14/2024
ADDRESS: 5885 Landerbrook Dr., Suite 200, Cleveland OH 44124, 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:	Individual
Employing firm when activities occurred which led to the complaint:	SECURITIES AMERICA, INC.
Allegations:	ALLEGED MISREPRESENTATION FROM 2006 TO 2015.
Product Type:	Real Estate Security
Alleged Damages:	$1,000,000.00
Is this an oral complaint?	No
Is this a written complaint?	Yes
Is this an arbitration/CFTC reparation or civil litigation?	Yes
Arbitration/Reparation forum or court name and location:	FINRA
Docket/Case #:	15-01209
Filing date of arbitration/CFTC reparation or civil litigation:	05/27/2015

Customer Complaint Information

Date Complaint Received:	06/08/2015
Complaint Pending?	No
Status:	Settled

Status Date:	09/14/2016
Settlement Amount:	$325,000.00
Individual Contribution Amount:	$0.00
Broker Statement	ADVISOR DISAGREES WITH VIRTUALLY ALL ELEMENTS OF THIS CLAIM. CLIENTS "EXTRAORDINARY GOOD FORTUNE TO MAKE A SUBSTANTIAL AMOUNT OF MONEY" WAS AS A DIRECT RESULT OF THE HARD WORK, GOOD COUNSEL AND GUIDANCE ON THE PART OF THE ADVISOR, AS STATED IN THE CLAIM. AS ALSO STATED, THE CLIENT "SUFFERED SEVERE [REDACTED]" WHICH CARRIES ON TO THIS DAY. THE CLIENT ADMITS TO BEING "GRATEFUL TO GLUBIAK", YET HIS MENTAL STATE HAS CLOUDED HIS JUDGMENT FOR MANY YEARS BY HIS OWN ADMISSION TO THE ADVISOR ON MANY OCCASIONS. ALL ELEMENTS OF THISA CLAIM ARE INCORRECT AND ARE DISPUTED.

Disclosure 2 of 3

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	SECURITIES AMERICA, INC.
Allegations:	CLAIMANTS ALLEGE THAT THE REPRESENTATIVE RECOMMENDED AND SOLD THEM INVESTMENTS IN UNSUITABLY RISKY REITS, RESULTING IN AN OVERCONCENTRATION OF THE PRODUCTS IN THEIR PORTFOLIO. ADDITIONAL ALLEGATIONS ARE MISREPRESENTATION, BREACH OF FIDUCIARY DUTY, NEGLIGENCE, FRAUD, VIOLATIONS OF THE OHIO SECURITIES ACT AND VIOLATION OF FINRA RULES.
Product Type:	Real Estate Security
Alleged Damages:	$267,500.00
Is this an oral complaint?	No
Is this a written complaint?	Yes
Is this an arbitration/CFTC reparation or civil litigation?	Yes
Arbitration/Reparation forum or court name and location:	FINRA
Docket/Case #:	13-03773
Filing date of arbitration/CFTC reparation or civil litigation:	12/31/2013

Customer Complaint Information

Date Complaint Received:	01/13/2014
Complaint Pending?	No
Status:	Settled
Status Date:	02/24/2015
Settlement Amount:	$113,000.00

Individual Contribution Amount:	$0.00
Broker Statement	REP DENIES ALL ALLEGATIONS AGAINST THE FIRM AND AGAINST THE BROKER DEALER. THE ALLEGATIONS ARE COMPLETELY WITHOUT MERIT AND FALSE IN THEIR ENTIRETY.

Disclosure 3 of 3

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	SECURITIES AMERICA, INC.
Allegations:	CLAIMANT ALLEGES THAT BETWEEN DECEMBER 2007 AND JANUARY 2008, THE REPRESENTATIVE RECOMMENDED AND SOLD HIM AN ALTERNATIVE INVESTMENT THAT WAS UNSUITABLE. ADDITIONAL ALLEGATIONS ARE MISREPRESENTATION, BREACH OF FIDUCIARY DUTY, FRAUD VIOLATIONS OF SEC RULE 10B-5, AND NEGLIGENCE.
Product Type:	Direct Investment-DPP & LP Interests
Alleged Damages:	$250,000.00

Arbitration Information

Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.):	FINRA
Docket/Case #:	13-00683
Date Notice/Process Served:	03/27/2013
Arbitration Pending?	No
Disposition:	Settled
Disposition Date:	05/28/2014
Monetary Compensation Amount:	$120,000.00
Individual Contribution Amount:	$0.00
Broker Statement	THIS CLAIM WAS SETTLED BY SECURITIES AMERICA, INC. MR. GLUBIAK WAS NOT ASKED TO, NOR DID HE, CONTRIBUTE TO THIS SETTLEMENT.

End of Report

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