IAPD Report

DANIEL J SEAL II

CRD# 2776132

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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 J SEAL II (CRD# 2776132)

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 **03/12/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	PFS INVESTMENTS INC.	CRD# 10111	04/11/2017
IA	PRIMERICA ADVISORS	CRD# 10111	02/15/2022

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **20** 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
B	PFS INVESTMENTS INC.	10111	DULUTH, GA	09/18/1996 - 12/31/2000

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	4
Criminal	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 **20** jurisdiction(s) and 1 SRO(s) through his or her employer(s).

Employment 1 of 1

Firm Name: **PRIMERICA ADVISORS**

Main Address: 1 PRIMERICA PARKWAY
DULUTH, GA 30099-0001

Firm ID#: 10111

	Regulator	Registration	Status	Date
B	FINRA	Invest. Co and Variable Contracts	Approved	04/11/2017
B	FINRA	Investment Co./Variable Contracts Prin	Approved	02/03/2020
B	California	Agent	Approved	02/23/2024
B	Connecticut	Agent	Approved	09/06/2023
B	Delaware	Agent	Approved	04/25/2017
B	Florida	Agent	Approved	01/25/2024
B	Georgia	Agent	Approved	03/11/2024
B	Idaho	Agent	Approved	09/05/2023
B	Maryland	Agent	Approved	02/18/2020
B	Minnesota	Agent	Approved	08/15/2023
B	Montana	Agent	Approved	09/06/2023
B	New Jersey	Agent	Approved	09/28/2017
B	New York	Agent	Approved	08/20/2024

Qualifications

	Regulator	Registration	Status	Date
B	North Carolina	Agent	Approved	06/09/2020
B	North Dakota	Agent	Approved	02/06/2024
B	Ohio	Agent	Approved	10/17/2023
B	Oregon	Agent	Approved	04/07/2026
B	Pennsylvania	Agent	Approved	04/20/2017
IA	Pennsylvania	Investment Adviser Representative	Approved	02/15/2022
B	Rhode Island	Agent	Approved	07/30/2024
B	South Carolina	Agent	Approved	02/22/2024
B	Texas	Agent	Approved	08/23/2023
B	Washington	Agent	Approved	12/13/2023

Branch Office Locations

PRIMERICA ADVISORS
842 DURHAM RD
SUITE 300
WRIGHTSTOWN, PA 18940

PRIMERICA ADVISORS
STRASBURG, PA

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, 2 general industry/product exams, and 2 state securities law exams.

Principal/Supervisory Exams

	Exam	Category	Date
B	Investment Company Products/Variable Contracts Principal Examination (S26)	Series 26	01/31/2020

General Industry/Product Exams

	Exam	Category	Date
B	Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
B	Investment Company Products/Variable Contracts Representative Examination (S6)	Series 6	04/10/2017

State Securities Law Exams

	Exam	Category	Date
IA	Uniform Investment Adviser Law Examination (S65)	Series 65	12/10/2021
B	Uniform Securities Agent State Law Examination (S63)	Series 63	04/12/2017

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
B	09/18/1996 - 12/31/2000	PFS INVESTMENTS INC.	CRD# 10111	DULUTH, GA

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
04/2017 - Present	PFS INVESTMSENTS INC.	SALES	Y	WRIGHTSTOWN, PA, United States
04/1996 - Present	PRIMERICA FINANCIAL SERVICES	OTHER - SALESMAN	Y	WRIGHTSTOWN, PA, United States
04/2007 - 07/2021	SELF EMPLOYED	PARA LEGAL	N	WALLINGFORD, PA, 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.

Sales of investment-related products; part-time or full-time, for companies affiliated with PFS Investments Inc. I may also receive non-investment related compensation from Primerica Mortgage, LLC for the sale of loan products and/or Primerica Client Services, Inc. (a co-located affiliate of PFS Investments Inc.) for part-time referrals of home security and automation products, as well as other home related services.

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	4
Criminal	1

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 4

Reporting Source:	Individual
Regulatory Action Initiated By:	New York Department of Financial Services
Sanction(s) Sought:	Revocation
Date Initiated:	02/20/2026
Docket/Case Number:	2025-0453-S
Employing firm when activity occurred which led to the regulatory action:	PFS Investments Inc
Product Type:	No Product
Allegations:	Allegation individual provided inaccurate information on his state insurance application
Current Status:	Final
Resolution:	Stipulation and Consent
Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct?	No
Resolution Date:	02/20/2026
Sanctions Ordered:	Revocation

Disclosure 2 of 4

Reporting Source:	Individual
Regulatory Action Initiated By:	INSURANCE COMMISSIONER OF THE COMMONWEALTH OF PENNSYLVANIA
Sanction(s) Sought:	Other: N/A
Date Initiated:	12/09/2016
Docket/Case Number:	CW16-11-008
Employing firm when activity occurred which led to the regulatory action:	PRIMERICA LIFE INSURACE COMPANY
Product Type:	Insurance
Allegations:	Pursuant to 18 U.S.C 1033 (e)(2), rep was required to sign and agree to the consent order issued by the state due to two felony convictions involving dishonesty or a breach of trust.
Current Status:	Final
Resolution:	Order
Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct?	No
Resolution Date:	12/09/2016
Sanctions Ordered:	Cease and Desist Other: N/A

Disclosure 3 of 4

Reporting Source:	Individual
Regulatory Action Initiated By:	FLORIDA FINANCIAL SERVICES DEPARTMENT
Sanction(s) Sought:	Other: DENIAL
Date Initiated:	04/21/2022
Docket/Case Number:	97 7199 9991 7039 5706 1598
Employing firm when activity occurred which led to the regulatory action:	PRIMERICA LIFE INSURANCE COMPANY
Product Type:	Insurance
Allegations:	REPRESENTATIVE WAS DENIED A LICENSE TO PRACTICE LIFE INSURANCE BASED ON THE REPRESENTATIVE'S CRIMINAL HISTORY AND FAILURE TO DISCLOSE HAVING BEEN NAMED IN AN ADMINISTRATIVE PROCEEDING.
Current Status:	Final

Resolution:	Order
Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct?	No
Resolution Date:	04/21/2022
Sanctions Ordered:	Denial

Disclosure 4 of 4

Reporting Source:	Individual
Regulatory Action Initiated By:	DISCIPLINARY BOARD OF THE SUPREME COURT OF PA
Sanction(s) Sought:	Suspension
Date Initiated:	04/08/2004
Docket/Case Number:	101 DB 20004
Employing firm when activity occurred which led to the regulatory action:	SCHUSTER AND ASSOCIATES
Product Type:	Other: BAR ASSOCIATION
Allegations:	UPON CONVICTION OF 1 COUNT OF CONSPIRACY TO TAMPER WITH A WITNESS AND 2 COUNTS OF WITNESS TAMPERING AND AIDING AND ABETTING THE DISCOPLINARY BOARD OF THE SUPREME COURT SUSPENDED LICENSE FOR 5 YEARS.
Current Status:	Final
Resolution:	Order
Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct?	No
Resolution Date:	07/08/2010
Sanctions Ordered:	Monetary Penalty other than Fines Suspension

Sanction 1 of 1

Sanction Type:	Suspension
Capacities Affected:	ALL CAPACITIES
Duration:	5 YEARS
Start Date:	04/09/2010
End Date:	04/09/2015

Monetary Sanction 1 of 1

Monetary Related Sanction:	Monetary Penalty other than Fines
Total Amount:	$500.00
Portion Levied against individual:	$500.00
Payment Plan:	
Is Payment Plan Current:	
Date Paid by individual:	
Was any portion of penalty waived?	No
Amount Waived:	
Broker Statement	LAW LICENSE

Criminal

This disclosure event involves a criminal charge against the Investment Adviser Representative that has resulted in a dismissal, plea, acquittal or conviction. The criminal matter may relate to any felony or certain misdemeanor offenses (e.g., bribery, perjury, forgery, counterfeiting, extortion, fraud, wrongful taking of property).

Disclosure 1 of 1

Reporting Source:	Individual
Formal Charges were brought in:	Federal Court
Name of Court:	UNITED STATES DISTRICT COURT
Location of Court:	PHILADELPHIA, PA
Docket/Case #:	2:03-CR-00172-AB-1
Charge Date:	03/13/2003
Charge(s) 1 of 2	
Formal Charge(s)/Description:	CONSPIRACY TO TAMPER WITH A WITNESS
No of Counts:	1
Felony or Misdemeanor:	Felony
Plea for each charge:	NOT GUILTY
Disposition of charge:	Convicted
Charge(s) 2 of 2	
Formal Charge(s)/Description:	WITNESS TAMPERING; AIDING AND ABETTING
No of Counts:	3
Felony or Misdemeanor:	Felony
Plea for each charge:	NOT GUILTY
Disposition of charge:	Convicted
Current Status:	Final
Status Date:	04/25/2006
Disposition Date:	01/05/2004
Sentence/Penalty:	ORIGINALLY SENTENCED TO 21 MONTHS IMPRISONMENT, 2 YEARS SUPERVISED RELEASE, $300 SPECIAL ASSESSMENT $10,000.00 FINE.
Broker Statement	AFTER APPEAL PROCESS ON 4/25/2006 SENTENCED TO 1 YEAR AND 1 DAY INCARCERATION, 2 YEARS SUPERVISED RELEASED, $500 FINE AND $300 SPECIAL ASSESSMENT.

End of Report

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