



IAPD Report

DANIEL ROBERT CATONE

CRD# 4469467

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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 ROBERT CATONE (CRD# 4469467)

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 **12/22/2025**.

CURRENT EMPLOYERS

| | Firm | CRD# | Registered Since |
|----|-------------------------------------|-------------|------------------|
| IA | GOLDEN STATE WEALTH MANAGEMENT, LLC | CRD# 167995 | 08/07/2013 |
| IA | REDWOOD INVESTMENT GROUP, INC | CRD# 168017 | 09/26/2013 |
| IA | ASCENTIS ASSET MANAGEMENT, LLC | CRD# 318126 | 03/25/2022 |
| IA | ASCENTIS INDEPENDENT ADVISORS, LLC | CRD# 322879 | 09/15/2022 |
| IA | ARIMATHEA | CRD# 330140 | 04/08/2024 |

QUALIFICATIONS

This representative is currently registered in **0** SRO(s) and **3** 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 | LPL FINANCIAL LLC | 6413 | FORT BRAGG, CA | 02/27/2012 - 12/23/2024 |
| IA | GOLDEN STATE ASSET MANAGEMENT | 299649 | SANTA ANA, CA | 07/10/2020 - 03/14/2022 |
| IA | LPL FINANCIAL LLC | 6413 | FORT BRAGG, CA | 07/26/2016 - 12/23/2016 |

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



Report Summary

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 **3** jurisdiction(s) and **0** SRO(s) through his or her employer(s).

Employment 1 of 5

Firm Name: **ARIMATHEA**
Main Address: 319 N MAIN ST
FORT BRAGG, CA 95437
Firm ID#: 330140

| | Regulator | Registration | Status | Date |
|----|------------|-----------------------------------|---------------------|------------|
| IA | California | Investment Adviser Representative | Approved | 04/08/2024 |
| IA | Texas | Investment Adviser Representative | Restricted Approval | 07/11/2025 |
| IA | Wyoming | Investment Adviser Representative | Approved | 04/08/2024 |

Branch Office Locations

ARIMATHEA
254 East 2nd Street
Powell, WY 82435

Employment 2 of 5

Firm Name: **REDWOOD INVESTMENT GROUP, INC**
Main Address: 319 N MAIN STREET
FORT BRAGG, CA 95437
Firm ID#: 168017

| | Regulator | Registration | Status | Date |
|----|------------|-----------------------------------|----------|------------|
| IA | California | Investment Adviser Representative | Approved | 09/26/2013 |
| IA | Texas | Investment Adviser Representative | Approved | 02/26/2024 |
| IA | Wyoming | Investment Adviser Representative | Approved | 02/05/2024 |

Branch Office Locations



Qualifications

REDWOOD INVESTMENT GROUP, INC

319 N MAIN STREET
FORT BRAGG, CA 95437

REDWOOD INVESTMENT GROUP, INC

254 E. 2nd Street
Powell, WY 82435

Employment 3 of 5

Firm Name: **ASCENTIS INDEPENDENT ADVISORS, LLC**

Main Address: 5001 SPRING VALLEY ROAD
SUITE 810W
DALLAS, TX 75244

Firm ID#: 322879

| | Regulator | Registration | Status | Date |
|----|------------|-----------------------------------|----------|------------|
| IA | California | Investment Adviser Representative | Approved | 09/15/2022 |
| IA | Wyoming | Investment Adviser Representative | Approved | 09/29/2022 |

Branch Office Locations

ASCENTIS INDEPENDENT ADVISORS, LLC

5001 SPRING VALLEY ROAD
SUITE 810W
DALLAS, TX 75244

Employment 4 of 5

Firm Name: **ASCENTIS ASSET MANAGEMENT, LLC**

Main Address: 5001 SPRING VALLEY RD
SUITE 810W
DALLAS, TX 75244

Firm ID#: 318126

| | Regulator | Registration | Status | Date |
|----|------------|-----------------------------------|----------|------------|
| IA | California | Investment Adviser Representative | Approved | 03/25/2022 |

Branch Office Locations

ASCENTIS ASSET MANAGEMENT, LLC

319 NORTH MAIN STREET
FORT BRAGG, CA 95437

Employment 5 of 5

Firm Name: **GOLDEN STATE WEALTH MANAGEMENT, LLC**

Main Address: 254 E 2ND STREET
SUITE 2



Qualifications

Firm ID#: POWELL, WY 82435
167995

| | Regulator | Registration | Status | Date |
|----|------------|-----------------------------------|---------------------|------------|
| IA | California | Investment Adviser Representative | Approved | 08/07/2013 |
| IA | Texas | Investment Adviser Representative | Restricted Approval | 12/06/2021 |

Branch Office Locations

GOLDEN STATE WEALTH MANAGEMENT, LLC
254 E 2ND STREET
SUITE 2
POWELL, WY 82435





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




Principal/Supervisory Exams

| | Exam | Category | Date |
|---|--|-----------|------------|
|  | General Securities Sales Supervisor - Options Module Examination (S9) | Series 9 | 08/03/2011 |
|  | General Securities Sales Supervisor - General Module Examination (S10) | Series 10 | 05/19/2011 |

General Industry/Product Exams

| | Exam | Category | Date |
|---|--|----------|------------|
|  | Securities Industry Essentials Examination (SIE) | SIE | 10/01/2018 |
|  | General Securities Representative Examination (S7) | Series 7 | 12/26/2001 |

State Securities Law Exams

| | Exam | Category | Date |
|--|--|-----------|------------|
|   | Uniform Combined State Law Examination (S66) | Series 66 | 03/17/2006 |
|  | Uniform Securities Agent State Law Examination (S63) | Series 63 | 12/30/2001 |

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 |
|----|-------------------------|--|-------------|-----------------|
| B | 02/27/2012 - 12/23/2024 | LPL FINANCIAL LLC | CRD# 6413 | FORT BRAGG, CA |
| IA | 07/10/2020 - 03/14/2022 | GOLDEN STATE ASSET MANAGEMENT | CRD# 299649 | SANTA ANA, CA |
| IA | 07/26/2016 - 12/23/2016 | LPL FINANCIAL LLC | CRD# 6413 | FORT BRAGG, CA |
| IA | 02/28/2012 - 10/29/2015 | LPL FINANCIAL LLC | CRD# 6413 | FORT BRAGG, CA |
| IA | 06/17/2009 - 02/29/2012 | RAYMOND JAMES FINANCIAL SERVICES ADVISORS, INC | CRD# 149018 | FORT BRAGG, CA |
| B | 06/01/2009 - 02/29/2012 | RAYMOND JAMES FINANCIAL SERVICES, INC. | CRD# 6694 | FORT BRAGG, CA |
| IA | 03/20/2006 - 06/02/2009 | WELLS FARGO ADVISORS FINANCIAL NETWORK, LLC | CRD# 11025 | FORT BRAGG, CA |
| B | 06/13/2005 - 06/02/2009 | WELLS FARGO ADVISORS FINANCIAL NETWORK, LLC | CRD# 11025 | FORT BRAGG, CA |
| B | 01/01/2002 - 06/14/2005 | EDWARD JONES | CRD# 250 | ST. LOUIS, MO |

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 |
|-------------------|-------------------------------------|--|--------------------|--------------------------------------|
| 03/2019 - Present | GOLDEN STATE ASSET MANAGEMENT | Managing Member and IAR | Y | SANTA ANA, CA, United States |
| 05/2013 - Present | GOLDEN STATE WEALTH MANAGEMENT, LLC | MANAGING MEMBER / Investment Adviser Representative | Y | SOUTH COAST METRO, CA, United States |
| 02/2012 - Present | LPL FINANCIAL, LLC | REGISTERED REPRESENTATIVE | Y | FORT BRAGG, CA, United States |
| 06/2005 - Present | REDWOOD INVESTMENT GROUP, INC | PRESIDENT, CHIEF COMPLIANCE OFFICER & INVESTMENT ADVISOR | Y | FORT BRAGG, 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.

- 1.2/27/12:REDWOOD INVESTMENT GROUP, INC.-InvRel-AtRepBusLoc-DBAforLPLbus.
- 2.1/30/14:GOLDEN STATE WEALTH MANAGEMENT, LLC-InvRel-AtRepBusLoc-RIA-IAR-Time25%-I
ProvideInvestmentAdvisoryServicesThrough Golden State Wealth Management, anIndependentInvestmentAdvisorFirm. I
StartedThisBusinessActivityIn June2013. I ExpectToSpendAbout 40hrs/monthOnThisActivity. PleaseSeeTheFormADV..
- 3.12/1/14:REDWOOD INVESTMENT GROUP, INC.-InvRel-AtRepBusLoc-RIA-IAR-Start5/1/14-80Hrs/Mo;6HrsDurTrad-I
ProvideI.A.ServicesThrough Redwood Investment Group, Inc, anIndependentI.A.Firm. I StartedThisBusinessActivityIn Sept 2014.
I ExpectToSpendAbout 80hrs/mthOnThisActivity. PleaseSeeTheFormADV..
- 4.6/21/15:POINTWEALTH CAPITAL MANAGEMENT-InvRel-AtRepBusLoc-DBAforLPLbus-ST6/19/15-5Hrs/MoDurTrad
- 5.3/2/16:Golden State Wealth Management-InvRel-AtRepBusLoc-DBAforLPLbus-ST7/1/13-200Hrs/Mo;4HrsDurTrad
- 6.1/23/17:Golden State Wealth Management, LLC-DBA:Golden State Asset Management-InvRel-AtRepBusLoc-RIA/DBA-
Start1/12/17-I ProvideI.A.ServicesThrough Golden State Wealth Management,LLC, anIndependentI.A.Firm. I
StartedThisBusinessActivityIn July 2013. I ExpectToSpendAbout 15hrs/mthOnThisActivity.
PleaseSeeTheAdvisoryFirm'sFormADV.
- 7.10/9/18:Redwood Investment Group, Inc.-DBA:Redwood Investments-InvRel-AtRepBusLoc-RIA/DBA-IAR--St10/2/18-I
ProvideI.A.ServicesThrough Redwood Investment Group Inc., anIndependentI.A.Firm. IStartedThisBusinessActivityIn June2013. I
ExpectToSpendAbout 40hrs/mthOnThisActivity. PleaseSee.
- 8.10/16/18:Redwood Investments-InvRel-AtRepBusLoc-DBAforLPLbus-Start10/2/18-40Hrs/MoDurTrad
- 9.11/1/18:Golden State Wealth Management, LLC-DBA:Golden State (Hybrid)-InvRel-AtRepBusLoc-RIA/DBA-IAR-St10/30/18-I
ProvideI.A.ServicesThrough Golden State Wealth Management, anIndependentI.A.Firm. I StartedThisBusinessActivityIn July
2013. I ExpectToSpendAbout 40hrs/mthOnThisActivity. PleaseSee.
- 10.1/8/19:Golden State Asset Management, LLC-InvRel-AtRepBusLoc-RIA/Hybrid-IAR-I ProvideI.A.ServicesThrough Golden
State Asset Management, anIndependentI.A.Firm. I StartedThisBusinessActivityIn Jan2019. I ExpectToSpendAbout
40hrs/mthOnThisActivity. PleaseSee.
- 11.2/6/19:Golden State Equity Partners-InvRel-AtRepBusLoc-RIA--St1/1/19-40Hrs/Mo;1HrDurTrad-I ProvideI.A.ServicesThrough
Golden State Equity Partners, anIndependentI.A.Firm. I StartedThisBusinessActivityIn Dec 2018. I ExpectToSpendAbout
40hrs/mthOnThisActivity. PleaseSee.
- 12.3/7/19:Golden State Wealth Management-DBA:Golden State-InvRel-AtRepBusLoc-DBAforLPLbus-St10/30/18-
40Hrs/MoDurTrad
- 13.11/22/19: Golden State Insurance Services, LLC-InvRel-AtRepBusLoc-Ins.Agency-Co-Founder-St10/10/19--
2Hrs/Mo;1HrDurTrading
- 14.10/13/20:DBA:Stella Nova-InvRel-AtRepBusLoc-RIA/DBA-ManagingMember&IAR-120Hrs/Mo;8HrsDurTrad-I
providel.A.ServicesThrough Golden State Asset Management, anIndependentI.A.Firm. I StartedThisBusinessActivity in 10/2020. I
ExpectToSpendAbout 120Hrs/MthOnThisActivity. PleaseSee.
- 15.5/26/21-Golden State Mortgage Services-InvestRel-Laguna Niguel CA-Mortgage/Real Estate Services-St6/1/21-10
HrsPerMth/1 HrDurTrad
- 16.11/10/21-ACD Logistics, LLC-NotInvestRel-SacramentoCA-Business Owner-St11/5/2021-5 HrsMth/0 HrsDurSecTr
- 17.1/7/22-Venture Company Mining, LLC-InvRel-Powell,WY-BusOwn-ST11/10/21-1HrMth
- 18.1/18/22-Golden State Asset Management, LLC-WY-NotInvRel- AtRepBusLoc- BusEntityForTax/InvPurposeOnly-
ST12/21/2021-10HrsMthDurTr
- 19.9/25/23-Built Financial, LLC-NotInvRel-AtBusLocs-St 8/28/23-5hrs/mth drng trade
- 20.2/20/24-Redwood Investment Group, Inc DBA Arimathea Corp-InvRel-AtRepBusLoc-RIA DBA-IAR-St3/1/24-5Hr/MoDurTrad
- 21.4/1/24-Arimathea-RIAHybrid-IAR-INVREL-AtREPBus-Start1/23/24-10hrsmth/2hrsdutrad-I provide investment advisory
services through Arimathea, an independent investment advisor firm. I started this business activity in 4/2024. I expect to spend
approximately 10 hours per month on this activity. Please see the advisory firm's Form ADV.
22. 10/1 - LeadBaller, NotInvRel-AtBusLocs-St 10/1/2024 2hrs/mth drng trade



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: | Firm |
| Employing firm when activities occurred which led to the complaint: | WELLS FARGO ADVISORS FINANCIAL NETWORK, LLC |
| Allegations: | Plaintiff alleges that from 2006 through 2008, the financial advisor made unsuitable recommendations. |
| Product Type: | Other: Miscellaneous |
| Alleged Damages: | \$0.00 |
| Alleged Damages Amount Explanation (if amount not exact): | Amount exceeds \$5,000.00 |

Civil Litigation Information

| | |
|------------------------------------|--|
| Type of Court: | State Court |
| Name of Court: | Superior Court in the State of California In and For the County of Ventura |
| Location of Court: | Ventura County, California |
| Docket/Case #: | 2024CUNP022434 |
| Date Notice/Process Served: | 03/29/2024 |
| Litigation Pending? | No |
| Disposition: | Settled |
| Disposition Date: | 11/14/2025 |



Monetary Compensation Amount: \$60,000.00

Individual Contribution Amount: \$0.00

Firm Statement This matter was settled by the firm for business reasons. The associated person made no monetary contribution to the settlement. The claimant was not a client of the associated person, and the associated person made no investment recommendations to the claimant. The settlement was reached without any admission of wrongdoing.

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Reporting Source: Firm

Employing firm when activities occurred which led to the complaint: WELLS FARGO ADVISORS FINANCIAL NETWORK, LLC

Allegations: Plaintiff alleges that from 2006 through 2008, the financial advisor made unsuitable recommendations

Product Type: Other: Miscellaneous

Alleged Damages: \$0.00

Alleged Damages Amount Explanation (if amount not exact): Plaintiff is seeking an unspecified amount in compensatory damages.

Civil Litigation Information

Type of Court: State Court

Name of Court: Superior Court in the State of California In and For the County of Ventura

Location of Court: Ventura County, California

Docket/Case #: 2024CUNP022434

Date Notice/Process Served: 03/29/2024

Litigation Pending? Yes

.....

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: WELLS FARGO ADVISORS FINANCIAL NETWORK, LLC

Allegations: Plaintiff alleges that from 2006 through 2008, the financial advisor made unsuitable recommendations.

Product Type: Other: Miscellaneous

Alleged Damages: \$0.00

Alleged Damages Amount Explanation (if amount not exact): Plaintiff is seeking an unspecified amount in compensatory damages.

Civil Litigation Information

Type of Court: State Court



| | |
|------------------------------------|--|
| Name of Court: | Superior Court in the State of California In and For the County of Ventura |
| Location of Court: | Ventura County, California |
| Docket/Case #: | 2024CUNP022434 |
| Date Notice/Process Served: | 03/29/2024 |
| Litigation Pending? | Yes |
| Broker Statement | This complainant is not and has never been a client of mine. |



End of Report

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