



## IAPD Report

### DANIEL ROBERT CATONE

CRD# 4469467

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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

POWELL, WY 82435  
Firm ID#: 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. I StartedThisBusinessActivityIn 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  
provideI.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-Start1/23/24-10hrsmt/2hrsdurtrad-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**

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

### Civil Litigation Information

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



<b>Monetary Compensation Amount:</b>	\$60,000.00
<b>Individual Contribution Amount:</b>	\$0.00
<b>Firm Statement</b>	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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<b>Reporting Source:</b>	Firm
<b>Employing firm when activities occurred which led to the complaint:</b>	WELLS FARGO ADVISORS FINANCIAL NETWORK, LLC
<b>Allegations:</b>	Plaintiff alleges that from 2006 through 2008, the financial advisor made unsuitable recommendations
<b>Product Type:</b>	Other: Miscellaneous
<b>Alleged Damages:</b>	\$0.00
<b>Alleged Damages Amount Explanation (if amount not exact):</b>	Plaintiff is seeking an unspecified amount in compensatory damages.

### Civil Litigation Information

<b>Type of Court:</b>	State Court
<b>Name of Court:</b>	Superior Court in the State of California In and For the County of Ventura
<b>Location of Court:</b>	Ventura County, California
<b>Docket/Case #:</b>	2024CUNP022434
<b>Date Notice/Process Served:</b>	03/29/2024
<b>Litigation Pending?</b>	Yes

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<b>Reporting Source:</b>	Individual
<b>Employing firm when activities occurred which led to the complaint:</b>	WELLS FARGO ADVISORS FINANCIAL NETWORK, LLC
<b>Allegations:</b>	Plaintiff alleges that from 2006 through 2008, the financial advisor made unsuitable recommendations.
<b>Product Type:</b>	Other: Miscellaneous
<b>Alleged Damages:</b>	\$0.00
<b>Alleged Damages Amount Explanation (if amount not exact):</b>	Plaintiff is seeking an unspecified amount in compensatory damages.

### Civil Litigation Information

<b>Type of Court:</b>	State Court
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**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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