



## IAPD Report

# TONY QUANG NGUYEN

CRD# 4559938

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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

### TONY QUANG NGUYEN (CRD# 4559938)

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 **08/30/2023**.

### CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
<b>IA</b>	SEIA	CRD# 108163	01/06/2015
<b>B</b>	SIGNATURE ESTATE SECURITIES, LLC	CRD# 18923	08/25/2023

### QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and 1 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>B</b>	OSAIC WEALTH, INC.	23131	LOS ANGELES, CA	11/02/2018 - 08/23/2023
<b>B</b>	SIGNATOR INVESTORS, INC.	468	LOS ANGELES, CA	11/17/2014 - 11/02/2018
<b>B</b>	CITY NATIONAL SECURITIES, INC.	103705	LOS ANGELES, CA	10/17/2013 - 09/29/2014

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

#### Employment 1 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>B</b>	FINRA	General Securities Principal	Approved	08/25/2023
<b>B</b>	FINRA	General Securities Representative	Approved	08/25/2023
<b>B</b>	FINRA	Securities Trader	Approved	08/25/2023

#### Branch Office Locations

2121 Avenue of Stars  
Suite 1600  
Los Angeles, CA 90067

#### Employment 2 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
<b>IA</b>	California	Investment Adviser Representative	Approved	01/06/2015

#### Branch Office Locations

**SEIA**  
2121 AVENUE OF THE STARS  
SUITE 1600



## Qualifications

LOS ANGELES, CA 90067




## 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, 4 general industry/product exams, and 1 state securities law exam.**



#### Principal/Supervisory Exams

Exam	Category	Date
 General Securities Principal Examination (S24)	Series 24	06/08/2013

#### General Industry/Product Exams

Exam	Category	Date
 Securities Trader Exam (S57TO)	Series 57TO	01/02/2023
 Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
 Limited Representative-Equity Trader Exam (S55)	Series 55	10/11/2008
 General Securities Representative Examination (S7)	Series 7	12/03/2002

#### State Securities Law Exams

Exam	Category	Date
  Uniform Combined State Law Examination (S66)	Series 66	03/03/2003

### 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	11/02/2018 - 08/23/2023	OSAIC WEALTH, INC.	CRD# 23131	LOS ANGELES, CA
B	11/17/2014 - 11/02/2018	SIGNATOR INVESTORS, INC.	CRD# 468	LOS ANGELES, CA
B	10/17/2013 - 09/29/2014	CITY NATIONAL SECURITIES, INC.	CRD# 103705	LOS ANGELES, CA
IA	10/17/2013 - 09/29/2014	CITY NATIONAL SECURITIES, INC.	CRD# 103705	LOS ANGELES, CA
B	03/10/2008 - 10/15/2013	WEDBUSH SECURITIES INC.	CRD# 877	LOS ANGELES, CA
B	11/16/2005 - 03/05/2008	BANC OF AMERICA SECURITIES LLC	CRD# 26091	LOS ANGELES, CA
B	04/15/2004 - 11/16/2005	BANC OF AMERICA INVESTMENT SERVICES, INC.	CRD# 16361	BOSTON, MA
IA	04/15/2004 - 11/16/2005	BANC OF AMERICA INVESTMENT SERVICES, INC.	CRD# 16361	LOS ANGELES, CA
IA	03/05/2003 - 04/19/2004	WELLS FARGO INVESTMENTS, LLC	CRD# 10582	NEWPORT BEACH, CA
B	02/21/2003 - 04/19/2004	WELLS FARGO INVESTMENTS, LLC	CRD# 10582	SAN FRANCISCO, CA

#### 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
08/2023 - Present	SES Inc.	Senior Trader	Y	Los Angeles, CA, United States
09/2014 - Present	SEIA LLC	Senior Trader	Y	LOS ANGELES, CA, United States
11/2018 - 08/2023	ROYAL ALLIANCE ASSOCIATES, INC.	REGISTERED REP	Y	LOS ANGELES, CA, United States
10/2014 - 11/2018	SII	REG REP	Y	LOSANGELES, 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. SEIA

POSITION: Senior Trader NATURE: LLC INVESTMENT RELATED: Yes NUMBER OF HOURS: 160 SECURITIES TRADING HOURS: 120 START DATE: 09/29/2014  
ADDRESS: 2121 AVENUE OF THE STARS, SUITE 1600, LOS ANGELES CA 90067, United States  
DESCRIPTION: RIA Service

#### 2. RENTAL PROPERTY

POSITION: Owner NATURE: Owner INVESTMENT RELATED: Yes NUMBER OF HOURS: 4 SECURITIES TRADING HOURS: 0  
START DATE: 11/17/2017  
ADDRESS: 559 N. Las Casas Ave, Pacific Palisades CA 90272, United States  
DESCRIPTION: Owner



## 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
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Criminal	1
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### 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

<b>Reporting Source:</b>	Individual
<b>Court Details:</b>	LOCATION OF COURT: ORANGE, CA, JUVENILE COURT AGENCY CASE NO 183363
<b>Charge Date:</b>	12/07/1991
<b>Charge Details:</b>	1. ONE - BURGLARY 2. MISDEMEANOR 3. GUILTY 4. NOT INVESTMENT RELATED
<b>Felony?</b>	No
<b>Current Status:</b>	Final
<b>Status Date:</b>	12/07/1991
<b>Disposition Details:</b>	A. DISMISSED B. 12/7/1991 C. MY PENALTY WAS TO WRITE AN ESSAY D. NONE E. NONE F. NONE G. NONE

<b>Broker Statement</b>	I WAS 13 YEARS OLD AND HUNG OUT WITH THE WRONG CROWD. I ENTERED A SAV-ON DRUG STORE AND TOOK A BOX OF BASEBALL CARDS. I WAS CHARGED WITH A MISDEMEANOR. I WENT TO A JUVENILE COURT IN ORANGE, CA. THE PERSON TOLD ME TO WRITE AN ESSAY ABOUT THE LESSON. I WROTE THE ESSAY AND SUBMITTED IT ON TIME. FROM THAT POINT ON I LEARNED MY LESSON AND NO LONGER ASSOCIATED MYSELF WITH THE WRONG CROWD. THE SUBJECT OF THE CHARGE OCCURED ON 12/7/1991.
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## End of Report

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