

BrokerCheck Report

JOSEPH DEAN LINDLEY

CRD# 6483389

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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.

About BrokerCheck®

BrokerCheck offers information on all current, and many former, registered securities brokers, and all current and former registered securities firms. FINRA strongly encourages investors to use BrokerCheck to check the background of securities brokers and brokerage firms before deciding to conduct, or continue to conduct, business with them.

- **What is included in a BrokerCheck report?**

- BrokerCheck reports for individual brokers include information such as employment history, professional qualifications, disciplinary actions, criminal convictions, civil judgments and arbitration awards. BrokerCheck reports for brokerage firms include information on a firm's profile, history, and operations, as well as many of the same disclosure events mentioned above.
- Please note that the information contained in a BrokerCheck 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 broker or brokerage firm, or concluded through a negotiated settlement with no admission or finding of wrongdoing.

- **Where did this information come from?**

- The information contained in BrokerCheck comes from FINRA's Central Registration Depository, or CRD® and is a combination of:
 - o information FINRA and/or the Securities and Exchange Commission (SEC) require brokers and brokerage firms to submit as part of the registration and licensing process, and
 - o information that regulators report regarding disciplinary actions or allegations against firms or brokers.

- **How current is this information?**

- Generally, active brokerage firms and brokers are required to update their professional and disciplinary information in CRD within 30 days. Under most circumstances, information reported by brokerage firms, brokers and regulators is available in BrokerCheck the next business day.

- **What if I want to check the background of an investment adviser firm or investment adviser representative?**

- To check the background of an investment adviser firm or representative, you can search for the firm or individual in BrokerCheck. If your search is successful, click on the link provided to view the available licensing and registration information in the SEC's Investment Adviser Public Disclosure (IAPD) website at <https://www.adviserinfo.sec.gov>. In the alternative, you may search the IAPD website directly or contact your state securities regulator at <http://www.finra.org/Investors/ToolsCalculators/BrokerCheck/P455414>.

- **Are there other resources I can use to check the background of investment professionals?**

- FINRA recommends that you learn as much as possible about an investment professional before deciding to work with them. Your state securities regulator can help you research brokers and investment adviser representatives doing business in your state.

Thank you for using FINRA BrokerCheck.



Using this site/information means that you accept the FINRA BrokerCheck Terms and Conditions. A complete list of Terms and Conditions can be found at

brokercheck.finra.org



For additional information about the contents of this report, please refer to the User Guidance or www.finra.org/brokercheck. It provides a glossary of terms and a list of frequently asked questions, as well as additional resources.

For more information about FINRA, visit www.finra.org.

JOSEPH D. LINDLEY

CRD# 6483389

Currently employed by and registered with the following Firm(s):

IA SEIA
 2121 AVENUE OF THE STARS
 SUITE 1600
 LOS ANGELES, CA 90067
 CRD# 108163
 Registered with this firm since: 10/18/2021

B SIGNATURE ESTATE SECURITIES, LLC
 2121 Avenue of Stars
 Suite 1600
 Los Angeles, CA 90067
 CRD# 18923
 Registered with this firm since: 08/23/2023

Report Summary for this Broker

This report summary provides an overview of the broker's professional background and conduct. Additional information can be found in the detailed report.

Broker Qualifications**This broker is registered with:**

- 1 Self-Regulatory Organization
- 1 U.S. state or territory

This broker has passed:

- 0 Principal/Supervisory Exams
- 2 General Industry/Product Exams
- 1 State Securities Law Exam

Registration History**This broker was previously registered with the following securities firm(s):**

- B OSAIC WEALTH, INC.**
 CRD# 23131
 LOS ANGELES, CA
 08/2021 - 08/2023
- B LPL FINANCIAL LLC**
 CRD# 6413
 WOODLAND HILLS, CA
 02/2020 - 08/2021
- IA EDWARD JONES**
 CRD# 250
 ST. LOUIS, MO
 08/2019 - 12/2019

Disclosure Events

All individuals registered to sell securities or provide investment advice are required to disclose customer complaints and arbitrations, regulatory actions, employment terminations, bankruptcy filings, and criminal or civil judicial proceedings.

Are there events disclosed about this broker? **No**



Broker Qualifications

Registrations

This section provides the self-regulatory organizations (SROs) and U.S. states/territories the broker is currently registered and licensed with, the category of each license, and the date on which it became effective. This section also provides, for every brokerage firm with which the broker is currently employed, the address of each branch where the broker works.

This individual is currently registered with 1 SRO and is licensed in 1 U.S. state or territory through his or her employer.

Employment 1 of 2

Firm Name: **SEIA**
 Main Office Address: **2121 AVENUE OF THE STARS
 SUITE 1600
 LOS ANGELES, CA 90067**
 Firm CRD#: **108163**

	U.S. State/ Territory	Category	Status	Date
IA	California	Investment Adviser Representative	Approved	10/18/2021

Branch Office Locations

2121 AVENUE OF THE STARS
 SUITE 1600
 LOS ANGELES, CA 90067

Employment 2 of 2

Firm Name: **SIGNATURE ESTATE SECURITIES, LLC**
 Main Office Address: **2121 AVENUE OF STARS
 SUITE 1600
 LOS ANGELES, CA 90067**
 Firm CRD#: **18923**

	SRO	Category	Status	Date
B	FINRA	General Securities Representative	Approved	08/23/2023

Broker Qualifications



Employment 2 of 2, continued

U.S. State/ Territory	Category	Status	Date
B California	Agent	Approved	08/23/2023

Branch Office Locations

SIGNATURE ESTATE SECURITIES, LLC
2121 Avenue of Stars
Suite 1600
Los Angeles, CA 90067



Broker Qualifications

Industry Exams this Broker has Passed

This section includes all securities industry exams that the broker has passed. Under limited circumstances, a broker may attain a registration after receiving an exam waiver based on exams the broker has passed and/or qualifying work experience. Any exam waivers that the broker has received are not included below. A passed exam or exam waiver does not permit a broker to do business without an active SRO or state registration.

This individual has passed 0 principal/supervisory exams, 2 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	10/01/2018
B General Securities Representative Examination	Series 7	02/13/2018

State Securities Law Exams

Exam	Category	Date
B IA Uniform Combined State Law Examination	Series 66	03/08/2018

Additional information about the above exams or other exams FINRA administers to brokers and other securities professionals can be found at www.finra.org/brokerqualifications/registeredrep/.

Broker Qualifications



Professional Designations

This section details that the representative has reported **0** professional designation(s).

No information reported.



Registration and Employment History

Registration History

The broker previously was registered with the following firms:

Registration Dates	Firm Name	CRD#	Branch Location
B 08/2021 - 08/2023	OSAIC WEALTH, INC.	23131	LOS ANGELES, CA
B 02/2020 - 08/2021	LPL FINANCIAL LLC	6413	WOODLAND HILLS, CA
B 08/2019 - 12/2019	EDWARD JONES	250	WESTLAKE VILLAGE, CA
IA 08/2019 - 12/2019	EDWARD JONES	250	WESTLAKE VILLAGE, CA
IA 03/2018 - 08/2019	MORGAN STANLEY	149777	BEND, OR
B 02/2018 - 08/2019	MORGAN STANLEY	149777	BEND, OR

Employment History

This section provides up to 10 years of an individual broker's employment history as reported by the individual broker on the most recently filed Form U4.

Please note that the broker is required to provide this information only while registered with FINRA or a national securities exchange and the information is not updated via Form U4 after the broker ceases to be registered. Therefore, an employment end date of "Present" may not reflect the broker's current employment status.

Employment	Employer Name	Position	Investment Related	Employer Location
08/2023 - Present	SES LLC	Advisor	Y	Los Angeles, CA, United States
08/2021 - Present	SEIA LLC	Advisor	Y	Los Angeles, CA, United States
08/2021 - 08/2023	ROYAL ALLIANCE ASSOCIATES, INC.	REGISTERED ASSISTANT	Y	LOS ANGELES, CA, United States
02/2020 - 08/2021	Hesen & Haslam, LLC	Administrative Associate	Y	Woodland Hills, CA, United States
02/2020 - 08/2021	LPL Financial, LLC	Administrative Associate	Y	Woodland Hills, CA, United States
12/2019 - 02/2020	UNEMPLOYED	n/a	N	Woodland Hills, CA, United States
08/2019 - 12/2019	EDWARD JONES	FINANCIAL ADVISOR	Y	Westlake Village, CA, United States



Registration and Employment History

Employment History, continued

Employment	Employer Name	Position	Investment Related	Employer Location
04/2018 - 08/2019	Morgan Stanley Private Bank NA	Financial Advisor	Y	New York, NY, United States
04/2018 - 08/2019	Morgan Stanley Smith Barney LLC	Financial Advisor	Y	Bend, OR, United States
12/2017 - 04/2018	Morgan Stanley Smith Barney LLC	Pre-Hire Licensing Program Candidate	Y	Bend, OR, United States
08/2017 - 12/2017	State Farm	Multi-Line Insurance Producer	N	Bend, OR, United States
04/2017 - 07/2017	Unemployed	n/a	N	Calabasas, CA, United States
01/2017 - 03/2017	Skyline Home Loans	Payroll Specialist	N	Calabasas, CA, United States
09/2016 - 11/2016	Unemployed	n/a	N	Calabasas, CA, United States
06/2016 - 09/2016	Capstone Partners Financial and Insurance Services	Life Insurance Representative	Y	Westlake Village, CA, United States
08/2012 - 05/2016	Pepperdine University	Student	N	Malibu, CA, United States
05/2015 - 09/2015	WADDELL & REED INC	Financial Services Representative	Y	LOS ANGELES, CA, United States

Other Business Activities

This section includes information, if any, as provided by the broker regarding other business activities the broker 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.

SEIA LLC

POSITION: Advisor NATURE: RIA INVESTMENT RELATED: Yes NUMBER OF HOURS: 160 SECURITIES TRADING HOURS: 120 START

DATE: 08/16/2021

ADDRESS: 2121 Avenue of the Stars, Los Angeles CA 90067, United States

DESCRIPTION: RIA Sales & Service

End of Report



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