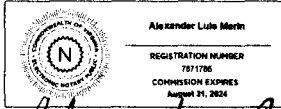




OATH OR AFFIRMATION

I, Christopher Maryanopolis, swear (or affirm) that, to the best of my knowledge and belief, the financial report pertaining to the firm of Signature Estate Securities, Inc., as of 12/31, 2023, is true and correct. I further swear (or affirm) that neither the company nor any partner, officer, director, or equivalent person, as the case may be, has any proprietary interest in any account classified solely as that of a customer.

Commonwealth of Virginia, County of Roanoke City



Alexander Luis Martin

Signature:

Christopher Maryanopolis

Title:

CEO

Notary Public

Notarized online using audio-video communication

This filing\*\* contains (check all applicable boxes):

- (a) Statement of financial condition.
(b) Notes to consolidated statement of financial condition.
(c) Statement of income (loss) or, if there is other comprehensive income in the period(s) presented, a statement of comprehensive income...
(d) Statement of cash flows.
(e) Statement of changes in stockholders' or partners' or sole proprietor's equity.
(f) Statement of changes in liabilities subordinated to claims of creditors.
(g) Notes to consolidated financial statements.
(h) Computation of net capital under 17 CFR 240.15c3-1 or 17 CFR 240.18a-1, as applicable.
(i) Computation of tangible net worth under 17 CFR 240.18a-2.
(j) Computation for determination of customer reserve requirements pursuant to Exhibit A to 17 CFR 240.15c3-3.
(k) Computation for determination of security-based swap reserve requirements pursuant to Exhibit B to 17 CFR 240.15c3-3 or Exhibit A to 17 CFR 240.18a-4, as applicable.
(l) Computation for Determination of PAB Requirements under Exhibit A to § 240.15c3-3.
(m) Information relating to possession or control requirements for customers under 17 CFR 240.15c3-3.
(n) Information relating to possession or control requirements for security-based swap customers under 17 CFR 240.15c3-3(p)(2) or 17 CFR 240.18a-4, as applicable.
(o) Reconciliations, including appropriate explanations, of the FOCUS Report with computation of net capital or tangible net worth under 17 CFR 240.15c3-1, 17 CFR 240.18a-1, or 17 CFR 240.18a-2, as applicable, and the reserve requirements under 17 CFR 240.15c3-3 or 17 CFR 240.18a-4, as applicable, if material differences exist, or a statement that no material differences exist.
(p) Summary of financial data for subsidiaries not consolidated in the statement of financial condition.
(q) Oath or affirmation in accordance with 17 CFR 240.17a-5, 17 CFR 240.17a-12, or 17 CFR 240.18a-7, as applicable.
(r) Compliance report in accordance with 17 CFR 240.17a-5 or 17 CFR 240.18a-7, as applicable.
(s) Exemption report in accordance with 17 CFR 240.17a-5 or 17 CFR 240.18a-7, as applicable.
(t) Independent public accountant's report based on an examination of the statement of financial condition.
(u) Independent public accountant's report based on an examination of the financial report or financial statements under 17 CFR 240.17a-5, 17 CFR 240.18a-7, or 17 CFR 240.17a-12, as applicable.
(v) Independent public accountant's report based on an examination of certain statements in the compliance report under 17 CFR 240.17a-5 or 17 CFR 240.18a-7, as applicable.
(w) Independent public accountant's report based on a review of the exemption report under 17 CFR 240.17a-5 or 17 CFR 240.18a-7, as applicable.
(x) Supplemental reports on applying agreed-upon procedures, in accordance with 17 CFR 240.15c3-1e or 17 CFR 240.17a-12, as applicable.
(y) Report describing any material inadequacies found to exist or found to have existed since the date of the previous audit, or a statement that no material inadequacies exist, under 17 CFR 240.17a-12(k).
(z) Other:

\*\*To request confidential treatment of certain portions of this filing, see 17 CFR 240.17a-5(e)(3) or 17 CFR 240.18a-7(d)(2), as applicable.

**Signature Estate Securities, Inc.**  
(SEC I.D. No. 8-37065)

*Financial Statements and Supplemental Schedules*

**As of and for the Year Ended December 31, 2023**

**and**

**Report of Independent Registered Public Accounting Firm**

**This report is deemed CONFIDENTIAL in accordance with Rule 17a-5(e)(3) under the Securities Exchange Act of 1934. A statement of financial condition is bound separately has been filed simultaneously herewith as a Public Document.**

**MICHAEL T. REMUS**  
*Certified Public Accountant*

P.O. Box 2555  
Hamilton Square, NJ 08690  
Tel: 609-540-1751  
Fax: 609-570-5526

Report of Independent Registered Public Accounting Firm

To: The Stockholder  
**Signature Estate Securities, Inc.**

**Opinion on the Financial Statements**

I have audited the accompanying statement of financial condition of Signature Estate Securities, Inc. as of December 31, 2023, and the related statements of operations, changes in stockholder equity and cash flows for the year then ended, that are filed pursuant to Rule 17a-5 under the Securities Exchange Act of 1934 and the related notes (collectively referred to as the financial statements). In my opinion, the financial statements present fairly, in all material respects, the financial position of Signature Estate Securities, Inc. as of December 31, 2023 and its results of operations and its cash flows for the year then ended in conformity with accounting principles generally accepted in the United States of America.

**Basis for Opinion**

These financial statements are the responsibility of Signature Estate Securities, Inc.'s management. My responsibility is to express an opinion on Signature Estate Securities, Inc.'s financial statements based on my audit. I am a public accounting firm registered with the Public Company Accounting Oversight Board (United States) (PCAOB) and I am required to be independent with respect to Signature Estate Securities, Inc. in accordance with the U.S. federal securities laws and the applicable rules and regulations of the Securities and Exchange Commission and the PCAOB.

I conducted my audit in accordance with the standards of the PCAOB. Those standards require that I plan and perform the audit to obtain reasonable assurance about whether the financial statements are free of material misstatement, whether due to error or fraud. My audit included performing procedures to assess the risks of material misstatement of the financial statements, whether due to error or fraud, and performing procedures that respond to those risks. Such procedures included examining, on a test basis, evidence regarding the amounts and disclosures in the financial statements. My audit also included evaluating the accounting principles used and significant estimates made by management, as well as evaluating the overall presentation of the financial statements. I believe that my audit provides a reasonable basis for my opinion.

**Supplemental Information**

The Schedule I, Computation of Net Capital Under SEC Rule 15c3-1, Schedule II, Computation for Identification of Reserve Requirements and Information Relating to Possession or Control Requirements Under SEC Rule 15c3-3 (*exemption*) has been subjected to audit procedures performed in conjunction with the audit of Signature Estate Securities, Inc.'s financial statements.

The supplemental information is the responsibility of Signature Estate Securities, Inc.'s management. My audit procedures included determining whether the supplemental information reconciles to the financial statements or the underlying accounting and other records, as applicable, and performing procedures to test the completeness and accuracy of the information presented in the supplemental information. In forming my opinion on the supplemental information, I evaluated whether the supplemental information, including its form and content, is presented in conformity with 17 C.F.R. §240.17a-5. In my opinion, the Schedule I, Computation of Net Capital Under SEC Rule 15c3-1, Schedule II, Computation for Identification of Reserve Requirements and Information Relating to Possession or Control Requirements Under SEC Rule 15c3-3 (*exemption*) is fairly stated, in all material respects, in relation to the financial statements as a whole.

*Michael T. Remus*

I have served as Signature Estate Securities, Inc.'s auditor since 2022.

Michael T. Remus, CPA  
Hamilton Square, New Jersey  
March 12, 2024

**Signature Estate Securities, Inc.**  
**STATEMENT OF FINANCIAL CONDITION**  
**December 31, 2023**

**ASSETS**

Current Assets	
Cash	\$ 516,855
Accounts receivable	271,080
Prepaid expense	54,167
	<hr/>
Current Assets	842,102
	<hr/>
Total Assets	\$ 842,102
	<hr/>

**LIABILITIES AND STOCKHOLDER EQUITY**

Current Liabilities	
Accounts payable (Note 8)	\$ 179,297
Accrued commissions	178,430
	<hr/>
Total Current Liabilities	357,727
	<hr/>
Total Liabilities	357,727
	<hr/>
<i>Commitments and Contingencies (Note 7)</i>	
Stockholder Equity	
Common stock, \$.01 par value; 1,000 shares authorized, issued and outstanding	10
Additional paid in capital	1,238,000
Accumulated (deficit)	<u>(753,635)</u>
Total Stockholder Equity	<u>484,375</u>
	<hr/>
Total Liabilities & Stockholder Equity	\$ 842,102
	<hr/>

See accompanying notes.

**Signature Estate Securities, Inc.**  
**STATEMENT OF OPERATIONS**  
Year Ended December 31, 2023

Revenues

Commissions - insurance	\$ 496,437
Mutual fund 12b-1 fees	78,456
Other commissions	7,943
Interest	149
Total revenues	<u>582,985</u>

Expenses

Compensation	761,792
Professional fees	119,250
Occupancy	29,517
Regulatory fees	123,779
General & administrative	79,260
Technology and communication	6,980
Total expenses	<u>1,120,578</u>

Net Loss	<u><u>\$ (537,593)</u></u>
----------	----------------------------

See accompanying notes.

**Signature Estate Securities, Inc.**  
**STATEMENT OF CHANGES IN STOCKHOLDER EQUITY**  
**Year Ended December 31, 2023**

	<u>Common Stock</u>		<u>Additional Paid-In Capital</u>	<u>Accumulated (Deficit)</u>	<u>Total Stockholder Equity</u>
	<u>Number of Shares</u>	<u>Amount</u>			
Balance at December 31, 2022	1,000	\$ 10	\$ 538,000	\$ (216,042)	\$ 321,968
Net Loss				(537,593)	(537,593)
Capital Contribution			700,000		700,000
Balance at December 31, 2023	<u>1,000</u>	<u>\$ 10</u>	<u>\$ 1,238,000</u>	<u>\$ (753,635)</u>	<u>\$ 484,375</u>

See accompanying notes.

**Signature Estate Securities, Inc.**  
**STATEMENT OF CASH FLOWS**  
**Year Ended December 31, 2023**

Net Loss \$ (537,593)

Adjustments to Reconcile Net Loss to Net  
Cash Used In Operating Activities:

(Increase) Decrease in Operating Assets:

    Accounts receivable (271,080)

    Prepaid expense (47,586)

Increase (Decrease) in Operating Liabilities:

    Accounts payable and accrued expenses 200,624

---

Net cash used in operating activities (655,635)

**Cash Flows From Financing Activities**

    Capital contribution 700,000

Net increase in cash 44,365

Cash at Beginning of Year 472,490

Cash at End of Year \$ 516,855

Supplemental Cash Flows Disclosures

    Cash paid for income taxes \$ -

    Cash paid for interest \$ -

See accompanying notes.

**Signature Estate Securities, Inc.**  
Notes To Financial Statements  
December 31, 2023

**1 Organization and Nature of Business**

Signature Estate Securities, Inc. (the Company) (formerly Transam Securities, Inc.) is a securities broker-dealer registered with the Securities Exchange Commission and is a member of the Financial Industry Regulatory Authority - FINRA and the Securities Investor Protection Corporation - SIPC. The Company was incorporated under the Laws of the State of Florida on November 21, 1986.

The Company holds no customer funds or securities and does not participate in the underwriting of Securities.

The Company is a broker-dealer whose planned principal operations are to offer various financial and insurance products and municipal fund securities.

The Company's activities are subject to significant risks and uncertainties, including the risk and uncertainty that planned operations do not materialize as planned.

*Liquidity Matters*

The Company has incurred significant operating losses since inception and has primarily relied on capital contributions from its sole shareholder to fund its operations. As of December 31, 2023, the Company had an accumulated deficit of \$753,635. Management expects that the existing cash of \$516,855 as of December 31, 2023 and income from operating activities will be sufficient to fund the Company's current operating plan for at least the next 12 months from the date of issuance of these financial statements.

**2 Significant Accounting Policies**

*(a) Basis of Presentation*

The financial statements and accompanying notes are prepared in accordance with accounting principles generally accepted in the United States of America ("U.S. GAAP") unless otherwise disclosed.

*(b) Use of Estimates*

The preparation of financial statements in conformity with generally accepted accounting principles requires management to make estimates and assumptions that affect the reported amounts of assets and liabilities and disclosure of contingent assets and liabilities at the date of the financial statements and the reported amounts of revenue and expenses during the reporting period. Actual results could differ from those estimates.

*(c) Statement of Cash Flows*

For purposes of the statement of cash flows the Company has defined cash equivalents as highly liquid investments, with original maturities of less than three months, that are not held for sale in the ordinary course of business. The company has adopted the indirect method of presenting the statement of cash flows in accordance with current authoritative pronouncements. There were no cash equivalents at December 31, 2023. Cash is held at a financial institution and is insured by the Federal Deposit Insurance Corporation up to \$250,000.

**Signature Estate Securities, Inc.**  
Notes To Financial Statements  
December 31, 2023

*(d) Revenue Recognition*

The Company earned commissions from the sale of various insurance products and mutual funds. Revenue is recorded when the premium due has been fully funded and the transaction has closed. Revenue is recognized in accordance with ASC Topic 606 as services are rendered and a given contract's identified performance obligations are satisfied. There were no unsatisfied performance obligations at December 31, 2023.

*(e) Income Taxes*

The Company, with the consent of its shareholder, has elected under the Internal Revenue Code to be treated as an S Corporation. In lieu of corporation income taxes, the shareholder of an S Corporation is taxed on their proportionate share of the Company's taxable income. Therefore, no provision or liability for federal income taxes has been included in the financial statements. The Company's tax returns and the amount of income or loss allocable to the shareholder is subject to examination by federal and state taxing authorities. In the event of an examination of the Company's tax return, the tax liability of the shareholder could be changed if an adjustment in the Company's income or loss is ultimately determined by the taxing authorities.

Certain transactions of the Company may be subject to accounting methods for federal and state income tax purposes which differ significantly from the accounting methods used in preparing the financial statements. Accordingly, the net income or loss of the Company and the resulting balances in the shareholder's capital account reported for federal and state income tax purposes may differ from the balances reported for those same items in these financial statements.

The Company recognizes and measures its unrecognized tax benefits in accordance with ASC Topic 740, Income Taxes. Under that guidance the Company assesses the likelihood, based on their technical merit, that tax positions will be sustained upon examination based on the facts, circumstances and information available at the end of the financial reporting period. The measurement of unrecognized tax benefits is adjusted when new information is available, or when an event occurs that requires a change.

Management has determined that the Company has no uncertain tax positions that would require financial statement recognition at December 31, 2023. This determination will always be subject to ongoing evaluation as facts and circumstances may require. The Company remains subject to U.S. federal and state income tax audits for all years subsequent to 2019.

In addition, no income tax related penalties or interest have been recorded for the year ended December 31, 2023.

*(f) Advertising and Marketing*

Advertising and marketing costs of \$90 are expensed as incurred.

*(g) General and Administrative Expenses*

General and administrative costs are expensed as incurred.

**Signature Estate Securities, Inc.**  
Notes to Financial Statements  
December 31, 2023

*(h) Fair Value Hierarchy*

FASB ASC 820 defines fair value, establishes a framework for measuring fair value, and establishes a fair value hierarchy which prioritizes the inputs to valuation techniques. Fair value is the price that would be received to sell an asset or paid to transfer a liability in an orderly transaction between market participants at the measurement date. A fair value measurement assumes that the transaction to sell the asset or transfer the liability occurs in the principal market for the asset or liability or, in the absence of a principal market, the most advantageous market. Valuation techniques that are consistent with the market, income or cost approach, as specified by FASB ASC 820, are used to measure fair value.

The fair value hierarchy prioritizes the inputs to valuation techniques used to measure fair value into three broad levels:

- Level 1.* Quoted prices (unadjusted) in active markets for identical assets or liabilities that the Company has the ability to access at the measurement date.
- Level 2.* Inputs other than quoted prices included in Level 1 that are observable for the assets or liability either directly or indirectly.
- Level 3.* Inputs are unobservable for the assets or liability.

The availability of observable inputs can vary from security to security and is affected by a wide variety of factors, including, for example, the type of security, the liquidity of markets, and other characteristics particular to the security. To the extent the valuation is based on models or inputs that are less observable or unobservable in the market, the determination of fair value requires more judgment. Accordingly, the degree of judgment exercised in determining the fair value is greatest for instruments categorized in level 3.

The inputs used to measure fair value may fall into different levels of the fair value hierarchy. In such cases, for disclosure purposes, the level in the fair value hierarchy within which the fair value measurement falls in its entirety is determined based on the lowest level input that is significant to the fair value measurement in its entirety.

For further discussion of fair value, see “Note 6 Fair Value”

### **3 Net Capital Requirements**

The Company, as a registered broker-dealer in securities is subject to the SEC Uniform Net Capital Rule (Rule 15c3-1). The Company has elected to operate under that portion of the Rule which requires the Company maintain “net capital” equal to the greater of \$5,000 or 6 2/3% of aggregate indebtedness, as those terms are defined in the Rule. At December 31, 2023, the Company had net capital of \$430,208, which was \$406,360 in excess of its required minimum net capital of \$23,848. The Company had an AI/NC ratio of 0.8315 to 1.

Advances to affiliates, contributions, distributions and other withdrawals are subject to certain notification and other requirements of Rule 15c3-1 and other regulatory rules. The Company does not claim exemption from the provisions of Rule 15c3-3 under the Securities Exchange Act of 1934. The Company relies on Footnote 74 of SEC Release 34-70073.

**Signature Estate Securities, Inc.**  
Notes to Financial Statements  
December 31, 2023

**4 Leases**

The Company conducts its operations from facilities that are shared with its Parent. There is no lease agreement.

Rent expense for the year ended December 31, 2023 was \$29,517.

**5 Concentrations and Economic Dependency**

The Company's revenues consist of commissions as discussed in Note 2 above. There is no assurance of future revenues from such commissions.

The Company maintains its cash at a financial institution in amounts that at times exceed federally insured limits. The Company has not experienced any losses in such accounts through December 31, 2023. As of December 31, 2023 there was a cash balance in the amount of \$177,445 that was not insured.

**6 Fair Value**

Cash, accounts receivables, accounts payable and other current liabilities are reflected in the financial statements at carrying value which approximates fair value because of the short-term maturity of these instruments.

**7 Commitments and Contingencies**

Pursuant to Securities and Exchange Commission Rule 15c3-1(e)(2) the Company may not authorize distributions to its members if such distributions cause the Company's net capital to fall below 120% of the Company's minimum net capital requirement. As of December 31, 2023 the Company was not in violation of this requirement.

The Company had no lease or equipment rental commitments (other than as disclosed in Note 4 above), no underwriting commitments, no contingent liabilities, and had not been named as a defendant in any lawsuit at December 31, 2023 or during the year then ended.

**Signature Estate Securities, Inc.**  
Notes To Financial Statements  
December 31, 2023

**8 Related Party Transactions**

The Company is a wholly-owned subsidiary of Signature Wealth Management LLC (the “Parent”). The Company and the Parent entered into an expense sharing agreement for the allocation of certain expenses of the Company, including but not limited to salaries and professional fees. Amounts allocated under this agreement during the year totaled approximately \$626,050.

Amounts due to the Parent at December 31, 2023 was approximately \$173,705.

**9 Anti-Money Laundering Policies and Procedures**

The Company is required to implement policies and procedures relating to anti-money laundering, compliance, suspicious activities, and currency transaction reporting and due diligence on customers who open accounts with the Company. At December 31, 2023 the Company had implemented such policies and procedures.

**10 Exemption from Rule 15c3-3**

The Company is exempt from the Securities and Exchange Commission Rule 15c3-3 and, therefore, is not required to maintain a “Special Reserve Bank Account for the Exclusive Benefit of Customers”.

**11 Subsequent Events**

The Company has evaluated subsequent events occurring after the statement of financial condition date through the date of March 12, 2024 which is the date the financial statements were available to be issued. Based on this evaluation, the Company has determined that no subsequent events have occurred which require disclosure in or adjustment to the financial statements.

**Supplementary Information**

**Pursuant to Rule 17a-5 of the**

**Securities Exchange Act of 1934**

**As of December 31, 2023**

**Signature Estate Securities, Inc.**  
**NET CAPITAL COMPUTATION IN ACCORDANCE WITH RULE 15c 3-1**  
**December 31, 2023**

**Schedule I**

**NET CAPITAL**

Assets	\$ 842,102
Less Liabilities	<u>(357,727)</u>
Total Ownership Equity	484,375
Less Non Allowables	<u>(54,167)</u>
TNC Before Haircuts & Undue Concentration	430,208
Less Haircuts	0
Less Undue Concentration	0
<b>NET CAPITAL</b>	<u><b>430,208</b></u>
Minimum Required Net Capital	23,848
Excess Net Capital	<u><b>\$ 406,360</b></u>
AI/NC Ratio	0.8315 to 1
Non A.I. Liabilities	0.00

Reconciliation with Company's Computation (included in Part II of Form X-17A-5 as of December 31, 2023)

**As Amended**

Net Capital, as reported in Company's Part II unaudited Focus Report	\$ 430,208
Net Capital, per above	<u>430,208</u>
Difference	<u><u>\$ -</u></u>

There are no material differences between the net capital reflected in the above computation and the net capital reflected in the Company's FOCUS Report as of December 31, 2023.

**Signature Estate Securities, Inc.**

**COMPUTATION FOR DETERMINATION OF RESERVE REQUIREMENTS UNDER  
RULE 15c3-3 (EXEMPTION) and INFORMATION RELATING TO POSSESSION OR  
CONTROL REQUIREMENTS (EXEMPTION) FOR CUSTOMERS UNDER RULE  
15c3-3**

**Schedule II**

**YEAR ENDED December 31, 2023**

The Company is designated by its FINRA membership agreement to operate under the exemptive provisions of Footnote 74 of the SEC Release No. 34-70073.

The Company is also exempt from the provisions of Rule 15c3-3 because the Company's other business activities contemplated by paragraph (k)(1) of SEC Rule 15c3-3 are limited to: (1) commission-based compensation from the sale of investment company shares and variable annuities for clients; and the Company (1) did not directly or indirectly receive, hold, or otherwise owe funds or securities for or to customers; (2) did not carry accounts of or for customers; and (3) does not carry PAB accounts (as defined in Rule 15c3-3) throughout the most recent fiscal year without exception.

**MICHAEL T. REMUS**  
*Certified Public Accountant*

P.O. Box 2555  
Hamilton Square, NJ 08690

Tel: 609-540-1751

Fax: 609-570-5526

**REPORT OF INDEPENDENT REGISTERED PUBLIC ACCOUNTING FIRM**

To: The Stockholder  
**Signature Estate Securities, Inc.**

I have reviewed management's statements, included in the accompanying Rule 15c3-3 Exemption Statement, in which (1) Signature Estate Securities, Inc. (the "Company") stated that the Company does not hold customers' cash or securities on behalf of customers and limits its business to commission based compensation from the sale of investment company shares and variable annuities for clients and, therefore has no obligations under Rule 15c3-3 under the Securities Exchange Act of 1934 pursuant to Footnote 74 of SEC Release 34-70073 and paragraph (k)(1) of SEC Rule 15c3-3. In addition, as a result of the Company's having no obligations under SEC Rule 15c3-3, it may file an Exemption Report and (2) the Company stated that it had no exceptions under SEC Rule 15c3-3 throughout the year ended December 31, 2023. The Company did not directly or indirectly receive, hold or otherwise owe funds or securities for or to customers, did not carry accounts of or for customers, and did not carry PAB accounts as defined in Rule 15c3-3. Management is responsible for compliance with 17 C.F.R. § 240. 15c3-3 and its statements. My review was conducted in accordance with the standards of the Public Company Accounting Oversight Board (United States) and, accordingly, included inquiries and other required procedures to obtain evidence about the Company's compliance with 17 C.F.R. § 240. 15c3-3. A review is substantially less in scope than an examination, the objective of which is the expression of an opinion on management's statements. Accordingly, I do not express such an opinion. Based on my review, I am not aware of any material modifications that should be made to management's statements referred to above for them to be fairly stated, in all material respects, based on Rule 15c3-3 under the Securities Exchange Act of 1934.

*Michael T. Remus*

Michael T Remus, CPA  
Hamilton Square, New Jersey  
March 12, 2024

**Signature Estate Securities, Inc.**  
**Exemption Statement pursuant to SEC Rule 17a-5**  
**For the Year Ended December 31, 2023**

**Signature Estate Securities, Inc. Exemption Statement**

**Signature Estate Securities, Inc.** (the “Company”) is a registered broker-dealer subject to Rule 17a-5 promulgated by the Securities and Exchange Commission (17 C.F.R. §240.17a-5, “Reports to be made by certain brokers and dealers”). This Exemption Report was prepared as required by 17 C.F.R. §240.17a-5(d)(1) and (4). To the best of its knowledge and belief, the Company states the following:

- (1) The Company claims an exemption under paragraph (k)(1) of 17 C.F.R. § 240.15c3-3, and it also relies on Footnote 74 of the SEC release No. 34-70073 adopting amendments to 17 C.F.R. § 240.17a-5 and,
- (2) The Company is filing this Exemption Report because the Company limits its business activities exclusively to (1) commission-based compensation from the sale of investment company shares and variable annuities; and the Company does not hold customers' cash or securities on behalf of customers, and, therefore has no obligations under SEC Rule 15c3-3 under the Securities Exchange Act of 1934. Further, the Company did not directly or indirectly receive, hold or otherwise owe funds or securities for or to customers, did not carry accounts of or for customers, and did not carry PAB accounts as defined in Rule 15c3-3. In addition, as a result of the Company having no obligations under SEC Rule 15c3-3, it may file an Exemption Report. The Company had no exceptions under SEC Rule 15c3-3 throughout the year ended December 31, 2023.

Signature Estate Securities, Inc.

I, Christopher Maryanopolis swear (or affirm) that, to my best knowledge and belief, this Exemption Statement is true and correct.

By: Chris Maryanopolis

Christopher Maryanopolis,  
President/CEO