

# **Symphony Wealth Management, LLC.**

## **Form ADV Part 2B Brochure Supplement**

Symphony Wealth Management, LLC  
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### **Form ADV, Part 2B Brochure Supplement**

*This brochure supplement provides information about SWM's Chief Compliance Officer, Kevin C. Daniels (CRD # 2041956) that supplements the Symphony Wealth Management ("SWM") brochure.*

*Please contact SWM if you have any questions about the contents of the brochure or this supplement.*

*Additional information about Kevin C. Daniels may be found at...*

<http://brokercheck.finra.org/Search/Search.aspx>

## ***Item 2. Educational Background and Experience***

Kevin C. Daniels, born in 1965, attended Fairfield University where he studied Banking and Finance. He entered the financial industry in 1990 with what is now Oppenheimer & Co. in their Banking Relations unit and later went on to work with the Equity Research team and Institutional Sales. In 1996, Mr. Daniels helped lead the Institutional Sales and Trading division as VP at George K. Baum & Co. and was later recruited by Raymond James & Associates in 1999 as their Sr. Vice President for Equity Capital Markets. In 2004, Mr. Daniels managed the turnaround of the Fixed Income and Equity Trading units for GAF as a SVP before he was recruited by Legent Clearing in 2010 as the firm's Chief Credit Officer. Mr. Daniels was most recently serving as the COO and CCO for LCG Private Client Group, an independent Registered Investment Advisor.

With over 25 years of progressive risk management and compliance experience, Mr. Daniels has developed and programmed integrated systems to score credit risk, portfolio review and operational risk for back office and the advisor/ client front-end use. Prior to his work in Risk Management, Mr. Daniels led the development of several institutional sell-side capital markets trading divisions in both equity and fixed income and was primarily responsible for capital-at-risk and the P/L of various investment portfolios. Mr. Daniels holds the following licenses: Series 24, Series 7, Series 55, Series 87, Series 63, and Series 65. In 2006, Mr. Daniels has received the Certificate for Regulatory and Compliance Professional from Wharton, University of Pennsylvania.

## ***Item 3. Disciplinary Information***

Mr. Daniels has **no** legal or disciplinary events in his professional career. Kevin C. Daniels has not been involved with, or found liable for, any arbitration claim, civil, self-regulatory organization, or administrative proceeding or been the subject of a bankruptcy proceeding in the past 10 years.

## ***Item 4. Other Business Activities***

Mr. Daniels has no outside business activities.

## ***Item 5. Additional Compensation***

Mr. Daniels does **not** receive any additional compensation for providing advisory services to someone who is not a client of SWM.

## ***Item 6. Supervision***

Basic supervisory controls are maintained by Kevin C. Daniels, President and Chief Compliance Officer of Symphony Wealth Management. Mr. Daniels shall not invest in any security or other instrument alongside any client of SWM. A full accounting of the investments of Mr. Daniels and SWM client activity is provided as part of a regular comprehensive report. Mr. Daniels may be contacted directly with any questions at 813-318-1526.