



IAPD Report

DEE S WALKER

CRD# 1004635

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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

DEE S WALKER (CRD# 1004635)

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 **06/11/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	OSAIC WEALTH, INC.	CRD# 23131	09/01/2023
IA	OSAIC WEALTH, INC.	CRD# 23131	09/01/2023

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **7** 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	SAGEPOINT FINANCIAL, INC.	133763	GARDEN CITY, NY	01/10/2022 - 09/01/2023
IA	SAGEPOINT FINANCIAL, INC.	133763	GARDEN CITY, NY	01/10/2022 - 09/01/2023
IA	ROYAL ALLIANCE ASSOCIATES, INC.	23131	GARDEN CITY, NY	10/16/2019 - 01/07/2022

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
Customer Dispute	3



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

Employment 1 of 1

Firm Name: **OSAIC WEALTH, INC.**
Main Address: 18700 N. HAYDEN ROAD
SUITE 255
SCOTTSDALE, AZ 85255
Firm ID#: 23131

	Regulator	Registration	Status	Date
B	FINRA	General Securities Representative	Approved	09/01/2023
B	California	Agent	Approved	09/01/2023
B	Connecticut	Agent	Approved	06/11/2026
B	Florida	Agent	Approved	09/01/2023
IA	Florida	Investment Adviser Representative	Approved	09/01/2023
B	Massachusetts	Agent	Approved	09/01/2023
B	New Jersey	Agent	Approved	09/01/2023
IA	New Jersey	Investment Adviser Representative	Approved	09/01/2023
B	New Mexico	Agent	Approved	09/01/2023
B	New York	Agent	Approved	09/01/2023
IA	New York	Investment Adviser Representative	Approved	09/01/2023

Branch Office Locations

OSAIC WEALTH, INC.
Garden City, NY

OSAIC WEALTH, INC.
380 N. BROADWAY



Qualifications

SUITE 206
JERICHO, NY 11753



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 0 principal/supervisory exams, 3 general industry/product exams, and 3 state securities law exams.

Principal/Supervisory Exams

Exam	Category	Date
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No information reported.

General Industry/Product Exams

Exam	Category	Date
B Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
B Foreign Currency Options Examination (S15)	Series 15	06/12/1984
B General Securities Representative Examination (S7)	Series 7	09/19/1981

State Securities Law Exams

Exam	Category	Date
IA B Uniform Combined State Law Examination (S66)	Series 66	06/19/2015
IA Uniform Investment Adviser Law Examination (S65)	Series 65	12/06/1993
B Uniform Securities Agent State Law Examination (S63)	Series 63	05/19/1983



PROFESSIONAL DESIGNATIONS

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

No information reported.

Only professional designations listed in Question 8 of the Form U4 will appear in this section if the appropriate box is checked and verified by the issuing organization at the time of the filing. Learn more about eligible designations at [IARD](#) and [NASAA](#).



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	01/10/2022 - 09/01/2023	SAGEPOINT FINANCIAL, INC.	CRD# 133763	GARDEN CITY, NY
IA	01/10/2022 - 09/01/2023	SAGEPOINT FINANCIAL, INC.	CRD# 133763	GARDEN CITY, NY
IA	10/16/2019 - 01/07/2022	ROYAL ALLIANCE ASSOCIATES, INC.	CRD# 23131	GARDEN CITY, NY
B	10/15/2019 - 01/07/2022	ROYAL ALLIANCE ASSOCIATES, INC.	CRD# 23131	GARDEN CITY, NY
B	08/13/2015 - 10/14/2019	WELLS FARGO CLEARING SERVICES, LLC	CRD# 19616	NEW YORK, NY
IA	08/13/2015 - 10/14/2019	WELLS FARGO CLEARING SERVICES, LLC	CRD# 19616	NEW YORK, NY
IA	06/22/2015 - 08/14/2015	ROYAL ALLIANCE ASSOCIATES, INC.	CRD# 23131	GARDEN CITY, NY
B	01/31/2005 - 08/14/2015	ROYAL ALLIANCE ASSOCIATES, INC.	CRD# 23131	GARDEN CITY, NY
B	09/24/1981 - 02/15/2005	CITIGROUP GLOBAL MARKETS INC.	CRD# 7059	NEW YORK, NY

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
09/2023 - Present	OSAIC WEALTH, INC.	Registered Rep	Y	GARDEN CITY, NY, United States
01/2022 - 09/2023	SAGEPOINT FINANCIAL, INC.	REGISTERED REPRESENTATIVE	Y	SYRACUSE, NY, United States
09/2019 - 01/2022	ROYAL ALLIANCE	REGISTERED REP	Y	GARDEN CITY, NJ, United States
11/2016 - 09/2019	WELLS FARGO CLEARING SERVICES, LLC	REGISTERED REP	Y	GARDEN CITY, NY, United States
08/2015 - 11/2016	WELLS FARGO ADVISORS LLC	REGISTERED REP	Y	GARDEN CITY, NY, 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. MAKE WORK OPTIONAL LLC

POSITION: Managing Member NATURE: Doing business as ("DBA") Make Work Optional LLC? INVESTMENT RELATED: Yes
NUMBER OF HOURS: 1 SECURITIES TRADING HOURS: 1 START DATE: 09/30/2019
ADDRESS: 200 Garden City Plaza, Suite 415, Garden City NY 11530, United States
DESCRIPTION: Doing business as ("DBA") Make Work Optional LLC?

2. SHALOM SIEMPRE LLC

POSITION: member NATURE: Shalom Siempre LLC is a single sole member LLC which owns a condo and my current residence.
INVESTMENT RELATED: No NUMBER OF HOURS: 6 SECURITIES TRADING HOURS: 0 START DATE: 11/01/2016
ADDRESS: 111 Cherry Valley Ave - 910w, Garden City NY 11530, United States
DESCRIPTION: Shalom Siempre LLC owns my current residence which recently experienced flooding. The property restoration included flooring, carpentry and painting. The property has been restored to mint condition and put on MLS for sale this weekend with Daniel Gale realtor.

3. CONNECTIONS GROUP LLC

POSITION: Manager NATURE: Networking local +55 singles (non-married) social group for dinner matchmaking and other social events. (Similar to Quality Connection LLC, my former OBA approx. 20 years ago while with Royal Alliance.) INVESTMENT RELATED: No NUMBER OF HOURS: 30 SECURITIES TRADING HOURS: 8 START DATE: 03/01/2023
ADDRESS: 600 Franklin Ave, Unit 336, Garden City NY 11530, United States
DESCRIPTION: Established a sole member LLC (myself as sole member) to help organize singles social events for +55 unmarried (mostly divorced, widow) senior adults. In addition to matchmaking dinner events, overseas trip planned as well as potential networking to help group participants discover part-time employment opportunities locally, learn new skills, hobbies, grow and enlighten during retirement stage.

4. DEE WALKER

POSITION: Statutory Agent NATURE: Sole Proprietorship INVESTMENT RELATED: Yes NUMBER OF HOURS: 5 SECURITIES TRADING HOURS: 5 START DATE: 01/01/2024
ADDRESS: 200 Garden City Plaza, Suite 415, Garden City NY 11530, United States
DESCRIPTION: Sell fixed life insurance when needed by client

5. WYNDHAM SOCIAL COMMITTEE

POSITION: Resident Member NATURE: Help organize Wyndham condominiums social events. INVESTMENT RELATED: No
NUMBER OF HOURS: 4 SECURITIES TRADING HOURS: 2 START DATE: 02/01/2024
ADDRESS: 111 Cherry Valley Ave, Garden City NY 11530, United States
DESCRIPTION: Help organize events through networking and contacting caterers, music, dance, etc.



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	3

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 3

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	CITGROUP GLOBAL MARKETS INC.
Allegations:	CLIENTS ALLEGED UNSUITABILITY, EXCESSIVE TRADING AND MISREPRESENTATION WITH RESPECT TO INVESTMENTS - 2001-2002. DAMAGES UNSPECIFIED.
Product Type:	Debt - Corporate
Other Product Type(s):	DEBT-ASSET BACKED, VARIABLE ANNUITIES

Alleged Damages:

Customer Complaint Information

Date Complaint Received:	12/01/2003
Complaint Pending?	No
Status:	Denied
Status Date:	02/04/2004

Settlement Amount:

Individual Contribution Amount:

Broker Statement	THE CLAIM WAS DENIED.
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Disclosure 2 of 3



Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: SALOMON SMITH BARNEY

Allegations: THE CLIENTS ALLEGED UNSUITABILITY WITH REGARD TO THE PURCHASE OF AN EQUITY. JULY 2000 THROUGH FEBRUARY 2001. ALLEGED DAMAGES UNSPECIFIED.

Product Type: Equity - OTC

Alleged Damages:

Customer Complaint Information

Date Complaint Received: 07/03/2002

Complaint Pending? No

Status: Denied

Status Date: 10/18/2002

Settlement Amount:

Individual Contribution Amount:

Broker Statement CLAIM DENIED.

Disclosure 3 of 3

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: SALOMON SMITH BARNEY

Allegations: THE CLIENT ALLEGED UNSUITABILITY AND FAILURE TO FOLLOW INSTRUCTIONS. FEBRUARY 2000 THROUGH MARCH 2001.

Product Type: Equity - OTC

Other Product Type(s): EQUITY-LISTED MUTUAL FUNDS

Alleged Damages: \$120,000.00

Customer Complaint Information

Date Complaint Received: 03/14/2001

Complaint Pending? No

Status: Closed/No Action

Status Date: 10/18/2001

Settlement Amount:

Individual Contribution Amount:

Broker Statement THE CLIENT HAS NOT PURSUED THEIR CLAIM.



End of Report

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