



IAPD Report

GLENN MICHAEL WAKE

CRD# 1015252

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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

GLENN MICHAEL WAKE (CRD# 1015252)

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 **10/23/2024**.

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 **3** 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
IA	SAGEPOINT FINANCIAL, INC.	133763	GRAND PRAIRIE, TX	06/30/2015 - 09/01/2023
B	SAGEPOINT FINANCIAL, INC.	133763	GRAND PRAIRIE, TX	10/31/2005 - 09/01/2023
IA	FINANCIAL EDUCATION ASSOCIATES, INC.	114588	GRAND PRAIRIE, TX	08/26/1997 - 09/02/2015

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
Regulatory Event	1
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 3 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	Direct Participation Programs	Approved	09/01/2023
B FINRA	Government Securities Representative	Approved	09/01/2023
B FINRA	Invest. Co and Variable Contracts	Approved	09/01/2023
B FINRA	Investment Co./Variable Contracts Prin	Approved	09/01/2023
B Arkansas	Agent	Approved	10/24/2024
B Oklahoma	Agent	Approved	09/01/2023
B Texas	Agent	Approved	09/01/2023
IA Texas	Investment Adviser Representative	Approved	09/01/2023

Branch Office Locations

OSAIC WEALTH, INC.
1000 POST & PADDOCK
SUITE 205
GRAND PRAIRIE, TX 75050




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 2 state securities law exams.



Principal/Supervisory Exams

Exam	Category	Date
 Investment Company Products/Variable Contracts Principal Examination (S26)	Series 26	07/02/1999

General Industry/Product Exams

Exam	Category	Date
 Government Securities Representative Examination (S72)	Series 72	01/02/2023
 Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
 Direct Participation Programs Representative Examination (S22)	Series 22	04/15/1983
 Investment Company Products/Variable Contracts Representative Examination (S6)	Series 6	06/15/1982

State Securities Law Exams

Exam	Category	Date
 Uniform Investment Adviser Law Examination (S65)	Series 65	07/09/1998
 Uniform Securities Agent State Law Examination (S63)	Series 63	12/14/1982

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
IA	06/30/2015 - 09/01/2023	SAGEPOINT FINANCIAL, INC.	CRD# 133763	GRAND PRAIRIE, TX
B	10/31/2005 - 09/01/2023	SAGEPOINT FINANCIAL, INC.	CRD# 133763	GRAND PRAIRIE, TX
IA	08/26/1997 - 09/02/2015	FINANCIAL EDUCATION ASSOCIATES, INC.	CRD# 114588	GRAND PRAIRIE, TX
B	09/23/1996 - 10/31/2005	SUNAMERICA SECURITIES, INC.	CRD# 20068	PHOENIX, AZ
B	08/27/1987 - 09/20/1996	WALNUT STREET SECURITIES, INC.	CRD# 15840	EL SEGUNDO, CA
B	03/13/1985 - 08/22/1987	T.L. HILL SECURITIES, INC.	CRD# 14718	
B	02/01/1985 - 07/20/1987	INVESTORS BROKERAGE SERVICES, INC.	CRD# 4257	
B	03/05/1984 - 12/27/1984	UNITED FIDELITY INVESTMENTS, INC.	CRD# 3637	
B	10/04/1982 - 07/18/1983	CIGNA SECURITIES, INC.	CRD# 145	

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.	Mass Transfer	Y	GRAND PRAIRIE, TX, United States
01/2009 - Present	SAGEPOINT FINANCIAL, INC.	REGISTERED REP	Y	PHOENIX, AZ, United States
06/1983 - Present	WAKE FINANCIAL GROUP INC	OTHER - PRES	N	ARLINGTON, TX, 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) INSURANCE - GLENN M. WAKE, 1000 POST & PADDOCK, SUITE 205, GRAND PRAIRIE, TX 75050. SELLING INSURANCE AS A STATUTORY AGENT AND INDIVIDUAL PRODUCER, NOT AS A CORP. START DATE WAS 1983. I SPEND ABOUT 5 HOURS A MONTH ON THIS PART OF THE BUSINESS AND DURING THE SECURITIES TRADING HOURS. I SELL LONG TERM CARE, MEDICARE SUP, FIXED AND VARIABLE ANNUITIES AND LIFE INSURANCE.

2) WAKE FINANCIAL GROUP, INC.

POSITION: Other - President and 50% Ownerowner NATURE: Corporation - INVESTMENT RELATED: No NUMBER OF HOURS: 20 SECURITIES TRADING HOURS: 20 START DATE: 01/01/1983

ADDRESS: 1000 Post 'N' Paddock Pl. #205 Grand Prairie, TX 75050, Grand Prairie TX 75050, United States

DESCRIPTION: Market retirement plan administration to Financial Advisors, CPA's, Brokers. We administer plans for clients of Financial Professionals, as well as plans of our own.

3) GLENN M. WAKE

POSITION: Sole Proprietor NATURE: Sole Proprietorship INVESTMENT RELATED: Yes NUMBER OF HOURS: 3 SECURITIES TRADING HOURS: 3 START DATE: 01/01/1983

ADDRESS: 1000 Post 'N' Paddock Pl. #205, Grand Prairie TX 75050, United States

DESCRIPTION: Sales of life insurance fixed and Variable Annuities and Indexed Annuities as a sole proprietor.

4) VILLAS OF RUSTIC MEADOWS, HOA

POSITION: Other - Pres NATURE: Non-Profit - INVESTMENT RELATED: No NUMBER OF HOURS: 2 SECURITIES TRADING HOURS: 0 START DATE: 07/01/2012

ADDRESS: 3133 Rustic Meadows Dr. Bedford, TX 76021, Bedford TX 76021, United States

DESCRIPTION: Help select landscaping firm for HOA, conduct HOA meeting for members.



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
Regulatory Event	1
Criminal	1

Regulatory Event

This disclosure event may include a final, formal proceeding initiated by a regulatory authority (e.g., a state securities agency, a federal regulator such as the Securities and Exchange Commission or the Commodities Futures Trading Commission, or a foreign financial regulatory body) for a violation of investment-related rules or regulations. This disclosure event may also include a revocation or suspension of an Investment Adviser Representative's authority to act as an attorney, accountant or federal contractor.

Disclosure 1 of 1

Reporting Source:	Regulator
Regulatory Action Initiated By:	TEXAS STATE SECURITIES BOARD
Sanction(s) Sought:	
Other Sanction(s) Sought:	
Date Initiated:	08/26/1997
Docket/Case Number:	CAF-1213
Employing firm when activity occurred which led to the regulatory action:	WALNUT STREET SECURITIES
Product Type:	
Other Product Type(s):	
Allegations:	Not Provided
Current Status:	Final
Resolution:	Consent
Resolution Date:	08/26/1997
Sanctions Ordered:	Monetary/Fine \$750.00
Other Sanctions Ordered:	
Sanction Details:	ON AUGUST 26, 1997, THE SECURITIES COMMISSIONER ENTERED A CONSENT ORDER AGAINST GLENN MICHAEL WAKE. RESPONDENT



FAILED TO AMEND HIS FORM U-4 TO REFLECT A FELONY CHARGE AND ALSO ON A SUBSEQUENT FORM U-4 AS REQUIRED. PURSUANT TO SECTIONS 14.A(6) AND 23-1 OF THE SECURITIES ACT AN ORDER OF REPRIMAND IS ISSUED ALONG WITH AN ADMINISTRATIVE FINE OF \$750.00.

Regulator Statement

CONTACT: JOYCE MILLER (512) 305-8390

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Reporting Source:

Individual

Regulatory Action Initiated By:

TEXAS STATE SECURITIES BOARD

Sanction(s) Sought:

Other Sanction(s) Sought:

Date Initiated:

08/26/1997

Docket/Case Number:

CAF-1213

Employing firm when activity occurred which led to the regulatory action:

WALNUT STREET SECURITIES

Product Type:

Other Product Type(s):

Allegations:

NONDISCLOSURE OF A FELONY CHARGE NOT INVESTMENT RELATED, ON FORM U-4 WHEN AFFILIATED WITH WALNUT STREET SECURITIES IN 1989. NONDISCLOSURE OF SAID ON U-4 TO BECOME AGENT WITH FINANCIAL EDUCATION ASSOC. IN SEPTEMBER 23, 1996.

Current Status:

Final

Resolution:

Consent

Resolution Date:

08/26/1997

Sanctions Ordered:

Monetary/Fine \$750.00

Other Sanctions Ordered:

Sanction Details:

REGISTRATION GRANTED AND ADMINISTRATIVE FINE OF \$750.00 PAID.

Broker Statement

IT WAS THE STATES OPINION THAT I SHOULD HAVE DISCLOSED THE NONINVESTMENT RELATED FELONY CHARGE AGAINST ME IN 1989 ON MY U-4. NOTE THAT I HAVE NOT BEEN CONVICTED, PLEAD GUILTY OR NOLO CONTENDERE TO ANY FELONY. NOR HAVE I PLEAD GUILTY BEEN CONVICTED OF ANY OTHER FELONY OR MISDEMEANOR. THE STATE ADVISED ME THAT AN APPEAL WOULD TAKE 5 YRS AND I WOULD BE ADVISED TO PAY THE FINE OR I WOULD BE OUT OF BUSINESS IN TEXAS UNTIL THE APPEAL. I RELUCTANTLY AGREED. I HAD TO AGREE ON QUESTION 22B WITH PROTEST.



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

Reporting Source:	Individual
Court Details:	TEXAS STATE SECURITIES BOARD & SUN AMERICA CASE #0369944D
Charge Date:	03/28/1989
Charge Details:	INDECENCY - FONDING
Felony?	
Current Status:	Final
Status Date:	09/27/1994
Disposition Details:	NOT GUILTY
Broker Statement	THESE ALLEGATION WERE BROUGHT FORTH WHILE MY DAUGHTER WAS INSTITUTIONALIZED IN THE [REDACTED] INSTITUTE OF FORT WORTH, TX FOR [REDACTED] AND DRUG USAGE. THROUGH THE USE OF "RECOVERED MEMORY" THERAPY SHE CLAIMED SHE HAD BEEN FOUNDED BY ME. THE CASE WAS DISMISSAL BECAUSE THE POLYAGRAPH OF ME, AND OTHER EVIDENCE DID NOT SUPPORT THE ALLEGATIONS.



End of Report

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