IAPD Report

JOHNNY GLENN EMERSON

CRD# 1076825

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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

JOHNNY GLENN EMERSON (CRD# 1076825)

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 **10/29/2025**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	OSAIC WEALTH, INC.	CRD# 23131	11/02/2018
IA	OSAIC WEALTH, INC.	CRD# 23131	11/02/2018

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
IA	SIGNATOR INVESTORS, INC.	468	Edmond, OK	01/22/2018 - 11/02/2018
B	SIGNATOR INVESTORS, INC.	468	Edmond, OK	05/13/2016 - 11/02/2018
B	TRANSAMERICA FINANCIAL ADVISORS, INC	16164	OKLAHOMA CITY, OK	04/25/2001 - 05/13/2016

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
Termination	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 **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 Principal	Approved	11/02/2018
B	FINRA	General Securities Representative	Approved	11/02/2018
B	Arkansas	Agent	Approved	01/08/2020
B	California	Agent	Approved	11/02/2018
B	Colorado	Agent	Approved	11/02/2018
B	Florida	Agent	Approved	11/02/2018
B	Hawaii	Agent	Approved	01/03/2025
B	Oklahoma	Agent	Approved	11/02/2018
IA	Oklahoma	Investment Adviser Representative	Approved	11/02/2018
B	Texas	Agent	Approved	11/02/2018
IA	Texas	Investment Adviser Representative	Restricted Approval	01/11/2019

Branch Office Locations

OSAIC WEALTH, INC.

Qualifications

837 E 33RD STREET
Edmond, OK 73013

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, 3 general industry/product exams, and 2 state securities law exams.

Principal/Supervisory Exams

	Exam	Category	Date
B	General Securities Principal Examination (S24)	Series 24	10/09/1985

General Industry/Product Exams

	Exam	Category	Date
B	Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
B	General Securities Representative Examination (S7)	Series 7	05/18/1985
B	Investment Company Products/Variable Contracts Representative Examination (S6)	Series 6	10/20/1983

State Securities Law Exams

	Exam	Category	Date
IA	Uniform Investment Adviser Law Examination (S65)	Series 65	11/28/2017
B	Uniform Securities Agent State Law Examination (S63)	Series 63	06/19/1984

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
IA	01/22/2018 - 11/02/2018	SIGNATOR INVESTORS, INC.	CRD# 468	Edmond, OK
B	05/13/2016 - 11/02/2018	SIGNATOR INVESTORS, INC.	CRD# 468	Edmond, OK
B	04/25/2001 - 05/13/2016	TRANSAMERICA FINANCIAL ADVISORS, INC	CRD# 16164	OKLAHOMA CITY, OK
B	02/25/1997 - 04/27/2001	LIFEMARK SECURITIES CORP.	CRD# 16204	ROCHESTER, NY
B	04/30/1990 - 08/29/1997	HARTFORD EQUITY SALES COMPANY INC.	CRD# 6604	HARTFORD, CT
B	08/29/1988 - 12/31/1989	CNA INVESTOR SERVICES, INC.	CRD# 7360	PLANO, TX
B	06/28/1985 - 05/21/1987	HERITAGE-PARK SECURITIES, LTD.	CRD# 10124	
B	10/24/1983 - 07/15/1985	MUTUAL BENEFIT FINANCIAL SERVICE COMPANY	CRD# 4882	

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
11/2018 - Present	ROYAL ALLIANCE ASSOCIATES, INC.	Registered Rep	Y	Edmond, OK, United States
05/2016 - 11/2018	SIGNATOR INVESTORS, INC.	Reg Rep	Y	OKLAHOMA CITY, OK, United States

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. MID-AMERICA MARKETING CORP./ DBA EMERSON AND COMPANY
POSITION: President 100% owner NATURE: Corporation/ INVESTMENT RELATED: Yes NUMBER OF HOURS: 200
SECURITIES TRADING HOURS: 200 START DATE: 02/11/1999
ADDRESS: 837 Ease 33rd Street, Edmond OK 73013, United States
DESCRIPTION: President 100 % stock holder / Runs Company

Registration & Employment History

OTHER BUSINESS ACTIVITIES

2. EMERSON AND COMPANY
POSITION: Financial, Insurance, And Investment Services NATURE: Sole Proprietorship INVESTMENT RELATED: Yes
NUMBER OF HOURS: 160 SECURITIES TRADING HOURS: 160 START DATE: 02/02/1984
ADDRESS: 837 East 33 rd Street, Edmond OK 73013, United States
DESCRIPTION: Sales/marketing of securities, investment advisory and insurance products

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
Termination	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:	NATIONAL ASSOCIATION OF SECURITIES DEALERS, INC.
Sanction(s) Sought:	
Other Sanction(s) Sought:	
Date Initiated:	10/07/1986
Docket/Case Number:	KC373
Employing firm when activity occurred which led to the regulatory action:	HERITAGE PARK SECURITIES L.T.D.
Product Type:	
Other Product Type(s):	
Allegations:	
Current Status:	Final
Resolution:	Decision & Order of Offer of Settlement
Resolution Date:	06/16/1987
Sanctions Ordered:	Censure Monetary/Fine $500.00
Other Sanctions Ordered:	
Sanction Details:	

Regulator Statement	COMPLAINT NO. KC-373 FILED OCTOBER 7, 1986, BY DISTRICT NO. 4 AGAINST RESPONDENTS HERITAGE-PARK SECURITIES, LTD. AND JOHN G. EMERSON ALLEGING VIOLATIONS OF ARTICLE III, SECTION 1 OF THE RULES OF FAIR PRACTICE IN THAT RESPONDENT MEMBER, ACTING THROUGH RESPONDENT EMERSON, FAILED TO RESPOND TO THE ASSOCIATION'S FORMAL WRITTEN REQUESTS FOR INFORMATION MADE PURSUANT TO ARTICLE IV, SECTION 5 OF THE RULES OF FAIR PRACTICE. DECISION RENDERED JUNE 16, 1987, WHEREIN THE OFFER OF SETTLEMENT SUBMITTED BY THE RESPONDENTS WAS ACCEPTED; THEREFORE, THEY ARE CENSURED AND FINED $500.00, JOINTLY AND SEVERALLY. ************ $500.00 FINE & COST PAID 11/17/87 *****************

Reporting Source:	Individual
Regulatory Action Initiated By:	NASD DISTRICT 4
Sanction(s) Sought:	Censure
Other Sanction(s) Sought:	
Date Initiated:	10/07/1986
Docket/Case Number:	KC373
Employing firm when activity occurred which led to the regulatory action:	HERITAGE PARK SECURITIES L.T.D.
Product Type:	Other
Other Product Type(s):	NO PRODUCT
Allegations:	I WAS THE PRINCIPAL OF HERITAGE PARK SECURITIES AND WHEN I SOLD THE FIRM THE MONTHLY REPORT WAS NOT FILED ON TIME AND THAT'S THE COMPLAINT I WAS THE PRINCIPAL SO IT'S ON MY RECORD.
Current Status:	Final
Resolution:	Decision & Order of Offer of Settlement
Resolution Date:	06/16/1987
Sanctions Ordered:	Censure Monetary/Fine $500.00
Other Sanctions Ordered:	
Sanction Details:	FINE OF $500 PAID 11/17/87. WHEN I WAS IN PROCESS OF SELLING MY OWN BROKER DEALER AND THE NEW OWNERS FAILED TO GET A MONTHLY REPORT "FOCUS REPORT" THE FINANCIAL STATEMENT REQUIRED TO BE FILED EACH MONTH IT WAS LATE DURING THE TRANSFER, THEY PAID THE 500.00 FINE BECAUSE IT WAS THEIR FAULT, "BUT ON MY RECORD BECAUSE I WAS THE PRINCIPAL.
Broker Statement	I COULD OF WENT TO A HEARING AND PROTESTED THE 500.00 FINE FOR THE MONTLY REPORT. THE 500.00 FINE WAS A STANDARD FINE AND I DID NOT THINK I WOULD ACCOMPLISH ANYTHING BY GOING TO KANSAS CITY BUT FRUSTRATION AND WHEN THE COMPANY PURCHASING MY BROKER DEALER SAID THEY WOULD PAY BECAUSE THEY DROPED THE BALL I LEFT

THEM.

Termination

This disclosure event involves a situation where the Investment Adviser Representative voluntarily resigned, was discharged or was permitted to resign after allegations were made that accused the Investment Adviser Representative of violating investment-related statutes, regulations, rules or industry standards of conduct; fraud or the wrongful taking of property; or failure to supervise in connection with investment-related statutes, regulations, rules or industry standards of conduct.

Disclosure 1 of 1

Reporting Source:	Individual
Firm Name:	LIFEMARK SECURITIES
Termination Type:	Voluntary Resignation
Termination Date:	04/25/2001
Allegations:	THAT I DID NOT FOLLOW THEIR PROCEDURES
Product Type:	Other
Other Product Types:	NONE
Broker Statement	I RESIGNED 4/25/01 AND I FOUND OUT LATER THAT THEY ARE BEING AUDITED BY THE S.E.C. THEY CALLED ME LATER IN THE DAY AND TOLD ME IF I WAITED EVERYTHING WOULD BE O.K. I DID NOT KNOW ABOUT THEIR AUDIT BUT WAS IN THE PLANNING STAGE TO LEAVE THEM FOR MONTHS. THEY WARNED THAT THEY WOULD PUT IN THE RECORDS THAT I WAS TERMINATED FOR CAUSE AND AS USUAL NOW THIS TOO IS IN THE COMPUTER IN THE SKY AND WE ALL GET TO SPEND HRS. DOING REPORTS. THEY SAY I DID NOT FOLLOW THEIR PROCEDURES FOR PAPERWORK.

End of Report

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