



IAPD Report

JOHN DANIEL SABIO SR

CRD# 1133964

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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

JOHN DANIEL SABIO SR (CRD# 1133964)

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 **06/17/2024**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	OSAIC WEALTH, INC.	CRD# 23131	06/14/2024
IA	OSAIC WEALTH, INC.	CRD# 23131	06/14/2024

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **4** 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	SECURITIES AMERICA ADVISORS, INC.	110518	ST LOUIS, MO	09/18/2020 - 06/14/2024
B	SECURITIES AMERICA, INC.	10205	ST LOUIS, MO	09/18/2020 - 06/14/2024
IA	SSN ADVISORY, INC.	126090	ST. LOUIS, MO	07/28/2004 - 09/18/2020

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	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 **4** 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	06/14/2024
B	FINRA	General Securities Representative	Approved	06/14/2024
B	Florida	Agent	Approved	06/14/2024
B	Illinois	Agent	Approved	06/14/2024
B	Missouri	Agent	Approved	06/14/2024
IA	Missouri	Investment Adviser Representative	Approved	06/14/2024
B	Ohio	Agent	Approved	06/14/2024

Branch Office Locations

OSAIC WEALTH, INC.
ST LOUIS, MO



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, 2 general industry/product exams, and 1 state securities law exam.

Principal/Supervisory Exams

	Exam	Category	Date
B	General Securities Principal Examination (S24)	Series 24	02/09/1998

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	10/15/1983

State Securities Law Exams

	Exam	Category	Date
B	Uniform Securities Agent State Law Examination (S63)	Series 63	09/23/1983



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
IA	09/18/2020 - 06/14/2024	SECURITIES AMERICA ADVISORS, INC.	CRD# 110518	ST LOUIS, MO
B	09/18/2020 - 06/14/2024	SECURITIES AMERICA, INC.	CRD# 10205	ST LOUIS, MO
IA	07/28/2004 - 09/18/2020	SSN ADVISORY, INC.	CRD# 126090	ST. LOUIS, MO
B	06/23/2004 - 09/18/2020	SECURITIES SERVICE NETWORK, LLC	CRD# 13318	ST LOUIS, MO
IA	10/16/2003 - 06/25/2004	METLIFE SECURITIES INC.	CRD# 14251	CHESTERFIRLD, MO
B	10/15/2003 - 06/25/2004	METLIFE SECURITIES INC.	CRD# 14251	SPRINGFIELD, MA
B	10/15/2003 - 06/25/2004	METROPOLITAN LIFE INSURANCE COMPANY	CRD# 4095	NEW YORK, NY
IA	11/15/2001 - 10/10/2003	PINES FINANCIAL GROUP, INC.	CRD# 108446	ST. LOUIS, MO
IA	11/17/1999 - 10/10/2003	ROYAL ALLIANCE ASSOCIATES, INC.	CRD# 23131	ST. LOUIS, MO
B	11/19/1989 - 10/10/2003	ROYAL ALLIANCE ASSOCIATES, INC.	CRD# 23131	SCOTTSDALE, AZ
B	01/09/1987 - 11/19/1989	INTEGRATED RESOURCES EQUITY CORPORATION	CRD# 6403	
B	01/29/1985 - 01/19/1987	PLANVEST CAPITAL CORPORATION	CRD# 14849	
B	10/20/1983 - 02/19/1985	EQUITEC SECURITIES COMPANY	CRD# 6463	

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
06/2024 - Present	OSAIC WEALTH, INC.	Mass Transfer	Y	ST LOUIS, MO, United States



Registration & Employment History



EMPLOYMENT HISTORY

Employment Dates	Employer Name	Position	Investment Related	Employer Location
06/2024 - Present	OSAIC WEALTH, INC.	Mass Transfer	Y	ST LOUIS, MO, United States
09/2020 - 06/2024	SECURITIES AMERICA ADVISORS, INC.	IAR	Y	ST. LOUIS, MO, United States
09/2020 - 06/2024	SECURITIES AMERICA, INC.	REGISTERED REP	Y	ST. LOUIS, MO, United States
07/2004 - 09/2020	SSN ADVISORY, INC.	INVESTMENT ADVISOR REPRESENTATIVE	Y	CHESTERFIELD, MO, United States
06/2004 - 09/2020	SECURITIES SERVICE NETWORK	REGISTERED REP	Y	CHESTERFIELD, MO, 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.

***EXECUTIVE ADVISORY BOARD, CHAEFITZ SCHOOL OF BUSINESS, ST LOUIS UNIVERSITY

POSITION: board member NATURE: Executive Advisory Board, Chaefitz School of Business, St Louis University INVESTMENT RELATED: No NUMBER OF HOURS: 1 SECURITIES TRADING HOURS: 0 START DATE: 01/01/2001

ADDRESS: 3674 Lindell Blvd, Saint Louis MO 63108, United States

DESCRIPTION: Provide opinions and insight into various issues related to the school of business

***COPIA ENTERPRISES, LLC

POSITION: I oversee the management of the building NATURE: My wife's medical building INVESTMENT RELATED: Yes NUMBER OF HOURS: 1 SECURITIES TRADING HOURS: 0 START DATE: 01/01/2006

ADDRESS: 105 Bellerosa Drive, St Louis MO 63122, United States

DESCRIPTION: Copia Enterprise LLC was formed originally to assemble property to build a medical building for my wife's medical practice. It is now 63.5% owner of Kirkwood Office Property, LLC which holds the medical building asset.

***SABIO FINANCIAL & INSURANCE SERVICES, LLC

POSITION: Agent NATURE: Sabio Financial & Insurance Services, LLC

Life, Health, and Disability Insurance INVESTMENT RELATED: No NUMBER OF HOURS: 80 SECURITIES TRADING HOURS: 40 START DATE: 08/01/2002

ADDRESS: 105 Bellerosa Drive, St Louis MO 63122, United States

DESCRIPTION: Market and service life, health, long-term care and disability insurance

***SAA ADVISORY

POSITION: registered representative NATURE: SAA Advisory INVESTMENT RELATED: Yes NUMBER OF HOURS: 40 SECURITIES TRADING HOURS: 40 START DATE: 08/01/2002

ADDRESS: 105 Bellerosa Drive, St Louis MO 63122, United States

DESCRIPTION: Use third-party money management services

***SABIO FINANCIAL & INSURANCE SERVICES

POSITION: Insurance agent NATURE: Life, Disability and Health insurance sales INVESTMENT RELATED: No NUMBER OF



Registration & Employment History



OTHER BUSINESS ACTIVITIES

HOURS: 80 SECURITIES TRADING HOURS: 40 START DATE: 08/01/2002

ADDRESS: 105 Bellerosa Drive, St Louis MO 63122, United States

DESCRIPTION: Life, Disability and health insurance sales and service

***DBA - Sabio Financial & Insurance Services, LLC



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	1

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 1

Reporting Source:	Firm
Employing firm when activities occurred which led to the complaint:	ROYAL ALLIANCE ASSOCIATES, INC.
Allegations:	ARBITRATION CLAIM ALLEGES UNSUITABLE MUTUAL FUND PORTFOLIO, MISREPRESENTATION, BREACH OF FIDUCIARY DUTY, UNAUTHORIZED TRADING FROM 1999.
Product Type:	Mutual Fund(s)
Alleged Damages:	\$300,000.00

Customer Complaint Information

Date Complaint Received:	08/05/2004
Complaint Pending?	No
Status:	Arbitration/Reparation
Status Date:	06/08/2005
Settlement Amount:	

Individual Contribution Amount:

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.:	NASD NO. 05-00509
Date Notice/Process Served:	02/16/2005



Arbitration Pending?	No
Disposition:	Settled
Disposition Date:	06/08/2005
Monetary Compensation Amount:	\$21,000.00
Individual Contribution Amount:	\$0.00

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Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	ROYAL ALLIANCE
Allegations:	ARBITRATION CLAIM ALLEGES UNSUITABLE MUTUAL FUND PORTFOLIO, MISREPRESENTATION, BREACH OF FUDICIARY DUTY, UNAUTHORIZED TRADING FROM 1999.
Product Type:	Mutual Fund(s)
Alleged Damages:	\$300,000.00

Customer Complaint Information

Date Complaint Received:	08/05/2004
Complaint Pending?	No
Status:	Arbitration/Reparation
Status Date:	06/08/2005
Settlement Amount:	
Individual Contribution Amount:	

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.:	NASD NO. 05-00509
Date Notice/Process Served:	02/16/2005
Arbitration Pending?	No
Disposition:	Settled
Disposition Date:	06/08/2005
Monetary Compensation Amount:	\$21,000.00
Individual Contribution Amount:	\$0.00



End of Report

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