



IAPD Report

FRANK BRISENO III

CRD# 1177246

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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

FRANK BRISENO III (CRD# 1177246)

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 **09/24/2024**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	OSAIC WEALTH, INC.	CRD# 23131	11/03/2023
IA	OSAIC WEALTH, INC.	CRD# 23131	11/03/2023

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **12** 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	FSC SECURITIES CORPORATION	7461	METAIRIE, LA	07/15/2004 - 11/03/2023
B	FSC SECURITIES CORPORATION	7461	METAIRIE, LA	01/07/2004 - 11/03/2023
B	INTERSECURITIES, INC.	16164	PHILADELPHIA, PA	06/19/1995 - 01/09/2004

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?

No



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 **12** 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	11/03/2023
B	FINRA	General Securities Representative	Approved	11/03/2023
B	Alabama	Agent	Approved	11/03/2023
B	Arkansas	Agent	Approved	11/03/2023
B	California	Agent	Approved	11/03/2023
B	Colorado	Agent	Approved	11/03/2023
B	Florida	Agent	Approved	11/03/2023
IA	Florida	Investment Adviser Representative	Approved	09/25/2024
B	Georgia	Agent	Approved	11/03/2023
IA	Georgia	Investment Adviser Representative	Approved	11/03/2023
B	Louisiana	Agent	Approved	11/03/2023
IA	Louisiana	Investment Adviser Representative	Approved	11/03/2023
B	Michigan	Agent	Approved	11/03/2023



Qualifications

	Regulator	Registration	Status	Date
B	Mississippi	Agent	Approved	11/03/2023
IA	Mississippi	Investment Adviser Representative	Approved	11/03/2023
B	Tennessee	Agent	Approved	11/03/2023
B	Texas	Agent	Approved	11/03/2023
IA	Texas	Investment Adviser Representative	Restricted Approval	11/03/2023
B	Virginia	Agent	Approved	11/03/2023

Branch Office Locations

OSAIC WEALTH, INC.
414 CLEARVIEW PKWY
METAIRIE, LA 70001




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 2 state securities law exams.



Principal/Supervisory Exams

Exam	Category	Date
 General Securities Principal Examination (S24)	Series 24	04/22/1998

General Industry/Product Exams

Exam	Category	Date
 Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
 General Securities Representative Examination (S7)	Series 7	08/20/1983

State Securities Law Exams

Exam	Category	Date
 Uniform Investment Adviser Law Examination (S65)	Series 65	04/13/2004
 Uniform Securities Agent State Law Examination (S63)	Series 63	08/25/1983

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	07/15/2004 - 11/03/2023	FSC SECURITIES CORPORATION	CRD# 7461	METAIRIE, LA
B	01/07/2004 - 11/03/2023	FSC SECURITIES CORPORATION	CRD# 7461	METAIRIE, LA
B	06/19/1995 - 01/09/2004	INTERSECURITIES, INC.	CRD# 16164	PHILADELPHIA, PA
B	04/18/1994 - 06/19/1995	DEAN WITTER REYNOLDS INC.	CRD# 7556	PURCHASE, NY
B	04/01/1991 - 04/20/1994	INTERSECURITIES, INC.	CRD# 16164	PHILADELPHIA, PA
B	03/20/1989 - 04/01/1991	PW SECURITIES, INC.	CRD# 6775	
B	09/19/1983 - 03/15/1989	DEAN WITTER REYNOLDS INC.	CRD# 7556	PURCHASE, 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
11/2023 - Present	OSAIC WEALTH, INC.	Mass Transfer	Y	METAIRIE, LA, United States
01/2004 - 11/2023	FSC SECURITIES CORPORATION	REGISTERED REPRESENTATIVE	Y	METAIRIE, LA, 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. INSURANCE

POSITION: owner NATURE: Insurance agent INVESTMENT RELATED: Yes NUMBER OF HOURS: 20 SECURITIES TRADING HOURS: 20 START DATE: 01/01/1984 ADDRESS: 414 Clearview Pkwy, Metairie LA 70001, United States DESCRIPTION: Insurance sales

2. BRISENO INVESTMENTS LLC

POSITION: Partner - NATURE: Limited Liability Company - INVESTMENT RELATED: No NUMBER OF HOURS: 3 SECURITIES TRADING HOURS: 0 START DATE: 01/01/2005 ADDRESS: 381 Carr Dr, Slidell LA 70458, United States



Registration & Employment History



OTHER BUSINESS ACTIVITIES

DESCRIPTION: Owner of a small office building.



End of Report

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