User Guidance

www.adviserinfo.sec.gov

IAPD Report

REGINALD JACKSON

CRD# 1188872

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

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Report Summary

REGINALD JACKSON (CRD# 1188872)

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 **02/01/2024**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	OSAIC WEALTH, INC.	CRD# 23131	02/27/2003
IA	NWF ADVISORY SERVICES INC	CRD# 110410	04/01/2003
IA	OSAIC WEALTH, INC.	CRD# 23131	03/16/2004

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **14** 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	ARROWHEAD INVESTMENT CENTER, LLC	41435	SAN BERNARDINO, CA	03/06/2002 - 02/27/2003
B	MULTI-FINANCIAL SECURITIES CORPORATION	10299	GREENWOOD VILLAGE, CO	11/04/1998 - 02/08/2002
B	LINSCO/PRIVATE LEDGER CORP.	6413	FORT MILL, SC	03/24/1998 - 10/19/1998

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

Employment 1 of 2

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	02/27/2003
B	Alaska	Agent	Approved	02/28/2003
B	Arizona	Agent	Approved	02/27/2003
B	California	Agent	Approved	02/27/2003
IA	California	Investment Adviser Representative	Approved	03/16/2004
B	Colorado	Agent	Approved	04/23/2007
B	Idaho	Agent	Approved	02/27/2003
IA	Idaho	Investment Adviser Representative	Approved	02/04/2009
B	Indiana	Agent	Approved	02/05/2024
B	Louisiana	Agent	Approved	02/27/2003
IA	Louisiana	Investment Adviser Representative	Approved	04/07/2009
B	Missouri	Agent	Approved	11/28/2012
B	Nevada	Agent	Approved	02/27/2003

Qualifications

	Regulator	Registration	Status	Date
B	Oregon	Agent	Approved	02/27/2003
B	Pennsylvania	Agent	Approved	05/24/2004
B	Tennessee	Agent	Approved	04/26/2023
B	Utah	Agent	Approved	06/30/2003
IA	Utah	Investment Adviser Representative	Approved	02/12/2009
B	Washington	Agent	Approved	05/30/2003
IA	Washington	Investment Adviser Representative	Approved	02/02/2009

Branch Office Locations

OSAIC WEALTH, INC.
1710 PLUM LANE
SUITE E
REDLANDS, CA 92374

Employment 2 of 2

Firm Name: **NWF ADVISORY SERVICES INC**

Main Address: 11835 W OLYMPIC BLVD
STE 1155 E.
LOS ANGELES, CA 90064

Firm ID#: 110410

	Regulator	Registration	Status	Date
IA	California	Investment Adviser Representative	Approved	04/01/2003

Branch Office Locations

NWF ADVISORY SERVICES INC
127 E STATE STREET
REDLANDS, CA 92373

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 2 state securities law exams.

Principal/Supervisory Exams

Exam	Category	Date
No information reported.		

General Industry/Product Exams

	Exam	Category	Date
B	Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
B	National Commodity Futures Examination (S3)	Series 3	12/28/1987
B	General Securities Representative Examination (S7)	Series 7	09/17/1983

State Securities Law Exams

	Exam	Category	Date
IA	Uniform Investment Adviser Law Examination (S65)	Series 65	10/08/1997
B	Uniform Securities Agent State Law Examination (S63)	Series 63	10/06/1983

PROFESSIONAL DESIGNATIONS

This section details that the representative has reported **1** professional designation(s).

Certified Financial Planner

This representative holds or did hold **1** professional designation(s) that may have been used to qualify as an Investment Advisor representative. Please check with the appropriate designation authority for verification that the designation is still in effect. The contact information for these professional designation authorities can be found on the website for the North American Securities Administrators Association at http://www.nasaa.org

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	03/06/2002 - 02/27/2003	ARROWHEAD INVESTMENT CENTER, LLC	CRD# 41435	SAN BERNARDINO, CA
B	11/04/1998 - 02/08/2002	MULTI-FINANCIAL SECURITIES CORPORATION	CRD# 10299	GREENWOOD VILLAGE
B	03/24/1998 - 10/19/1998	LINSCO/PRIVATE LEDGER CORP.	CRD# 6413	FORT MILL, SC
B	06/03/1992 - 03/16/1998	BA INVESTMENT SERVICES, INC.	CRD# 12965	OAKLAND, CA
B	08/02/1988 - 06/30/1992	GNA SECURITIES, INC.	CRD# 10465	GLEN ALLEN, VA
B	05/02/1986 - 06/22/1988	SHEARSON LEHMAN HUTTON INC.	CRD# 7506	
B	09/23/1983 - 05/01/1986	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	CRD# 7691	

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
10/2012 - Present	WILDS VETERINARY HOSPITAL	OPERATOR/OWNER	N	RIVERSIDE, CA, United States
02/2005 - Present	NWF ADVISORY SERVICES, INC.	INVESTMENT ADVISER REPRESENTATIVE	Y	LOS ANGELES, CA, United States
03/2003 - Present	Reginald Jackson	Agent	Y	Redlands, CA, United States
02/2003 - Present	OSAIC WEALTH INC	REGISTERED REP.	Y	REDLANDS, CA, 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. NWF ADVISORY SERVICES.

Registration & Employment History

OTHER BUSINESS ACTIVITIES

POSITION: Other - RR works with team of advisors. NATURE: sole proprietorship. - INVESTMENT RELATED: Yes, NUMBER OF HOURS: 35 SECURITIES TRADING HOURS: 130 START DATE: 02/17/2003
ADDRESS: 11835 West Olympic Blvd., Suite 1155E, Los Angeles CA 90064, United States
DESCRIPTION: Work with team of advisors to manage client assets.

2. THE UNFORGETABLES FOUNDATION NON-PROFIT
POSITION: Board Member NATURE: Non - Profit INVESTMENT RELATED: No NUMBER OF HOURS: 4 SECURITIES TRADING HOURS: 0 START DATE: 04/01/2020
ADDRESS: 345 Pearl Drive #230, Redlands CA 92374, United States
DESCRIPTION: To review board information material and fund-raising events.

3. LIVING SYSTEMS HEALTH
POSITION: Board Member NATURE: Non-Profit INVESTMENT RELATED: No NUMBER OF HOURS: 5 SECURITIES TRADING HOURS: 4 START DATE: 04/01/2020
ADDRESS: 13677 Oak Mesa Drive, Yucaipa CA 92399, United States
DESCRIPTION: Share and communicate w/board members: ideas, thoughts, methods etc. to promote an holistic, healthy lifestyle.

4. REGINALD JACKSON
POSITION: Agent NATURE: Sole Prop. INVESTMENT RELATED: Yes, NUMBER OF HOURS: 25 SECURITIES TRADING HOURS: 25 START DATE: 03/20/2003
ADDRESS: 1710 Plum Lane, Suite E, Redlands CA 92354, United States
DESCRIPTION: Communicate w/providers and consult w/clients about the product(s) details that fit their needs.

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:	MERRILL LYNCH
Allegations:	
Product Type:	
Alleged Damages:	$27,000.00

Customer Complaint Information

Date Complaint Received:	12/06/1985
Complaint Pending?	No
Status:	Settled
Status Date:	08/01/1996
Settlement Amount:	$14,000.00
Individual Contribution Amount:	
Firm Statement	CLAIMANT [CUSTOMER] SOUGHT $27,000.00 IN DAMAGES FOR UNAUTHORIZED TRADING, UNSUITABLE TRADING AND CHURNING, INVOLVING BOTH STOCKS AND OPTIONS. CLAIMANT DENIED THE ACCURACY OF THE FINANCIAL INFORMATION STATED IN HER OPTIONS AGREEMENT AS PART OF HER CLAIM. [CUSTOMER] ALSO ALLEGED THAT SHE HAD WRITTEN TO MERRILL LYNCH TO PROTEST THE TRADING IN HER

ACCOUNT BUT RESPONDENTS HAD NO RECORD OF SUCH LETTER. JACKSON
STRENOUSLY DENIED THE ALEGATIONS. FURTHER, A SUBSEQUENT LETTER
MAKES NO REFERENCE TO THE ALLEGED FIRST LETTER. NO COMPLAINTS
WERE RECEIVED BY THE FIRM ABOUT [CUSTOMER'S] ACCOUNT UNTIL AFTER
ANOTHER CUSTOMER OF JACKSON HAD NEGOTIATED A SETTLEMENT OF AN
UNRELATED ITEM.

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	MERRILL LYNCH
Allegations:	CLAIMANT STATED THEY WERE UNAWARE OF TRADES. CLIENT LOS APPX $18,000 FROM STOCK AND OPTIONS TRADING WITHIN 3-5 MONTHS. CLIENT ALLEGED TRADES WERE NOT CLEARED THROUGH HER, THOUGH THEY (TRADES) WERE.
Product Type:	Options
Other Product Type(s):	STOCKS
Alleged Damages:	$27,000.00

Customer Complaint Information

Date Complaint Received:	12/06/1985
Complaint Pending?	No
Status:	Settled
Status Date:	08/01/1996
Settlement Amount:	$14,000.00
Individual Contribution Amount:	$0.00
Broker Statement	NO FINE, PENALTY, NOR CENSURE WAS ASSESSED ME. MERRILL & CUSTOMER SETTLED FOR APPX $14,000. CLAIMANT [CUSTOMER] SOUGHT $27,000.00 IN DAMAGES FOR UNAUTHORIZED TRADING AND CHURNING, INVOLVING BOTH STOCKS AND OPTIONS. CLAIMANT DENIED THE ACCURACY OF THE FINANCIAL INFORMATION STATED IN HER OPTIONS AGREEMENT AS PART OF HER CLAIM. [CUSTOMER] ALSO ALLEGED THAT SHE HAD WRITTEN TO MERRILL LYNCH TO PROTEST THE TRADING IN HER ACCOUNT BUT RESPONDENTS HAD NO RECORD OF SUCH LETTER. MR. JACKSON STRENOUSLY DENIES THE ALLEGATIONS. FURHTER, A SUBSEQUENT LETTER MAKES NO REFERENCE TO THE ALLEGED FIRST LETTER. NO COMPLAINTS WERE RECEIVED BY THE FIRM ABOUT [CUSTOMER'S] ACCOUNT UNTIL AFTER ANOTHER CUSTOMER OF JACKSON HAD NEGOTIATED A SETTLEMENT OF AN UNRELATED ITEM. DURING AN APPROXIMATE PERIOD OF SIX MO. CLIENT AUTHORIZED TRADES SOLICITED BY ME. TRADES WERE AGGRESSIVE, BUT CLIENT HAD FULL DISCLOSURE OF RISKS INVOLVED. DURING THIS PERIOD THE ACCOUNT LOS $16-18,000 DOLLARS IN REALIZED LOSSES. CLIENT CLAIMED THEY WERE UNAWARE OF ANY TRANSACTONS IN ACCT. MERRILL LYNCH SETTLED THE COMPLAINT FOR APPROX $12-13,000.

End of Report

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