



IAPD Report

GLEN EDWARD HOLMES

CRD# 1245565

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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

GLEN EDWARD HOLMES (CRD# 1245565)

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 **02/27/2026**.

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 **27** 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	GROVE CITY, OH	02/01/2018 - 11/03/2023
B	FSC SECURITIES CORPORATION	7461	GROVE CITY, OH	01/31/2018 - 11/03/2023
IA	H. BECK, INC.	1763	GROVE CITY, OH	03/01/2010 - 01/31/2018

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	2



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 **27** 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 Representative	Approved	11/03/2023
B Alabama	Agent	Approved	11/03/2023
B Arizona	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	11/03/2023
B Georgia	Agent	Approved	11/03/2023
B Illinois	Agent	Approved	11/03/2023
B Indiana	Agent	Approved	11/03/2023
B Iowa	Agent	Approved	11/03/2023
B Maine	Agent	Approved	11/03/2023
B Maryland	Agent	Approved	12/19/2024



Qualifications

Regulator	Registration	Status	Date
B Massachusetts	Agent	Approved	09/22/2025
B Michigan	Agent	Approved	11/03/2023
B Minnesota	Agent	Approved	11/03/2023
B Mississippi	Agent	Approved	06/27/2025
B Montana	Agent	Approved	01/29/2025
B New Mexico	Agent	Approved	11/03/2023
B New York	Agent	Approved	11/03/2023
B North Carolina	Agent	Approved	11/03/2023
B Ohio	Agent	Approved	11/03/2023
IA Ohio	Investment Adviser Representative	Approved	11/03/2023
B Pennsylvania	Agent	Approved	11/03/2023
B South Carolina	Agent	Approved	11/03/2023
B Tennessee	Agent	Approved	02/24/2025
B Texas	Agent	Approved	11/03/2023
IA Texas	Investment Adviser Representative	Restricted Approval	11/03/2023
B Virginia	Agent	Approved	05/28/2025
B Washington	Agent	Approved	11/03/2023
B West Virginia	Agent	Approved	11/03/2023



Qualifications

Branch Office Locations

OSAIC WEALTH, INC.
3902 BROADWAY
GROVE CITY, OH 43123



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

Principal/Supervisory Exams

Exam	Category	Date
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No information reported.

General Industry/Product Exams

Exam	Category	Date
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Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
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General Securities Representative Examination (S7)	Series 7	05/19/1984
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State Securities Law Exams

Exam	Category	Date
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Uniform Securities Agent State Law Examination (S63)	Series 63	08/20/1984
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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	02/01/2018 - 11/03/2023	FSC SECURITIES CORPORATION	CRD# 7461	GROVE CITY, OH
B	01/31/2018 - 11/03/2023	FSC SECURITIES CORPORATION	CRD# 7461	GROVE CITY, OH
IA	03/01/2010 - 01/31/2018	H. BECK, INC.	CRD# 1763	GROVE CITY, OH
B	02/23/2010 - 01/31/2018	H. BECK, INC.	CRD# 1763	GROVE CITY, OH
IA	12/21/2005 - 02/24/2010	FSC SECURITIES CORPORATION	CRD# 7461	GROVE CITY, OH
B	06/27/2005 - 02/24/2010	FSC SECURITIES CORPORATION	CRD# 7461	GROVE CITY, OH
B	05/13/2005 - 05/23/2005	FSC SECURITIES CORPORATION	CRD# 7461	ATLANTA, GA
IA	09/18/1999 - 05/11/2005	AMERICAN EXPRESS FINANCIAL ADVISORS, INC.	CRD# 6363	GROVE CITY, OH
B	05/08/1990 - 05/11/2005	AMERICAN EXPRESS FINANCIAL ADVISORS INC.	CRD# 6363	MINNEAPOLIS, MN
B	05/08/1990 - 05/11/2005	IDS LIFE INSURANCE COMPANY	CRD# 6321	MINNEAPOLIS, MN
B	08/01/1988 - 12/17/1988	INTEGRATED RESOURCES INVESTMENT CENTERS, INC.	CRD# 14338	
B	01/21/1988 - 09/07/1988	H.D. VEST INVESTMENT SECURITIES, INC.	CRD# 13686	
B	10/21/1985 - 12/04/1987	PRUDENTIAL-BACHE SECURITIES INC.	CRD# 7471	
B	10/01/1985 - 11/12/1985	GRUNTAL & CO. INCORPORATED	CRD# 372	
B	06/03/1985 - 10/01/1985	HERZFELD & STERN INC.	CRD# 406	
B	05/23/1984 - 06/07/1985	BLINDER, ROBINSON & CO.,INC.	CRD# 5096	



Registration & Employment History

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.	REGISTERED REPRESENTATIVE	Y	GROVE CITY, OH, United States
05/2007 - Present	HOLMES & WELSHEIMER LLC	INSURANCE AGENCY	N	GROVE CITY, OH, United States
05/2005 - Present	HOLMES MANAGEMENT LLC.	INSURANCE AGENT	Y	GROVE CITY, OH, United States
01/2017 - 11/2023	FSC SECURITIES CORP	REGISTERED REP	Y	ATLANTA, GA, United States
02/2010 - 01/2017	H.BECK, INC.	REGISTERED REP	Y	ROCKVILLE, MD, 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. HOLMES MANAGEMENT LLC - PRESIDENT
 POSITION: MEMBER NATURE: INSURANCE SALES INVESTMENT RELATED: YES HOURS: 10 INVESTMENT RELATED HOURS: 10 START DATE: 05/15/2005
 ADDRESS: 3902 BROADWAY, GROVE CITY OH 43123
 DESCRIPTION: PRESIDENT OVERSEEING ADMINISTRATION AND MANAGEMENT

2. I OWN A INDIVIDUAL SINGLE FAMILY HOME WHICH I RENT OUT.
 POSITION: OWNER /LAND LORD NATURE: BUSINESS, MARKETING, OTHER INVESTMENT RELATED: YES HOURS: 1 INVESTMENT RELATED HOURS: 0 START DATE: 04/07/2009
 ADDRESS: 2659 REGINA AVE, COLUMBUS OH 43202
 DESCRIPTION: COLLECT RENT

3. HOLMES MANAGEMENT LLC INSURANCE AGENCY
 POSITION: INSURANCE AGENT NATURE: INSURANCE SALES INVESTMENT RELATED: YES NUMBER OF HOURS: 60 INVESTMENT RELATED HOURS: 30 START DATE: 05/15/2005
 ADDRESS: 3902 BROADWAY, GROVE CITY OH 43123
 DESCRIPTION: THE AGENCY PROVIDES CLIENTS WITH INSURANCE QUOTES AND INSURANCE CONSULTING SERVICE.

4. GLEN E. HOLMES
 POSITION: Owner NATURE: Other OBA INVESTMENT RELATED: Yes NUMBER OF HOURS: 1 SECURITIES TRADING HOURS: 1 START DATE: 12/15/2005
 ADDRESS: 3902 Broadway, Grove City OH 43123
 DESCRIPTION: Manage overall maintenance

5. HOLMES MANAGEMENT LLC.
 POSITION: President NATURE: Insurance sales investment related: INVESTMENT RELATED: Yes NUMBER OF HOURS: 10 SECURITIES TRADING HOURS: 20 START DATE: 03/31/2002



Registration & Employment History



OTHER BUSINESS ACTIVITIES

ADDRESS: 3902 Broadway, Grove City OH 43123, United States

DESCRIPTION: Evaluate various forms of insurance to provide risk transfer to an insurer. Life, Long term care, disability and health insurance. Holmes Management provides economic & investment research to me personally. Personal responsibilities - Overseeing administration and management

6. HOLMES MANAGEMENT LLC.

POSITION: President NATURE: Limited Liability Company INVESTMENT RELATED: Yes NUMBER OF HOURS: 1 SECURITIES TRADING HOURS: 4 START DATE: 04/01/2002

ADDRESS: 3902 Broadway, Grove City OH 43123, United States

DESCRIPTION: I own a individual single family home. This property is rented out and managed through Holmes Management LLC The address is 2659 Regina Ave Columbus, Ohio 43204 I also own and manage 3902 Broadway Grove City, Ohio 43123. This property is also the professional office and branch office location.

7. GLEN HOLMES

POSITION: Landlord NATURE: I own a residential property at 100 Coolidge Ave. Columbus , Ohio 43223 INVESTMENT RELATED: Yes NUMBER OF HOURS: 3 SECURITIES TRADING HOURS: 0 START DATE: 10/01/2019

ADDRESS: 3902 Broadway, Grove City OH 43123, United States

DESCRIPTION: Land Lord

8. GLEN HOLMES

POSITION: Owner 50% NATURE: Partnership / LLC INVESTMENT RELATED: Yes NUMBER OF HOURS: 1 SECURITIES TRADING HOURS: 1 START DATE: 11/07/2024

ADDRESS: 3108 Hwy #17, Fleming Island FL 32003, United States

DESCRIPTION: I own a 50% interest in a house boat. The boat is listed on Airbnb & VRBO. I have a management company managing all of the listings, advertisement and collection of revenue.

9. ISLAND BEACH PROPERTIES LLC.

POSITION: Owner 50% NATURE: Partnership / LLC INVESTMENT RELATED: Yes NUMBER OF HOURS: 1 SECURITIES TRADING HOURS: 1 START DATE: 11/07/2024

ADDRESS: 3108 Hwy #17, Fleming Island FL 32003, United States

DESCRIPTION: I own a 50% interest in a house boat. The boat is listed on Airbnb & VRBO. I have a management company managing all of the listings, advertisement and collection of revenue.



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	2

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 2

Reporting Source:	Firm
Employing firm when activities occurred which led to the complaint:	AMERIPRISE FINANCIAL SERVICES, INC.
Allegations:	THE CLIENT ALLEGED HIS FORMER ADVISOR GAVE HIM INACCURATE INFORMATION REGARDING PREMIUMS FOR A \$250,000 LIFE POLICY IN JANUARY OF 2005 WHICH HAS RESULTED IN A LAPSED POLICY. THEREFORE, HE REQUESTED THE CASH VALUE OF THE POLICY AT THAT TIME.
Product Type:	Insurance
Alleged Damages:	\$6,000.00
Is this an oral complaint?	No
Is this a written complaint?	Yes
Is this an arbitration/CFTC reparation or civil litigation?	No

Customer Complaint Information

Date Complaint Received:	09/16/2005
Complaint Pending?	No
Status:	Denied
Status Date:	12/21/2005
Settlement Amount:	

**Individual Contribution Amount:****Firm Statement**

THE FIRM FOUND THE REPRESENTATIVE WAS NOT THE INTENDED SUBJECT OF THE CLIENT'S WRITTEN COMPLAINT.

Reporting Source:

Individual

Employing firm when activities occurred which led to the complaint:

AMERIPRISE FINANCIAL SERVICES

Allegations:

THE CLIENT ALLEGED HIS FORMER ADVISOR GAVE HIM INACCURATE INFORMATION REGARDING PREMIUMS FOR A \$250,000 LIFE POLICY IN JANUARY 2005 WHICH HAS RESULTED IN A LAPSED POLICY. THE CLIENT REQUESTED THE CASH VALUE OF THE POLICY AT THAT TIME.

Product Type:

Insurance

Other Product Type(s):

VARIABLE UNIVERSAL LIFE

Alleged Damages:

\$6,000.00

Customer Complaint Information**Date Complaint Received:**

09/16/2005

Complaint Pending?

No

Status:

Denied

Status Date:

01/06/2006

Settlement Amount:**Individual Contribution Amount:****Disclosure 2 of 2****Reporting Source:**

Firm

Employing firm when activities occurred which led to the complaint:

AMERICAN EXPRESS FINANCIAL ADVISORS INC

Allegations:

THE CLIENT SIGNED AFFIDAVITS OF FORGERY ATTESTING SIGNATURES ON THREE AMERICAN EXPRESS DOCUMENTS WERE NOT HIS. THE CLIENT DID NOT ALLEGE LOSSES DUE TO THE FORGED DOCUMENTS AND NO FINANCIAL INJURY HAS BEEN FOUND, AND THE ADVISOR DENIES FORGING DOCUMENTS.

Product Type:

Mutual Fund(s)

Other Product Type(s):

LIFE INSURANCE, FINANCIAL PLANN

Alleged Damages:

\$0.00

Customer Complaint Information**Date Complaint Received:**

05/25/2005

Complaint Pending?

No

Status:

Closed/No Action

Status Date:

07/13/2005

**Settlement Amount:****Individual Contribution Amount:****Firm Statement**

THE CLIENTS SIGNED AFFIDAVITS OF FORGERY ATTESTING SIGNATURES ON A TOTAL OF FOUR AMERICAN EXPRESS DOCUMENTS WERE NOT THEIRS. THERE WAS NO ALLEGATION OR FINDING OF LOSS DUE TO THE FORGERED DOCUMENTS. NO FINANCIAL INJURY HAS BEEN FOUND AND THE ADVISOR DENIES FORGING DOCUMENTS. THE ADVISOR STATES THAT THE QUESTIONED DOCUMENTS WERE NOT USED TO EFFECT TRANSACTIONS.

Reporting Source:

Individual

Employing firm when activities occurred which led to the complaint:

AMERICAN EXPRESS FINANCIAL ADVISORS INC.

Allegations:

THE CLIENT SIGNED AFFIDAVITS OF FORGERY ATTESTING SIGNATURES ON THREE AMERICAN EXPRESS DOCUMENTS WERE NOT HIS. THE CLIENT DID NOT ALLEGE LOSSES DUE TO THE FORGED DOCUMENTS AND NO FINANCIAL INJURY HAS BEEN FOUND AND THE ADVISOR DENIES FORGING DOCUMENTS.

Product Type:

Mutual Fund(s)

Other Product Type(s):

LIFE INSURANCE, FINANCIAL PLANNING

Alleged Damages:

\$0.00

Customer Complaint Information**Date Complaint Received:**

05/25/2005

Complaint Pending?

No

Status:

Closed/No Action

Status Date:

07/13/2005

Settlement Amount:**Individual Contribution Amount:****Broker Statement**

THE CLIENTS SIGNED AFFIDAVITS OF FORGERY ATTESTING SIGNATURES ON A TOTAL OF THREE AMERICAN EXPRESS DOCUMENTS WERE NOT THEIRS. THERE WAS NO ALLEGATION OR FINDING OF LOSS DUE TO THE FORGED DOCUMENTS. NO FINANCIAL INJURY HAS BEEN FOUND AND THE ADVISOR DENIES FORGING DOCUMENTS. THE ADVISOR STATES THAT THE QUESTIONED DOCUMENTS WERE NOT USED TO EFFECT TRANSACTIONS.



End of Report

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