IAPD Report

STEVEN BRUCE GOLDIS

CRD# 1296658

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

STEVEN BRUCE GOLDIS (CRD# 1296658)

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 **11/04/2025**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	OSAIC WEALTH, INC.	CRD# 23131	09/02/2025
IA	OSAIC WEALTH, INC.	CRD# 23131	09/02/2025

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **22** 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	LPL FINANCIAL LLC	6413	SMITHTOWN, NY	08/03/2021 - 09/03/2025
B	LPL FINANCIAL LLC	6413	SMITHTOWN, NY	11/30/2018 - 09/03/2025
B	H. BECK, INC.	1763	HAUPPAUGE, NY	05/01/2003 - 12/03/2018

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
Regulatory Event	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 **22** 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	Financial and Operations Principal	Approved	09/02/2025
B	FINRA	General Securities Principal	Approved	09/02/2025
B	FINRA	General Securities Representative	Approved	09/02/2025
B	FINRA	Municipal Securities Principal	Approved	09/02/2025
B	FINRA	Municipal Securities Representative	Approved	09/02/2025
B	FINRA	Registered Options Principal	Approved	09/02/2025
B	Arizona	Agent	Approved	09/02/2025
B	California	Agent	Approved	09/02/2025
B	Colorado	Agent	Approved	09/02/2025
B	Connecticut	Agent	Approved	09/02/2025
B	Delaware	Agent	Approved	09/02/2025
B	Florida	Agent	Approved	09/03/2025
B	Hawaii	Agent	Approved	11/19/2025

Qualifications

	Regulator	Registration	Status	Date
B	Maine	Agent	Approved	09/02/2025
B	Maryland	Agent	Approved	09/02/2025
B	Massachusetts	Agent	Approved	09/02/2025
B	Michigan	Agent	Approved	11/03/2025
B	Minnesota	Agent	Approved	09/02/2025
B	New Jersey	Agent	Approved	09/02/2025
B	New York	Agent	Approved	09/02/2025
IA	New York	Investment Adviser Representative	Approved	09/02/2025
B	North Carolina	Agent	Approved	09/08/2025
B	Ohio	Agent	Approved	09/02/2025
B	Pennsylvania	Agent	Approved	09/02/2025
B	South Carolina	Agent	Approved	09/08/2025
B	South Dakota	Agent	Approved	09/02/2025
B	Texas	Agent	Approved	09/02/2025
B	Virginia	Agent	Approved	09/02/2025
B	Washington	Agent	Approved	09/02/2025

Branch Office Locations

OSAIC WEALTH, INC.
329 E MAIN STREET
SUITE 8
SMITHTOWN, NY 11787

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

Principal/Supervisory Exams

	Exam	Category	Date
B	Registered Options Principal Examination (S4)	Series 4	04/11/1988
B	Municipal Securities Principal Examination (S53)	Series 53	06/04/1987
B	Financial and Operations Principal Examination (S27)	Series 27	09/24/1986
B	General Securities Principal Examination (S24)	Series 24	01/08/1986

General Industry/Product Exams

	Exam	Category	Date
B	Municipal Securities Representative Examination (S52TO)	Series 52TO	01/02/2023
B	Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
B	General Securities Representative Examination (S7)	Series 7	08/18/1984

State Securities Law Exams

	Exam	Category	Date
IA	Uniform Investment Adviser Law Examination (S65)	Series 65	10/15/2003
B	Uniform Securities Agent State Law Examination (S63)	Series 63	09/06/1984

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	08/03/2021 - 09/03/2025	LPL FINANCIAL LLC	CRD# 6413	SMITHTOWN, NY
B	11/30/2018 - 09/03/2025	LPL FINANCIAL LLC	CRD# 6413	SMITHTOWN, NY
B	05/01/2003 - 12/03/2018	H. BECK, INC.	CRD# 1763	HAUPPAUGE, NY
IA	01/21/1997 - 12/14/2005	GOLDIS ASSET MANAGEMENT, INC.	CRD# 125692	GARDEN CITY, NY
B	01/07/1987 - 04/28/2003	GOLDIS FINANCIAL GROUP, INC.	CRD# 16444	GARDEN CITY, NY
B	10/06/1994 - 06/09/1999	GOLDIS - PITTSBURG INSTITUTIONAL SERVICES, INC.	CRD# 36754	GREAT NECK, NY
B	02/21/1986 - 03/03/1990	CARILLON INVESTMENTS, INC.	CRD# 14646	CINCINNATI, OH
B	08/21/1984 - 06/25/1987	USLIFE EQUITY SALES CORP.	CRD# 7962	

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
09/2025 - Present	OSAIC WEALTH, INC.	REGISTERED REP	Y	SMITHTOWN, NY, United States
12/1982 - Present	G & G AGENCY LTD	OTHER - VP	Y	GREAT NECK, NY, United States
11/2018 - 09/2025	LPL Financial LLC	Registered Representative	Y	Hauppauge, NY, United States
04/2003 - 11/2018	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)10/22/2018 - G&G Agency LTD - Insurance Agency - president and owner - inv rel - at reported business location(s) - start:

Registration & Employment History

OTHER BUSINESS ACTIVITIES

01/1982 - 100 hr/mth

2)10/22/2018 - G & G Agency LTD - Non-Variable Insurance - inv rel - at reported business location(s) - start: 03/1975 - 100 hr/mth

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	2

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 2

Reporting Source:	Regulator
Regulatory Action Initiated By:	NATIONAL ASSOCIATION OF SECURITIES DEALERS, INC.
Sanction(s) Sought:	
Other Sanction(s) Sought:	
Date Initiated:	03/21/2003
Docket/Case Number:	CLI030006
Employing firm when activity occurred which led to the regulatory action:	GOLDIS FINANCIAL GROUP, INC.
Product Type:	No Product
Other Product Type(s):	
Allegations:	NASD RULE 2110 - A MEMBER FIRM, ACTING THROUGH GOLDIS, CONDUCTED A SECURITIES BUSINESS WHILE OUT OF NET CAPITAL COMPLIANCE.
Current Status:	Final
Resolution:	Acceptance, Waiver & Consent(AWC)
Resolution Date:	03/21/2003
Sanctions Ordered:	Censure Monetary/Fine $5,500.00
Other Sanctions Ordered:	
Sanction Details:	WITHOUT ADMITTING OR DENYING THE ALLEGATIONS, GOLDIS

	CONSENTED TO THE DESCRIBED SANCTIONS AND TO THE ENTRY OF FINDINGS, THEREFORE, HE IS CENSURED AND FINED $5,500, JOINTLY AND SEVERALLY.

Reporting Source:	Individual
Regulatory Action Initiated By:	NATIONAL ASSOCIATION OF SECURITIES DEALERS
Sanction(s) Sought:	Censure
Other Sanction(s) Sought:	FINE OF $5,500.00 JOINT AND SEVERAL AGAINST GFG AND MYSELF.
Date Initiated:	03/23/2001
Docket/Case Number:	ELI020046
Employing firm when activity occurred which led to the regulatory action:	GOLDIS FINANCIAL GROUP, INC.
Product Type:	No Product
Other Product Type(s):	
Allegations:	GOLDIS FINANCIAL GROUP, ACTING THROUGH MYSELF AS ITS FINANCIAL AND OPERATIONS PRINCIPAL CONDUCTED A SECURITIES BUSINESS WHILE OUT OF NET CAPITAL COMPLIANCE ON MARCH 23,2001.
Current Status:	Final
Resolution:	Acceptance, Waiver & Consent(AWC)
Resolution Date:	03/21/2003
Sanctions Ordered:	Censure Monetary/Fine $5,500.00
Other Sanctions Ordered:	
Sanction Details:	MONETARY/FINE AND CENSURE WAS THE SANCTION ORDER IN THE AMOUNT $5500.00
Broker Statement	ON MARCH 21,2003 THE NASD ACCEPTED THE LETTER OF ACCEPTANCE, WAIVER AND CONSENT, STATEMENT OF CORRECTIVE ACTION AND STATEMENT OF MITIGATING CIRCUMSTANCES SUBMITTED BY MYSELF AND GFG.

Disclosure 2 of 2

Reporting Source:	Regulator
Regulatory Action Initiated By:	NATIONAL ASSOCIATION OF SECURITIES DEALERS, INC.
Sanction(s) Sought:	
Other Sanction(s) Sought:	
Date Initiated:	08/17/1995
Docket/Case Number:	C10950044

Employing firm when activity occurred which led to the regulatory action:	GOLDIS FINANCIAL GROUP, INC.
Product Type:	
Other Product Type(s):	
Allegations:	
Current Status:	Final
Resolution:	Acceptance, Waiver & Consent(AWC)
Resolution Date:	08/17/1995
Sanctions Ordered:	Censure Monetary/Fine $2,500.00
Other Sanctions Ordered:	
Sanction Details:	
Regulator Statement	ON AUGUST 17,1995, DISTRICT NO. 10 NOTIFIED GOLDIS FINANCIAL GROUP, INC., WENDY SUE GOLDIS AND STEVEN BRUCE GOLDIS THAT THE LETTER OF ACCEPTANCE, WAIVER AND CONSENT NO. C10950044 WAS ACCEPTED: THEREFORE, RESPONDENTS MEMBER AND WENDY GOLDIS ARE CENSURED AND FINED $1,000, JOINTLY AND SEVERALLY; AND, RESPONDENTS MEMBER AND STEVEN GOLDIS ARE CENSURED AND FINED $2,500, JOINTLY AND SEVERALLY. - (ARTICLE III, SECTION 1 OF THE RULES OF FAIR PRACTICE - RESPONDENT MEMBER, ACTING THROUGH W. GOLDIS, ACCEPTED CHECKS FROM PUBLIC CUSTOMERS PRIOR TO THE EFFECTIVE DATE OF A PUBLIC OFFERING; RESPONDENT MEMBER, ACTING THROUGH RESPONDENT S. GOLDIS, FAILED TO MAINTAIN ITS MINIMUM NET CAPITAL REQUIREMENTS WHILE CONDUCTING A SECURITIES BUSINESS; AND, MISCALCULATED VARIOUS ADJUSTMENTS IN THE COMPUTATION OF CERTIAN SECURITIES HAIRCUTS). **$2,500.00 J&S PAID ON 9/6/95, INVOICE #95-10-529**

Reporting Source:	Individual
Regulatory Action Initiated By:	NATIONAL ASSOCIATION OF SECURITIES DEALERS, INC.
Sanction(s) Sought:	
Other Sanction(s) Sought:	
Date Initiated:	08/17/1995
Docket/Case Number:	C10950044
Employing firm when activity occurred which led to the regulatory action:	GOLDIS FINANCIAL GROUP, INC.
Product Type:	Equity - OTC
Other Product Type(s):	
Allegations:	THAT I, AS PRESIDENT OF GOLDIS FINANCIAL

	GROUP, INC (THE "FIRM") (I) FAILED TO ENSURE THAT THE FIRM MAINTAINED ITS MINIMUM NET CAPITAL REQUIREMENT ON SEPTEMBER 30, 1994 BY INADVERTENTLY GIVING EFFECT TO A $300,000 SUBORDINATED LOAN AGREEMENT I BELIEVED REPLACED ANOTHER THEN MATURING SUBORDINATED LOAN; AND (II) MISCALCULATED, ON SEPTEMBER 30, 994, BY $599 VARIOUS ADJUSTMENTS IN THE COMPUTATION OF CERTAIN SECURITIES HAIRCUTS.
Current Status:	Final
Resolution:	Acceptance, Waiver & Consent(AWC)
Resolution Date:	08/17/1995
Sanctions Ordered:	Censure Monetary/Fine $2,500.00
Other Sanctions Ordered:	
Sanction Details:	I, ALONG WITH THE FIRM, ENTERED INTO A LETTER OF ACCEPTANCE, WAIVER AND CONSENT PURSUANT TO WHICH I AND THE FIRM, JOINTLY AND SEVERALLY, CONSENTED TO A FINE AND CENSURE OF $2,500. THIS FINE WAS PAID ON AUGUST 31, 1995.
Broker Statement	NOT PROVIDED

End of Report

This page is intentionally left blank.