



IAPD Report

JACQUELINE P BENNETT

CRD# 1302822

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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

JACQUELINE P BENNETT (CRD# 1302822)

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 **01/14/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	OSAIC WEALTH, INC.	CRD# 23131	06/30/2015
IA	OSAIC WEALTH, INC.	CRD# 23131	04/08/2025

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **10** 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	NEW CENTURY FINANCIAL GROUP, LLC	104553	San Antonio, FL	06/16/2017 - 12/31/2025
B	THE LEADERS GROUP, INC.	37157	SUMMIT, NJ	10/26/2010 - 07/01/2015
B	SECURITIES MANAGEMENT & RESEARCH, INC.	759	AMARILLO, TX	06/10/1985 - 10/27/2010

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	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 10 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	Invest. Co and Variable Contracts	Approved	06/30/2015
B California	Agent	Approved	02/25/2020
B Florida	Agent	Approved	06/30/2015
IA Florida	Investment Adviser Representative	Approved	05/12/2025
B Indiana	Agent	Approved	11/24/2021
B New York	Agent	Approved	10/08/2024
B North Carolina	Agent	Approved	01/22/2021
B Ohio	Agent	Approved	06/30/2022
B Oklahoma	Agent	Approved	06/30/2015
B Pennsylvania	Agent	Approved	11/03/2025
B Tennessee	Agent	Approved	07/19/2017
B Texas	Agent	Approved	06/30/2015
IA Texas	Investment Adviser Representative	Approved	04/08/2025



Qualifications

Branch Office Locations

OSAIC WEALTH, INC.
SAN ANTONIO, FL



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 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 Investment Company Products/Variable Contracts Representative Examination (S6)	Series 6	06/01/1985

State Securities Law Exams

Exam	Category	Date
IA Uniform Investment Adviser Law Examination (S65)	Series 65	06/12/2017
B Uniform Securities Agent State Law Examination (S63)	Series 63	10/06/1984

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	06/16/2017 - 12/31/2025	NEW CENTURY FINANCIAL GROUP, LLC	CRD# 104553	San Antonio, FL
B	10/26/2010 - 07/01/2015	THE LEADERS GROUP, INC.	CRD# 37157	SUMMIT, NJ
B	06/10/1985 - 10/27/2010	SECURITIES MANAGEMENT & RESEARCH, INC.	CRD# 759	AMARILLO, TX

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
06/2015 - Present	Osaic Wealth, Inc	Registered Representative	Y	Amarillo, TX, United States
08/1984 - Present	Jackie Bennett Financial Group	Owner	Y	Amarillo, TX, United States
06/2017 - 04/2025	New Century Financial Group	Investment Adviser Representative	Y	Amarillo, TX, United States
10/2010 - 06/2017	DMG Financial LLC	Solicitor	Y	Littleton, CO, 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. JACQUELINE PEARL BENNETT IS A REGISTERED REPRESENTATIVE. FROM TIME TO TIME, SHE WILL OFFER CLIENTS ADVICE OR PRODUCTS FROM THIS ACTIVITY. CLIENTS SHOULD BE AWARE THAT THESE SERVICES PAY A COMMISSION AND INVOLVE A POSSIBLE CONFLICT OF INTEREST, AS COMMISSIONABLE PRODUCTS CAN CONFLICT WITH THE FIDUCIARY DUTIES OF A REGISTERED INVESTMENT ADVISER. NEW CENTURY FINANCIAL GROUP ALWAYS ACTS IN THE BEST INTEREST OF THE CLIENT; INCLUDING IN THE SALE OF COMMISSIONABLE PRODUCTS TO ADVISORY CLIENTS. CLIENTS ARE IN NO WAY REQUIRED TO UTILIZE THE SERVICES ANY REPRESENTATIVE OF NEW CENTURY FINANCIAL GROUP IN SUCH INDIVIDUAL'S OUTSIDE CAPACITY.

2. Vice President of BNI Signature Elite Chapter Address: 2650 Lajuana Blvd, Wesley Chapel FL 33543 As VP I manage the Membership Committee and help chapter meet their goals.

3. JBJB MANAGEMENT, INC.

POSITION: Owner NATURE: Corporation INVESTMENT RELATED: Yes NUMBER OF HOURS: 12 SECURITIES TRADING

HOURS: 12 START DATE: 07/15/1983

ADDRESS: 29426 Coharie Loop, San Antonio FL 33576, United States



Registration & Employment History

OTHER BUSINESS ACTIVITIES

DESCRIPTION: Agent for my property and casualty clients. Sell home, auto, commercial property and liability insurance.



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	1

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 1

Reporting Source:	Regulator
Regulatory Action Initiated By:	Florida Office of Financial Regulation
Sanction(s) Sought:	Civil and Administrative Penalty(ies)/Fine(s)
Date Initiated:	04/30/2019
Docket/Case Number:	93982-S
URL for Regulatory Action:	
Employing firm when activity occurred which led to the regulatory action:	New Century Financial Group, LLC
Product Type:	No Product
Allegations:	Conducted investment advisory business from offices within this state without the benefit of lawful registration; and failing to maintain a current Form U4.
Current Status:	Final
Resolution:	Order
Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct?	No
Resolution Date:	04/30/2019
Sanctions Ordered:	Cease and Desist Civil and Administrative Penalty(ies)/Fine(s)

**Monetary Sanction 1 of 1****Monetary Related Sanction:** Civil and Administrative Penalty(ies)/Fine(s)**Total Amount:** \$5,000.00**Portion Levied against individual:** \$5,000.00**Payment Plan:****Is Payment Plan Current:****Date Paid by individual:** 04/30/2019**Was any portion of penalty waived?** No**Amount Waived:**

Regulator Statement On 4/30/2019, the Office of Financial Regulation entered a Final Order adopting the Stipulation and Consent Agreement in the matter of Jacqueline P. Bennett. Ms. Bennett accepts, consents and agrees, prior to a hearing and without an adjudication of any issue of law or fact, to the findings of the Office. The Office found that Jacqueline P. Bennett failed to amend her Form U4 to reflect her updated business address and to reflect her other business activity; and engaged in investment advisory business from offices within this state without the benefit of lawful registration in the state of Florida, pursuant to section 517.12(4), F. S. Jacqueline P. Bennett agreed to cease and desist from all present and future violations of Chapter 517, F. S. and the administrative rules thereunder; and to pay an administrative fine in the amount of \$ 5,000. The Office agreed to approve Jacqueline P. Bennett's application as an associated person (RA) with New Century Financial Group, LLC effective 4/30/2019.

Reporting Source: Individual**Regulatory Action Initiated By:** STATE OF FLORIDA, OFFICE OF FINANCIAL REGULATION**Sanction(s) Sought:** Civil and Administrative Penalty(ies)/Fine(s)**Date Initiated:** 04/30/2019**Docket/Case Number:** ADMINISTRATIVE PROCEEDING NO: 93982-S**Employing firm when activity occurred which led to the regulatory action:** ROYAL ALLIANCE**Product Type:** No Product**Allegations:** REP ENGAGED IN INVESTMENT ADVISORY SERVICES WITHIN THE STATE OF FLORIDA FOR CLIENTS RESIDING IN THE STATE OF FLORIDA WITHOUT BEING LAWFULLY REGISTERED IN THE STATE OF FLORIDA**Current Status:** Final**Resolution:** Order



Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct?

No

Resolution Date: 04/30/2019

Sanctions Ordered: Cease and Desist
Civil and Administrative Penalty(ies)/Fine(s)

Monetary Sanction 1 of 1

Monetary Related Sanction: Civil and Administrative Penalty(ies)/Fine(s)

Total Amount: \$5,000.00

Portion Levied against individual: \$5,000.00

Payment Plan:

Is Payment Plan Current:

Date Paid by individual: 04/30/2019

Was any portion of penalty waived?

No

Amount Waived:

Broker Statement

ON 4/30/2019, THE OFFICE OF FINANCIAL REGULATION ENTERED A FINAL ORDER ADOPTING THE STIPULATION AND CONSENT AGREEMENT IN THE MATTER OF JACQUELINE P BENNETT. I ACCEPT, CONSENT AND AGREE, PRIOR TO A HEARING AND WITHOUT ADJUDICATION OF ANY ISSUE OF LAW OR FACT, TO THE FINDINGS OF THE OFFICE. THE OFFICE FOUND THAT I FAILED TO AMEND MY FORM U4 TO REFLECT MY UPDATED BUSINESS ADDRESS AND TO REFLECT MY OTHER BUSINESS ACTIVITY; AND ENGAGED IN INVESTMENT ADVISORY BUSINESS FROM OFFICES WITHIN THE STATE WITHOUT THE BENEFIT OF LAWFUL REGISTRATION IN THE STATE OF FLORIDA, PURSUANT TO SECTION 517.12(4),F.S. I AGREED TO CEASE AND DESIST FROM ALL PRESENT AND FUTURE VIOLATIONS OF CHAPTER 517, F.S. AND THE ADMINISTRATIVE RULES THEREUNDER; AND TO PAY AN ADMINISTRATIVE FINE IN THE AMOUNT OF \$5,000. THE OFFICE AGREED TO APPROVE MY APPLICATION AS AN ASSOCIATED PERSON (RA) WITH NEW CENTURY FINANCIAL GROUP, LLC EFFECTIVE 4/30/2019.



End of Report

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