



IAPD Report

ROBERT MICHAEL BECKER

CRD# 1406849

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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

ROBERT MICHAEL BECKER (CRD# 1406849)

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 **03/25/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	OSAIC WEALTH, INC.	CRD# 23131	01/19/2024
IA	OSAIC WEALTH, INC.	CRD# 23131	01/19/2024

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **8** 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	WOODBURY FINANCIAL SERVICES, INC.	421	Odessa, FL	12/15/2011 - 01/19/2024
B	WOODBURY FINANCIAL SERVICES, INC.	421	Odessa, FL	05/07/2010 - 01/19/2024
B	SIGNATOR INVESTORS, INC.	468	MURFREESBORO, TN	10/12/2007 - 05/07/2010

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
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 **8** 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	01/19/2024
B	FINRA	Invest. Co and Variable Contracts	Approved	01/19/2024
B	Florida	Agent	Approved	01/19/2024
IA	Florida	Investment Adviser Representative	Approved	03/22/2024
B	Louisiana	Agent	Approved	01/19/2024
B	Maryland	Agent	Approved	01/19/2024
B	Nebraska	Agent	Approved	01/19/2024
B	North Carolina	Agent	Approved	09/24/2024
B	Tennessee	Agent	Approved	01/19/2024
IA	Tennessee	Investment Adviser Representative	Approved	01/19/2024
B	Texas	Agent	Approved	01/19/2024
B	Virginia	Agent	Approved	01/19/2024

Branch Office Locations



Qualifications

OSAIC WEALTH, INC.
Odessa, FL

OSAIC WEALTH, INC.
Regus - The Avenue Murfreesboro
2615 Medical Center Pkwy #1560
Murfreesboro, TN 37129



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
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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
General Securities Representative Examination (S7)	Series 7	02/15/1986
Investment Company Products/Variable Contracts Representative Examination (S6)	Series 6	08/27/1985

State Securities Law Exams

Exam	Category	Date
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Uniform Combined State Law Examination (S66)	Series 66	11/10/2011
Uniform Securities Agent State Law Examination (S63)	Series 63	09/16/1985

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	12/15/2011 - 01/19/2024	WOODBURY FINANCIAL SERVICES, INC.	CRD# 421	Odessa, FL
B	05/07/2010 - 01/19/2024	WOODBURY FINANCIAL SERVICES, INC.	CRD# 421	Odessa, FL
B	10/12/2007 - 05/07/2010	SIGNATOR INVESTORS, INC.	CRD# 468	MURFREESBORO, TN
B	02/03/2005 - 11/05/2007	ONEAMERICA SECURITIES, INC.	CRD# 4173	MURFREESBORO, TN
B	07/31/2001 - 02/09/2005	THE O.N. EQUITY SALES COMPANY	CRD# 2936	CINCINNATI, OH
B	09/11/2000 - 07/31/2001	PARK AVENUE SECURITIES LLC	CRD# 46173	NEW YORK, NY
B	07/26/1990 - 09/07/2000	MONY SECURITIES CORPORATION	CRD# 4386	NEW YORK, NY
B	07/26/1990 - 10/15/1990	THE MUTUAL LIFE INSURANCE COMPANY OF NEW YORK	CRD# 2873	NEW YORK, NY
B	05/09/1989 - 06/06/1990	ADVANCED FINANCIAL PLANNING SECURITIES CORPORATION	CRD# 17472	BRENTWOOD, TN
B	11/09/1987 - 04/25/1989	MANEQUITY, INC.	CRD# 5249	BOSTON, MA
B	08/28/1985 - 12/11/1987	JOHN HANCOCK DISTRIBUTORS, INC.	CRD# 468	

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
01/2024 - Present	OSAIC WEALTH, INC.	Mass Transfer	Y	Odessa, FL, United States
08/2000 - Present	GUARDIAN LIFE INS CO	AGENT	N	NEW YORK, NY, United States



Registration & Employment History



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) ROBERT M. BECKER

POSITION: Insurance Agent NATURE: Insurance - life insurance, disability income, group disability income, and group medical insurance residual/renewal commissions received monthly from sales earlier in my career: MONY Life of America, approximately \$300 a year received; Ohio National Life, approximately \$1,000 per year received; we may occasionally convert an old term policy to a permanent non-variable life policy - this would result in a higher one-time first year commission; Cowan Benefit Group - approximately \$1,200 for one group medical insurance plan; Abacus Insurance Group - approximately \$250 a year for one group disability insurance plan; Baker Birdwell, LLC - approximately \$3,000 per year for individual disability income sales and renewals - Standard Life and Principal Financial Group; Unum Insurance company - approximately \$6,000 per year in renewal individual disability contracts; Peachtree Planning - approximately \$1,200 per year in renewal life and individual disability income contracts

INVESTMENT RELATED: Yes NUMBER OF HOURS: 1 SECURITIES TRADING HOURS: 0 START DATE: 05/15/1985

ADDRESS: 105 Laurel Grove Ct., Murfreesboro TN 37129, United States

DESCRIPTION: My role here now is as a servicing life and disability insurance agent for the clients who still have these older contracts. Change of beneficiary, address changes, death claims, etc. is what I help these clients with when needed.



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: MONY SECURITIES CORP.

Allegations: CLIENT ALLEGES UNAUTHORIZED TRADING REGARDING INVESTMENT IN A VARIABLE ANNUITY. CLIENT ALSO ALLEGES FAILURE TO DISCLOSE SURRENDER CHARGES, OVERCONCENTRATION OF ALLOCATIONS IN EQUITIES AND FAILURE TO FOLLOW INSTRUCTIONS REGARDING A REALLOCATION REQUEST.

Product Type: Annuity(ies) - Variable

Alleged Damages: \$10,000.00

Customer Complaint Information

Date Complaint Received: 06/25/2003

Complaint Pending? Yes

Settlement Amount:

Individual Contribution Amount:

.....

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: MONY SECURITIES CORP



Allegations:

CLIENT ALLEGES UNAUTHORIZED TRADING REGARDING INVESTMENT IN A VARIABLE ANNUITY. I DISPUTE THIS CHARGE ON THE BASIS THAT I ONLY RECEIVED ONE REQUEST TO REALLOCATE THE CLIENT'S ACCOUNT, ON OCTOBER 14, 2002, INTO A 90% BOND AND 10% EQUITY PORTFOLIO. CLIENT ALLEGES FAILURE TO DISCLOSE SURRENDER CHARGES. I DISPUTE THIS ALSO AS DISCUSSION OF SURRENDER CHARGES DID OCCUR, ALONG WITH THE DELIVERY OF THE PROSPECTUS. IN ADDITION, WE DISCUSSED THE 10% "FREE WITHDRAWAL" PRIVILEGE OF THE CONTRACT, SIMILAR TO HIS EXISTING MONY VARIABLE ANNUITY CONTRACT. HE WAS FAMILIAR AND KNOWLEDGABLE WITH THE SURRENDER CHARGES THAT COULD APPLY. CLIENT ALLEGES OVERCONCENTRATION OF ALLOCATIONS IN EQUITIES. I DISPUTE THIS ALSO AS THE FUND ALLOCATION THAT CAME INTO THE SKANDIA ANNUITY HAD BEEN 81% EQUITIES, 19% FIXED/BONDS. THE NEW ALLOCATION WITH SKANDIA INCLUDED 40% INTO A BALANCED PORTFOLIO, WHICH INCLUDED CORPORATE BONDS, GOVERNMENT BONDS, TREASURIES, AND CASH, ALONG WITH EQUITIES. THIS WAS CONSISTENT WITH THE CLIENT'S PREVIOUS ALLOCATION. CLIENT ALLEGES FAILURE TO FOLLOW INSTRUCTIONS REGARDING A RELLOCATION REQUEST. I DISPUTE THIS ALSO IN THAT I ONLY RECEIVED ONE REQUEST TO REALLOCATE THE ACCOUNT BASED ON MY MEETING WITH THE CLIENT OCTOBER 10, 2002 FROM 5-6PM CDT. THE ACCOUNT WAS REALLOCATED TO HIS SPECIFICATIONS ON MONDAY AFTERNOON OCTOBER 14, 2002, IN THE PERCENTAGES HE HAD REQUESTED.

Product Type:

Annuity(ies) - Variable

Alleged Damages:

\$10,000.00

Customer Complaint Information

Date Complaint Received:

06/25/2003

Complaint Pending?

Yes

Settlement Amount:

Individual Contribution Amount:



End of Report

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