



IAPD Report

ANTHONY SCOTT CARINI

CRD# 1434330

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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

ANTHONY SCOTT CARINI (CRD# 1434330)

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 **06/17/2026**.

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 **18** 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	WOODBURY FINANCIAL SERVICES, INC.	421	PEWAUKEE, WI	01/02/2018 - 01/19/2024
IA	WOODBURY FINANCIAL SERVICES, INC.	421	PEWAUKEE, WI	01/02/2018 - 01/19/2024
IA	SII INVESTMENTS, INC.	2225	WAUKESHA, WI	05/14/2014 - 01/02/2018

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	3



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 **18** 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	01/19/2024
B	Arizona	Agent	Approved	01/19/2024
B	Arkansas	Agent	Approved	01/19/2024
B	California	Agent	Approved	01/19/2024
B	Colorado	Agent	Approved	01/19/2024
B	Florida	Agent	Approved	01/19/2024
IA	Florida	Investment Adviser Representative	Approved	06/10/2024
B	Illinois	Agent	Approved	01/19/2024
B	Indiana	Agent	Approved	06/19/2026
B	Iowa	Agent	Approved	01/19/2024
B	Kentucky	Agent	Approved	01/19/2024
B	Maryland	Agent	Approved	01/19/2024
B	Michigan	Agent	Approved	05/30/2024



Qualifications

	Regulator	Registration	Status	Date
B	Minnesota	Agent	Approved	01/19/2024
B	New Hampshire	Agent	Approved	07/01/2024
B	North Carolina	Agent	Approved	01/19/2024
B	Ohio	Agent	Approved	01/19/2024
B	Utah	Agent	Approved	01/19/2024
B	West Virginia	Agent	Approved	01/19/2024
B	Wisconsin	Agent	Approved	01/19/2024
IA	Wisconsin	Investment Adviser Representative	Approved	01/19/2024

Branch Office Locations

OSAIC WEALTH, INC.
325 FOREST GROVE DR
SUITE 201
PEWAUKEE, WI 53072



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
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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	07/08/1986

State Securities Law Exams

Exam	Category	Date
IA Uniform Investment Adviser Law Examination (S65)	Series 65	05/12/2014
B Uniform Securities Agent State Law Examination (S63)	Series 63	08/13/1986



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
B	01/02/2018 - 01/19/2024	WOODBURY FINANCIAL SERVICES, INC.	CRD# 421	PEWAUKEE, WI
IA	01/02/2018 - 01/19/2024	WOODBURY FINANCIAL SERVICES, INC.	CRD# 421	PEWAUKEE, WI
IA	05/14/2014 - 01/02/2018	SII INVESTMENTS, INC.	CRD# 2225	WAUKESHA, WI
B	07/10/2012 - 01/02/2018	SII INVESTMENTS, INC.	CRD# 2225	WAUKESHA, WI
B	02/17/2004 - 07/13/2012	TOWER SQUARE SECURITIES, INC.	CRD# 833	BROOKFIELD, WI
B	03/24/1997 - 02/13/2004	HARBOUR INVESTMENTS, INC.	CRD# 19258	MADISON, WI
B	07/09/1986 - 04/24/1997	PRUCO SECURITIES CORPORATION	CRD# 5685	NEWARK, NJ

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.	REGISTERED REPRESENTATIVE	Y	PEWAUKEE, WI, United States
01/2018 - 01/2024	WOODBURY FINANCIAL SERVICES INC	REGISTERED REPRESENTATIVE	Y	WAUKESHA, WI, United States
07/2012 - 01/2018	SII INVESTMENTS	INVESTMENT REP	Y	BROOKFIELD, WI, 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. DIVERSIFIED WEALTH STRATEGIES, LLC

POSITION: President/Founder NATURE: UL, Term Life products, through Producer Resources Inc INVESTMENT RELATED: Yes

NUMBER OF HOURS: 1 SECURITIES TRADING HOURS: 1 START DATE: 01/01/2017

ADDRESS: 325 Forest Grove Rd., Ste 201, PEWAUKEE WI 53072, United States

DESCRIPTION: UL, Term Life products, through Producer Resources, Inc

2. FOUNDATION FOR FINANCIAL EDUCATION INC.

POSITION: presenter NATURE: Delivering financial education seminars to the public as a not for profit service to the public, held



Registration & Employment History



OTHER BUSINESS ACTIVITIES

at neutral locations throughout the area such as public libraries, technical colleges, etc. only for the purpose of providing financial education. INVESTMENT RELATED: No NUMBER OF HOURS: 10 SECURITIES TRADING HOURS: 0 START DATE: 11/30/2023

ADDRESS: 325 Forest Grove Dr., Suite 201, Pewaukee WI 53072, United States

DESCRIPTION: Delivering financial education seminars to the public as a not for profit service to the public, held at neutral locations throughout the area such as public libraries, technical colleges, etc. only for the purpose of providing financial education.



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	3

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 3

Reporting Source:	Firm
Employing firm when activities occurred which led to the complaint:	PRUCO SECURITIES
Allegations:	REGARDING THE 1994 PURCHASE OF A VARIABLE APPRECIABLE LIFE INSURANCE POLICY, THE CLIENT ALLEGED MISREPRESENTATION CONCERNING THE ABBREVIATED PAYMENT PLAN. THE INSURED DID NOT ALLEGE ANY SPECIFIED DAMAGES HOWEVER, THE COMPANY'S GOOD FAITH DETERMINATION ESTIMATED THEM TO BE APPROXIMATELY \$14,240.62.
Product Type:	Insurance
Alleged Damages:	\$14,240.62

Customer Complaint Information

Date Complaint Received:	03/18/2003
Complaint Pending?	No
Status:	Denied
Status Date:	04/08/2003
Settlement Amount:	
Individual Contribution Amount:	
Firm Statement	THE COMPANY TURN DOWN THE CLAIM. THIS CONCERNS A POLICY INCLUDED IN THE CLASS OF POLICIES THAT WAS THE SUBJECT OF A NATIONWIDE CLASS ACTION SETTLEMENT IN



WHICH THE COMPANY WAS RELEASED CONCERNING LIFE INSURANCE SALES PRACTICES. THE POLICYHOLDER DID NOT MAKE A TIMELY CLAIM IN THE CLASS ACTION SETTLEMENT REMEDIATION PLAN. THIS INQUIRY WAS RECEIVED ON A QUESTIONNAIRE FORM SUPPLIED TO THE POLICYHOLDER BY THE COMPANY. THE COMPANY IS REVIEWING THIS INQUIRY WITHOUT WAIVER OF THE COMPANY'S RIGHTS UNDER THE CLASS ACTION SETTLEMENT AND RELEASE. THE COMPANY WILL FILE AN AMENDMENT TO DISCLOSE THE OUTCOME. THE COMPANY BY THIS FILING MAKES NO FINDINGS REGARDING THE ACTIONS OF THE REPRESENTATIVE.

Disclosure 2 of 3**Reporting Source:**

Firm

Employing firm when activities occurred which led to the complaint:

PRUCO SECURITIES

Allegations:

REGARDING THE 1992 PURCHASE OF A VARIABLE APPRECIABLE LIFE INSURANCE POLICY, THE CLIENT ALLEGES MISREPRESENTATION CONCERNING THE POLICY BEING SOLD PRIMARILY AS A RETIREMENT POLICY. THE INSURED DID NOT ALLEGE ANY SPECIFIED DAMAGES, HOWEVER THE COMPANY'S GOOD FAITH DETERMINATION ESTIMATES THEM TO BE APPROXIMATELY \$7602.45.

Product Type:

Insurance

Alleged Damages:

\$7,602.45

Customer Complaint Information**Date Complaint Received:**

12/04/2002

Complaint Pending?

No

Status:

Denied

Status Date:

12/12/2002

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

THE COMPANY TURN DOWN THE CLAIM.

Reporting Source:

Individual

Employing firm when activities occurred which led to the complaint:

PRUCO SECURITIES CORPORATION

Allegations:

THE COMPLAINT REACHED HARBOUR ON 01/13/2003. THE COMPLAINT CONCERNS THE 1992 PURCHASE OF A VARIABLE APPRECIABLE LIFE INSURANCE POLICY, PAULS TUBBS ALLEGES MISREPRESENTATION CONCERNING THE POLICY BEING SOLD PRIMARILY AS A RETIREMENT POLICY. THE CURRENT ESTIMATED VALUE OF THE CONTRACT IS \$7,600.

Product Type:

Insurance

Alleged Damages:

\$7,600.00

Customer Complaint Information



Date Complaint Received: 12/04/2002
Complaint Pending? No
Status: Denied
Status Date: 12/12/2002
Settlement Amount:
Individual Contribution Amount:
Broker Statement PRUCO SECURITIES TURNED DOWN THE CLAIM.

Disclosure 3 of 3

Reporting Source: Firm
Employing firm when activities occurred which led to the complaint: PRUCO SECURITIES
Allegations: REGARDING THE 1993 PURCHASE OF A WHOLE LIFE INSURANCE, THE CLIENT ALLEGED MISREPRESENTATION CONCERNING THE POLICY BEING SOLD AS AN INVESTMENT PLAN INSTEAD OF A WHOLE LIFE. DAMAGES UNSPECIFIED HOWEVER, THE COMPAY'S GOOD FAITH DETERMINATION ESTIMATES THEM TO BE APPROXIMATELY \$17,593.19.
Product Type: Insurance
Other Product Type(s): VARIABLE APPRECIABLE LIFE
Alleged Damages: \$17,593.19

Customer Complaint Information

Date Complaint Received: 07/10/2002
Complaint Pending? No
Status: Settled
Status Date: 09/06/2002
Settlement Amount: \$27,123.97
Individual Contribution Amount: \$0.00
Firm Statement THIS CONCERNS A POLICY INCLUDED IN THE CLASS OF POLICIES THAT WAS THE SUBJECT OF A NATIONWIDE CLASS ACTION SETTLEMENT IN WHICH THE COMPANY WAS RELEASED CONCERNING LIFE INSURANCE SALES PRACTICES. THE POLICYHOLDER DID NOT MAKE A TIMELY CLAIM IN THE CLASS ACTION SETTLEMENT REMEDIATION PLAN. THIS INQUIRY WAS RECEIVED ON A QUESTIONNAIRE FORM SUPPLIED TO THE POLICYHOLDER BY THE COMPANY. THE COMPANY IS REVIEWING THIS INQUIRY WITHOUT WAIVER OF THE COMPANY'S RIGHTS UNDER THE CLASS ACTION SETTLEMENT AND RELEASE. THE COMPANY WILL FILE AN AMENDMENT TO DISCLOSE THE OUTCOME. THE COMPANY BY THIS FILING MAKES NO FINDINGS REGARDING THE ACTIONS OF THE REPRESENTATIVE.

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Reporting Source: Individual

**Employing firm when activities occurred which led to the complaint:**

PRUCO SECURITIES

Allegations:

IN 1993, CARINI WAS ASSOCIATED WITH PRUCO SECURITIES AS A SALES MANAGER AND MR. SCOTT ULICH WAS ONE OF HIS REPRESENTATIVES. CARINI ASSISTED ULICH IN MAKING A SALES PRESENTATION TO [CUSTOMER]. CARINI STATES THE FOLLOWING: THE SALE REVOLVED AROUND USING IDLE CASH IN THE BANK AND LEVERAGING THAT CASH TO FUND A LIFE INSURANCE POLICY NOT AN INVESTMENT POLICY. IN ADDITION, ONE OF THE FEATURES OF THE SUBJECT LIFE INSURANCE POLICY PROVIDED ACCELERATION OF THE DEATH BENEFIT IN THE EVENT OF A LONG TERM CARE/TERMINAL ILLNESS/NURSING HOME CONCERN. THE POLICY WAS ISSUED AND PLACED BY URICH. IN THE MEANTIME, I HAD TAKE A POSITION AT ANOTHER DISTRICT OFFICE. IT APPEARS THAT MURICH FAILED TO MAINTIAN CORRESPONDENCE AND PROPER COMMUNICATION DURING THE YEARS FOLLOWING THE PLACING OF THE POLICY, WHICH WAS HIS JOB. HE SHOULD HAVE KEPT THE CUSTOMER INFORMED THROUGH REGULAR ANNUAL MEETINGS AS TO THE STATUS OF THE ACCOUNT. THAT IS WHY HE RECEIVED A COMMISSION AND THAT IS WHAT THE EXPECTATIONS OF THE CUSTOMER ARE. THIS WAS THE SITUATION THAT SUBSEQUENTLY LED TO HER COMPLAINT.

Product Type:

Insurance

Other Product Type(s):

VARIABLE APPRECIABLE LIFE

Alleged Damages:

\$17,593.19

Customer Complaint Information**Date Complaint Received:**

07/10/2002

Complaint Pending?

No

Status:

Settled

Status Date:

09/06/2002

Settlement Amount:

\$27,124.00

Individual Contribution Amount:

\$0.00



End of Report

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