



## IAPD Report

# KATHLEEN ANTOINETTE GRAHAM

CRD# 1473329

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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

#### KATHLEEN ANTOINETTE GRAHAM (CRD# 1473329)

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 **10/24/2024**.

#### CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
<b>B</b>	OSAIC WEALTH, INC.	CRD# 23131	03/13/2024
<b>IA</b>	OSAIC WEALTH, INC.	CRD# 23131	06/14/2024

#### QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **2** 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>IA</b>	SECURITIES AMERICA ADVISORS, INC.	110518	ELYRIA, OH	08/19/2014 - 06/14/2024
<b>B</b>	SECURITIES AMERICA, INC.	10205	Elyria, OH	08/19/2014 - 06/14/2024
<b>B</b>	AXA ADVISORS, LLC	6627	CLEVELAND, OH	08/21/2012 - 08/08/2014

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
Judgment/Lien	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 2 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 Principal	Approved	03/13/2024
B	FINRA	General Securities Representative	Approved	03/13/2024
B	FINRA	General Securities Sales Supervisor	Approved	03/13/2024
B	FINRA	Municipal Securities Principal	Approved	03/13/2024
B	FINRA	Municipal Securities Representative	Approved	03/13/2024
B	Nebraska	Agent	Approved	06/14/2024
B	Ohio	Agent	Approved	06/14/2024
IA	Ohio	Investment Adviser Representative	Approved	06/14/2024

### Branch Office Locations

**OSAIC WEALTH, INC.**  
18700 N. HAYDEN ROAD  
SUITE 255  
SCOTTSDALE, AZ 85255

**OSAIC WEALTH, INC.**  
Elyria, OH








## 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 5 principal/supervisory exams, 4 general industry/product exams, and 2 state securities law exams.**




#### Principal/Supervisory Exams

Exam	Category	Date
 General Securities Sales Supervisor - General Module Examination (S10)	Series 10	01/02/2023
 General Securities Sales Supervisor - Options Module Examination (S9)	Series 9	01/02/2023
 General Securities Principal Examination (S24)	Series 24	06/29/2001
 Municipal Securities Principal Examination (S53)	Series 53	07/17/2000
 General Securities Sales Supervisor Examination (Options Module & General Module) (S8)	Series 8	09/22/1993

#### General Industry/Product Exams

Exam	Category	Date
 Municipal Securities Representative Examination (S52TO)	Series 52TO	01/02/2023
 Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
 National Commodity Futures Examination (S3)	Series 3	09/23/2011
 General Securities Representative Examination (S7)	Series 7	09/06/1991

#### State Securities Law Exams

Exam	Category	Date
  Uniform Combined State Law Examination (S66)	Series 66	02/16/2001
 Uniform Securities Agent State Law Examination (S63)	Series 63	09/02/1999



## 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	08/19/2014 - 06/14/2024	SECURITIES AMERICA ADVISORS, INC.	CRD# 110518	ELYRIA, OH
B	08/19/2014 - 06/14/2024	SECURITIES AMERICA, INC.	CRD# 10205	Elyria, OH
B	08/21/2012 - 08/08/2014	AXA ADVISORS, LLC	CRD# 6627	CLEVELAND, OH
IA	08/21/2012 - 08/08/2014	AXA ADVISORS, LLC	CRD# 6627	CLEVELAND, OH
B	06/01/2009 - 08/03/2012	MORGAN STANLEY SMITH BARNEY	CRD# 149777	HONOLULU, HI
IA	06/01/2009 - 08/03/2012	MORGAN STANLEY SMITH BARNEY LLC	CRD# 149777	HONOLULU, HI
IA	04/25/2008 - 06/01/2009	MORGAN STANLEY & CO. INCORPORATED	CRD# 8209	CLEVELAND, OH
B	04/23/2008 - 06/01/2009	MORGAN STANLEY & CO. INCORPORATED	CRD# 8209	CLEVELAND, OH
B	01/15/2008 - 04/14/2008	AMERIPRISE FINANCIAL SERVICES, INC.	CRD# 6363	MELVILLE, NY
IA	01/15/2008 - 04/14/2008	AMERIPRISE FINANCIAL SERVICES, INC.	CRD# 6363	MELVILLE, NY
IA	08/12/2005 - 01/08/2008	AMERIPRISE FINANCIAL SERVICES, INC.	CRD# 6363	SADDLE BROOK, NJ
B	08/03/2005 - 01/08/2008	AMERIPRISE FINANCIAL SERVICES, INC.	CRD# 6363	SADDLE BROOK, NJ
B	04/26/2004 - 07/11/2005	MID-OHIO SECURITIES CORP	CRD# 6634	ELYRIA, OH
IA	06/30/2003 - 04/16/2004	VALMARK ADVISERS, INC.	CRD# 108050	AKRON , OH
B	04/28/2000 - 04/16/2004	VALMARK SECURITIES, INC.	CRD# 31243	AKRON, OH
B	08/02/1999 - 04/19/2000	TD WATERHOUSE INVESTOR SERVICES, INC.	CRD# 7870	OMAHA, NE
B	03/12/1998 - 07/15/1999	EVEREN SECURITIES, INC.	CRD# 19616	ST. LOUIS, MO



### 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	08/20/1992 - 03/18/1997	CHARLES SCHWAB & CO., INC.	CRD# 5393	WESTLAKE, TX
B	10/31/1991 - 08/13/1992	A. G. EDWARDS & SONS, INC.	CRD# 4	ST. LOUIS, MO
B	09/09/1991 - 10/03/1991	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	CRD# 7691	NEW YORK, NY

#### 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
06/2024 - Present	OSAIC WEALTH, INC.	Mass Transfer	Y	JERSEY CITY, NJ, United States
06/2024 - Present	OSAIC WEALTH, INC.	Mass Transfer	Y	JERSEY CITY, NJ, United States
08/2014 - Present	SECURITIES AMERICA ADVISORS	IAR	Y	LA VISTA, NE, United States
08/2014 - Present	SECURITIES AMERICA INC	REGISTERED REPRESENTATIVE	Y	LA VISTA, NE, 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.

\*\*\*INSURANCE

POSITION: Supervisor NATURE: Insurance License INVESTMENT RELATED: Yes NUMBER OF HOURS: 1 SECURITIES TRADING HOURS: 1 START DATE: 03/23/2016 ADDRESS: 12325 Port Grace Blvd, LaVista NE 68128 DESCRIPTION: I hold a Insurance Life License as a Senior RSSP at Securities America as part of my job duties



## 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
Judgment/Lien	1

### Judgment/Lien

This disclosure event involves an unsatisfied and outstanding judgment or lien against the Investment Adviser Representative.

#### Disclosure 1 of 1

<b>Reporting Source:</b>	Individual
<b>Judgment/Lien Holder:</b>	HALLE J GOULD
<b>Judgment/Lien Amount:</b>	\$2,537.00
<b>Judgment/Lien Type:</b>	Civil
<b>Date Filed:</b>	11/19/2004
<b>Type of Court:</b>	CITY OF LAKEWOOD
<b>Name of Court:</b>	LAKEWOOD CITY COURT
<b>Location of Court:</b>	LAKEWOOD, OH
<b>Docket/Case #:</b>	4CVG2743
<b>Judgment/Lien Outstanding?</b>	Yes



## End of Report

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