



IAPD Report

JEFFREY JOSEPH ARBURN

CRD# 1475817

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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

JEFFREY JOSEPH ARBURN (CRD# 1475817)

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 **01/08/2025**.

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 **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 |
|-----------|-----------------------------------|-------|--------------|-------------------------|
| B | WOODBURY FINANCIAL SERVICES, INC. | 421 | CAMPBELL, CA | 05/25/2017 - 01/19/2024 |
| IA | WOODBURY FINANCIAL SERVICES, INC. | 421 | CAMPBELL, CA | 05/25/2017 - 01/19/2024 |
| IA | WHITEHALL-PARKER SECURITIES, INC | 10608 | CAMPBELL, CA | 02/15/2017 - 05/30/2017 |

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 |
|------------------|-------|
| Criminal | 1 |
| 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 **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 | General Securities Representative | Approved | 01/19/2024 |
| B | Arizona | Agent | Approved | 01/19/2024 |
| B | California | Agent | Approved | 01/19/2024 |
| IA | California | Investment Adviser Representative | Approved | 01/19/2024 |
| B | Colorado | Agent | Approved | 07/18/2024 |
| B | Idaho | Agent | Approved | 01/19/2024 |
| B | Nevada | Agent | Approved | 01/19/2024 |
| B | New York | Agent | Approved | 01/19/2024 |
| B | North Carolina | Agent | Approved | 01/19/2024 |
| B | Oregon | Agent | Approved | 01/19/2024 |
| B | Texas | Agent | Approved | 07/17/2024 |
| B | Washington | Agent | Approved | 01/19/2024 |
| IA | Washington | Investment Adviser Representative | Approved | 01/19/2024 |



Qualifications

Branch Office Locations

OSAIC WEALTH, INC.
880 E CAMPBELL AVENUE
SUITE 206
CAMPBELL, CA 95008



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 |
|------|----------|------|
|------|----------|------|


| | | | |
|---|--|-----|------------|
|  | Securities Industry Essentials Examination (SIE) | SIE | 10/01/2018 |
|---|--|-----|------------|

| | | | |
|---|--|----------|------------|
|  | General Securities Representative Examination (S7) | Series 7 | 03/15/1986 |
|---|--|----------|------------|

State Securities Law Exams

| Exam | Category | Date |
|------|----------|------|
|------|----------|------|

| | | | | |
|--|---|--|-----------|------------|
|  |  | Uniform Combined State Law Examination (S66) | Series 66 | 04/22/2017 |
|--|---|--|-----------|------------|

| | | | |
|---|--|-----------|------------|
|  | Uniform Securities Agent State Law Examination (S63) | Series 63 | 10/17/1986 |
|---|--|-----------|------------|

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 |
|----|-------------------------|------------------------------------|------------|-----------------|
| B | 05/25/2017 - 01/19/2024 | WOODBURY FINANCIAL SERVICES, INC. | CRD# 421 | CAMPBELL, CA |
| IA | 05/25/2017 - 01/19/2024 | WOODBURY FINANCIAL SERVICES, INC. | CRD# 421 | CAMPBELL, CA |
| IA | 02/15/2017 - 05/30/2017 | WHITEHALL-PARKER SECURITIES, INC | CRD# 10608 | CAMPBELL, CA |
| B | 08/02/2006 - 05/30/2017 | WHITEHALL-PARKER SECURITIES, INC. | CRD# 10608 | CAMPBELL, CA |
| B | 06/02/2005 - 05/10/2006 | WELLS FARGO INVESTMENTS, LLC | CRD# 10582 | SAN JOSE, CA |
| IA | 06/02/2005 - 05/10/2006 | WELLS FARGO INVESTMENTS, LLC | CRD# 10582 | SAN JOSE, CA |
| B | 03/22/1999 - 06/03/2005 | CUNA BROKERAGE SERVICES, INC. | CRD# 13941 | WAVERLY, IA |
| B | 07/26/1993 - 02/23/1999 | DEAN WITTER REYNOLDS INC. | CRD# 7556 | PURCHASE, NY |
| B | 12/23/1987 - 07/20/1993 | PRUDENTIAL SECURITIES INCORPORATED | CRD# 7471 | NEW YORK, NY |
| B | 04/09/1986 - 01/04/1988 | PAINWEBBER INCORPORATED | CRD# 8174 | |

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 | CAMPBELL, CA, United States |
| 05/2017 - 01/2024 | WOODBURY FINANCIAL SERVICES INC | REGISTERED REPRESENTATIVE | Y | CAMPBELL, CA, United States |
| 06/2006 - 05/2017 | Whitehall-Parker Securities | Registered Representative | Y | San Jose, CA, 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. JEFFREY J. ARBURN

POSITION: owner NATURE: LLC INVESTMENT RELATED: Yes NUMBER OF HOURS: 5 SECURITIES TRADING HOURS: 5

START DATE: 06/01/2006

ADDRESS: 880 E. Campbell Ave, Suite 206, Campbell CA 95008, United States

DESCRIPTION: Selling Life Insurance & LTC

2. IMPACT FINANCIAL MANAGEMENT LLC

POSITION: Owner NATURE: LLC INVESTMENT RELATED: Yes NUMBER OF HOURS: 5 SECURITIES TRADING HOURS: 5

START DATE: 06/01/2006

ADDRESS: 880 East Campbell Ave, Suite 206, Campbell CA 95008, United States

DESCRIPTION: This is a DBA name for securities business and on my business checking account used for business expenses.



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 |
|------------------|-------|
| Criminal | 1 |
| Customer Dispute | 1 |

Criminal

This disclosure event involves a criminal charge against the Investment Adviser Representative that has resulted in a dismissal, plea, acquittal or conviction. The criminal matter may relate to any felony or certain misdemeanor offenses (e.g., bribery, perjury, forgery, counterfeiting, extortion, fraud, wrongful taking of property).

Disclosure 1 of 1

| | |
|-----------------------------|---|
| Reporting Source: | Individual |
| Court Details: | MUNICIPAL COURT OF COUNTY OF SAN MATEO/STATE OF CALIFORNIA CRS205M175 |
| Charge Date: | 12/16/1988 |
| Charge Details: | VIOLETION OF VEHICLE CODE 23152A, 23152B. VC23152A: DRIVING A VEHICLE UNDER THE COMBINED INFLUENCE OF AN ALCOHOLIC BEVERAGE AND A DRUG VC23152B: DRIVING A VEHICLE WHILE HAVING 0.10% AND MORE, BY WEIGHT OF ALCOHOL IN HIS BLOOD. |
| Felony? | Yes |
| Current Status: | Final |
| Status Date: | 03/14/1989 |
| Disposition Details: | A MISDEMEANOR CONVICTION OF DRIVING UNDER THE INFLUENCE; 3 YEARS COURT PROBATION. A FINE OF \$991.00. PARTICIPATION IN AB-541 FIRST OFFENDER PROGRAM. RESTRICTION OF LICENSE. |
| Broker Statement | REGARDING THE "NO" RESPONSE TO QUESTION 22B ON MY U4 FORM: THE FBI RECORDS INDICATE I WAS CHARGED WITH A FELONY POSSESSION OF A CONTROLLED SUBSTANCE. THE ARREST CITATION INDICATES AN ARREST FOR SUSPICION OF VIOLATING VEHICLE CODE 23152A (DRIVING A VEHICLE WHILE UNDER THE INFLUENCE OF AN ALCOHOLIC BEVERAGE AND A DRUG UNDER THEIR COMBINED INFLUENCE)AND 23152B (DRIVING UNDER THE INFLUENCE OF ALCOHOL.) I ENTERED A NOLO CONTENDERE PLEA TO A VIOLATION OF VEHICLE CODE 23152B AND WAS SENTENCED ACCORDINGLY. NO CHARGES WERE FILED FOR THE 23152A FELONY POSSESSION, OR BEING UNDER THE INFLUENCE OF A DRUG AND ALCOHOL. |



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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: PAINWEBBER, INC.

Allegations:

Product Type:

Alleged Damages: \$28,000.00

Customer Complaint Information

Date Complaint Received:

Complaint Pending? No

Status: Arbitration/Reparation

Status Date:

Settlement Amount:

Individual Contribution Amount:

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: NATIONAL ASSOCIATION OF SECURITIES DEALERS, INC.; 88-000527

Date Notice/Process Served: 11/03/1988

Arbitration Pending? No

Disposition: Award to Customer

Disposition Date: 12/08/1988

Monetary Compensation Amount: \$15,591.27

Individual Contribution Amount: \$0.00

Firm Statement CUSTOMER FILED A COMPLAINT AGAINST ARBURN ALLEGING SUITABILITY, FAILURE TO INFORM THAT INTEREST WAS CHARGED FOR INVESTMENT ON MARGIN ACCOUNT, FAILURE TO INFORM THAT A COMMISSION WAS BUILT INTO THE OFFERING PRICE OF COUNTRYSIDE, AND WRONGFULLY INFORMATION THAT MONTHLY WITHDRAWALS FROM COLONIAL DID NOT INCLUDE HER PRINCIPAL. THE TYPE OF SECURITY INVOLVED WAS COLONIAL - MUTUAL FUND AND COUNTRYSIDE - NEW ISSUE. CLIENT SOUGHT DAMAGES IN THE AMOUNT OF \$28,000 PLUS INTEREST THEREON AT 10% PER ANNUM FROM 1/31/88 TO DATE OF ANY AWARD MADE HEREIN, AND PUNITIVE DAMAGES UP TO \$50,000 (AS DETERMINED BY THE



ARBITRATORS AND AN AMOUNT REPRESENTING A REASONABLE ATTORNEY'S FEE). THE RESOLUTION WAS THAT PAINWEBBER AND ARBURN WERE JOINTLY AND SEVERALLY LIABLE AND SHALL PAY TO CLAIMANTS THE SUM OF \$15,591.27. ARBURN WAS NOT MADE TO CONTRIBUTE TO THE SETTLEMENT. THE ABOVE-MENTIONED COMPLAINT WAS FILED ON 11/3/88 WITH THE NASD. IT WAS SETTLED ON 12/8/88.

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: PAINWEBBER, INC.

Allegations: VIOLATIONS OF SECTIONS 1, 2, 18, 27 OF ARTICLE III OF THE RULES OF FAIR PRACTICE. COMPENSATORY DAMAGES OF \$28,080.00 AND INTEREST @ 10% PER ANNUM FROM 1/31/88 TO DATE OF AWARD & \$50,000 PUNITIVE DAMAGES.

Product Type: Other

Other Product Type(s): GOVERNMENT SECURITIES FUNDS AND COMMON STOCK

Alleged Damages: \$28,000.00

Customer Complaint Information

Date Complaint Received: 02/16/1988

Complaint Pending? No

Status: Arbitration/Reparation

Status Date: 12/17/1988

Settlement Amount:

Individual Contribution Amount: \$0.00

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: NATIONAL ASSOCIATION OF SECURITIES DEALERS, INC.; 88-000527

Date Notice/Process Served: 11/03/1988

Arbitration Pending? No

Disposition: Award to Customer

Disposition Date: 12/08/1988

Monetary Compensation Amount: \$15,591.27

Individual Contribution Amount: \$0.00

Broker Statement \$15,500 AWARD TO [CUSTOMER] PAID BY PAINWEBBER ENTIRELY. SHE INCURRED LOSSES IN HER INVESTMENTS AND FELT I COULD HAVE OR SHOULD HAVE PREVENTED THE LOSSES. SHE FELT I DIDN'T FULLY EXPLAIN HOW THE INVESTMENT WORKED. SHE THOUGHT I MISLEAD HER OR DIDN'T ACT IN HER BEST INTEREST.



End of Report

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