



IAPD Report

JEFFREY PHILLIP DIEHL

CRD# 1525156

<u>Section Title</u>	<u>Page(s)</u>
Report Summary	1
Qualifications	2 - 3
Registration and Employment History	4 - 5
Disclosure Information	6

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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

JEFFREY PHILLIP DIEHL (CRD# 1525156)

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 **12/02/2025**.

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 **3** 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	APPLETON, WI	05/19/2011 - 01/19/2024
B	WOODBURY FINANCIAL SERVICES, INC.	421	APPLETON, WI	08/01/2007 - 01/19/2024
B	PACKERLAND BROKERAGE SERVICES, INC.	37031	APPLETON, WI	01/02/2003 - 08/01/2007

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 3 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	Direct Participation Programs	Approved	01/19/2024
B FINRA	Invest. Co and Variable Contracts	Approved	01/19/2024
B Arizona	Agent	Approved	04/26/2024
B Florida	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.
222 S STATE STREET
APPLETON, WI 54911



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
 Direct Participation Programs Representative Examination (S22)	Series 22	09/22/1988
 Investment Company Products/Variable Contracts Representative Examination (S6)	Series 6	07/17/1986

State Securities Law Exams

Exam	Category	Date
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 Uniform Investment Adviser Law Examination (S65)	Series 65	05/12/2011
 Uniform Securities Agent State Law Examination (S63)	Series 63	07/17/1986

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
IA	05/19/2011 - 01/19/2024	WOODBURY FINANCIAL SERVICES, INC.	CRD# 421	APPLETON, WI
B	08/01/2007 - 01/19/2024	WOODBURY FINANCIAL SERVICES, INC.	CRD# 421	APPLETON, WI
B	01/02/2003 - 08/01/2007	PACKERLAND BROKERAGE SERVICES, INC.	CRD# 37031	APPLETON, WI
B	08/13/2001 - 12/31/2002	FSC SECURITIES CORPORATION	CRD# 7461	ATLANTA, GA
B	12/10/1998 - 08/29/2001	SII INVESTMENTS, INC.	CRD# 2225	APPLETON, WI
B	03/12/1996 - 12/08/1998	WALNUT STREET SECURITIES, INC.	CRD# 15840	EL SEGUNDO, CA
B	07/12/1990 - 03/18/1996	HARBOUR INVESTMENTS, INC.	CRD# 19258	MADISON, WI
B	05/03/1988 - 07/23/1990	SECURA INVESTMENTS, INC.	CRD# 2225	APPLETON, WI
B	07/18/1986 - 05/18/1988	MML INVESTORS SERVICES, INC.	CRD# 10409	

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	APPLETON, WI, United States
01/1996 - Present	THE ADVISORY GROUP INC.	PRESIDENT	N	APPLETON, WI, United States
08/2007 - 01/2024	WOODBURY FINANCIAL SERVICES, INC.	REGISTERED REPRESENTATIVE	Y	APPLETON, WI, 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) THE ADVISORY GROUP, INC.

POSITION: President/Owner NATURE: Corporation, This is my company that I operate in conjunction with the sales and service of Insurance and related employee benefit programs. The company was established in 1996. INVESTMENT RELATED: No NUMBER OF HOURS: 80 SECURITIES TRADING HOURS: 80 START DATE: 01/01/1996 ADDRESS: 222 S. State. St., Appleton WI 54911 DESCRIPTION: Oversee the overall operations, as an officer, President, Chief marketing officer. develop and maintain relationships with clients both individual and corporate/business clients

2) MIDWEST SOLARS, INC.

POSITION: Board Member NATURE: Corporation involved in the Solar Business INVESTMENT RELATED: No NUMBER OF HOURS: 30 SECURITIES TRADING HOURS: 8 START DATE: 04/06/2023 ADDRESS: 910 COUNTRYSIDE PARKWAY, MONDOVI WI 54755 DESCRIPTION: I am working in an Advisory Capacity directly with President and CEO Tom Wingert. Tom had approached me two years ago to come on in an advisory capacity and asked that I work with him in developing his company when the time was right for expansion. I will be assuming an advisory/board position with Midwest Solars, Inc. This is separate from my Securities Practice, this board position is in the formation stage as of today.

3) VINTAGE PARTNERS, LLC

POSITION: Member/Owner NATURE: Business is structured as an LLC INVESTMENT RELATED: Yes NUMBER OF HOURS: 6 SECURITIES TRADING HOURS: 2 START DATE: 08/02/2011 ADDRESS: 222 S. State. St., Appleton WI 54911 DESCRIPTION: Vintage Partners LLC is an LLC that I own. The purpose of the LLC is to hold/own and collect rents for the building owned by the LLC and rents the space to The Advisory Group, Inc. which houses my financial services business for both my securities, insurance and employee benefits business. In addition Vintage Partners LLC is the company that I conduct my consulting business. In the consulting side of my business, we consult to business owners and identifying funding sources for capital for corporate expansion, corporate contract negotiations, advisement and placement of proper insurance and financial tools to satisfying capital markets requirements. With my 37 years' experience in working with privately held telecommunications firms, I will also bring assistance with regulatory, lobbying and government relationships to further company's project expansion plans.

4) BTA ADVISORY GROUP / BMI CONSULTING

POSITION: Advisor/Educator NATURE: Company provides high value tax savings strategies for High net worth individuals. Savings can be in form of benefit plans, charitable contributions, Insurance centric strategies such as private placement life insurance, or tax equity investments. Advisors are not involved in any aspect of decision making by clients or providing advice in connection with client transactions. Advisor activities are limited to educating clients about various options in connection with managing current and future tax exposure. This is a tax planning program under IRC Code section 181. INVESTMENT RELATED: No NUMBER OF HOURS: 6 SECURITIES TRADING HOURS: 2 START DATE: 11/20/2023 ADDRESS: 15520 Rockfield Blvd., Suite G, Irvine CA 92618 DESCRIPTION: Working with BTA Advisory Group, does not involved my advisory or securities business. This is working relationship to introduce high net worth clients to various tax planning concepts found with in IRS Code. I have had lengthy relationship with BTA Advisory Group, role would be to manage the relationship between clients in my location while BTA Advisory maintains all other responsibilities.(These clients are not my securities clients)

5) HORTONVILLE POLAR BEAR RIDERS SNOWMOBILE AND ATV CLUB

POSITION: Vice President NATURE: Local Snowmobile and ATV Club INVESTMENT RELATED: No NUMBER OF HOURS: 5 SECURITIES TRADING HOURS: 0 START DATE: 11/02/2025 ADDRESS: 531 N. Nash St, no address, Hortonville WI 54944 DESCRIPTION: Vice President of club, support President and assume his duties in his absence



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: Individual

Employing firm when activities occurred which led to the complaint: WOODBURY FINANCIAL SERVICES, INC.

Allegations: CLIENT ALLEGES THAT SHE CONTACTED THE REPRESENTATIVE TO WITHDRAW FUNDS FROM A RETIREMENT ACCOUNT TO FUND A HOME PURCHASE. CLIENT ALLEGES THAT THE REPRESENTATIVE ADVISED HER TO COMBINE HER FUNDS IN ONE MUTUAL FUND FAMILY AND TAKE A LOAN RATHER THAN WITHDRAWING FUNDS FROM HER ACCOUNTS. CLIENT ALLEGES THAT THE REP FAILED TO DISCLOSE COMMISSIONS RELATED TO THE TRANSACTIONS AND THAT THIS CAUSED HALF OF HER MARKET LOSS.

Product Type: Mutual Fund(s)

Alleged Damages: \$0.00

Customer Complaint Information

Date Complaint Received: 12/30/2008

Complaint Pending? No

Status: Denied

Status Date: 02/20/2009

Settlement Amount:

Individual Contribution Amount:

Broker Statement DAMAGE AMOUNT IF OVER \$5000, CANNOT DETERMINE EXACT AMOUNT.



End of Report

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