IAPD Report

DAVID MICHAEL PINTARIC

CRD# 1605115

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

DAVID MICHAEL PINTARIC (CRD# 1605115)

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 **09/25/2024**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	OSAIC WEALTH, INC.	CRD# 23131	06/14/2024
IA	OSAIC WEALTH, INC.	CRD# 23131	06/14/2024

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **31** 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	SECURITIES AMERICA ADVISORS, INC.	110518	YOUNGSTOWN, OH	09/18/2019 - 06/14/2024
B	SECURITIES AMERICA, INC.	10205	YOUNGSTOWN, OH	09/18/2019 - 06/14/2024
IA	SA STONE INVESTMENT ADVISORS INC.	174182	Youngstown, OH	01/30/2015 - 07/01/2019

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	2

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 **31** 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	Financial and Operations Principal	Approved	06/14/2024
B	FINRA	General Securities Principal	Approved	06/14/2024
B	FINRA	General Securities Representative	Approved	06/14/2024
B	FINRA	Registered Options Principal	Approved	06/14/2024
B	Alabama	Agent	Approved	06/14/2024
B	Arizona	Agent	Approved	07/10/2024
B	California	Agent	Approved	06/28/2024
B	Colorado	Agent	Approved	06/14/2024
B	Connecticut	Agent	Approved	07/19/2024
B	Delaware	Agent	Approved	06/14/2024
B	Florida	Agent	Approved	06/14/2024
B	Georgia	Agent	Approved	07/01/2024
B	Illinois	Agent	Approved	06/14/2024

Qualifications

	Regulator	Registration	Status	Date
B	Indiana	Agent	Approved	06/14/2024
B	Kansas	Agent	Approved	06/28/2024
B	Kentucky	Agent	Approved	07/02/2024
B	Maine	Agent	Approved	07/02/2024
B	Maryland	Agent	Approved	06/14/2024
B	Massachusetts	Agent	Approved	06/14/2024
B	Michigan	Agent	Approved	07/02/2024
B	Missouri	Agent	Approved	06/14/2024
B	Nebraska	Agent	Approved	06/28/2024
B	New Jersey	Agent	Approved	06/14/2024
B	New Mexico	Agent	Approved	06/14/2024
B	New York	Agent	Approved	06/14/2024
B	North Carolina	Agent	Approved	06/14/2024
IA	North Carolina	Investment Adviser Representative	Approved	06/14/2024
B	Ohio	Agent	Approved	06/14/2024
IA	Ohio	Investment Adviser Representative	Approved	06/14/2024
B	Pennsylvania	Agent	Approved	06/14/2024
IA	Pennsylvania	Investment Adviser Representative	Approved	06/14/2024
B	South Carolina	Agent	Approved	07/03/2024

Qualifications

	Regulator	Registration	Status	Date
B	Tennessee	Agent	Approved	07/01/2024
B	Texas	Agent	Approved	06/14/2024
IA	Texas	Investment Adviser Representative	Restricted Approval	09/26/2024
B	Virginia	Agent	Approved	06/14/2024
B	Washington	Agent	Approved	06/14/2024
B	West Virginia	Agent	Approved	06/14/2024
B	Wisconsin	Agent	Approved	06/14/2024

Branch Office Locations

OSAIC WEALTH, INC.
4407 BELMONT AVE
YOUNGSTOWN, OH 44505

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 3 principal/supervisory exams, 2 general industry/product exams, and 2 state securities law exams.

Principal/Supervisory Exams

	Exam	Category	Date
B	Registered Options Principal Examination (S4)	Series 4	12/05/1994
B	Financial and Operations Principal Examination (S27)	Series 27	04/29/1994
B	General Securities Principal Examination (S24)	Series 24	01/13/1989

General Industry/Product Exams

	Exam	Category	Date
B	Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
B	General Securities Representative Examination (S7)	Series 7	12/20/1986

State Securities Law Exams

	Exam	Category	Date
IA	Uniform Investment Adviser Law Examination (S65)	Series 65	03/23/1995
B	Uniform Securities Agent State Law Examination (S63)	Series 63	02/10/1993

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
IA	09/18/2019 - 06/14/2024	SECURITIES AMERICA ADVISORS, INC.	CRD# 110518	YOUNGSTOWN, OH
B	09/18/2019 - 06/14/2024	SECURITIES AMERICA, INC.	CRD# 10205	YOUNGSTOWN, OH
IA	01/30/2015 - 07/01/2019	SA STONE INVESTMENT ADVISORS INC.	CRD# 174182	Youngstown, OH
B	09/12/2014 - 07/01/2019	SA STONE WEALTH MANAGEMENT INC.	CRD# 18456	YOUNGSTOWN, OH
B	10/08/2014 - 07/15/2016	WRP INVESTMENTS, INC.	CRD# 7365	YOUNGSTOWN, OH
IA	12/16/2014 - 01/30/2015	STERNE AGEE INVESTMENT ADVISOR SERVICES, INC.	CRD# 7365	YOUNGSTOWN, OH
B	12/23/1986 - 09/12/2014	WRP INVESTMENTS, INC.	CRD# 7365	YOUNGSTOWN, OH

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	YOUNGSTOWN, OH, United States
09/2019 - 06/2024	Securities America Advisors	IAR	Y	YOUNGSTOWN, OH, United States
09/2019 - 06/2024	Securities America, Inc.	Registered Rep	Y	YOUNGSTOWN, OH, United States
07/2019 - 09/2019	unemployed	Unemployed	N	Canfield, OH, United States
01/2015 - 06/2019	STERNE AGEE INVESTMENT ADVISOR SERVICES, INC.	Mass Transfer	Y	BIRMINGHAM, AL, United States
09/2014 - 06/2019	STERNE AGEE FINANCIAL SERVICES, INC.	Mass Transfer	Y	YOUNGSTOWN, OH, 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.

**WLLIAM R PINTARIC & ASSOCIATES, LLC
POSITION: Owner NATURE: William R Pintaric & Associates, LLC is the company is which I will employ staff to support my OSJ activities. INVESTMENT RELATED: No NUMBER OF HOURS: 160 SECURITIES TRADING HOURS: 0 START DATE: 10/01/2019 ADDRESS: 4407 Belmont Ave, Youngstown OH 44505 DESCRIPTION: William R Pintaric & Associates, LLC is the company is which I will employ staff to support my OSJ activities.

**WILLIAM R PINTARIC & ASSOCIATES, LLC
POSITION: Sales NATURE: Life insurance sales INVESTMENT RELATED: Yes NUMBER OF HOURS: 160 SECURITIES TRADING HOURS: 8 START DATE: 09/16/2019 ADDRESS: 4407 Belmont Ave, Youngstown OH 44505 DESCRIPTION: Life insurance sales

**DAVID PINTARIC RACING
POSITION: Driver NATURE: Professional automobile racing INVESTMENT RELATED: No NUMBER OF HOURS: 12 SECURITIES TRADING HOURS: 0 START DATE: 09/16/2019 ADDRESS: 1105 Fox Den Trail, Canfield OH 44406 DESCRIPTION: Automobile racing

**PINTARIC IRREVOCABLE TRUST
POSITION: Trustee NATURE: Trustee of Pintaric Irrevocable Trust INVESTMENT RELATED: No NUMBER OF HOURS: 1 SECURITIES TRADING HOURS: 0 START DATE: 09/16/2019 ADDRESS: 1105 Fox Den Trail, Canfield OH 44406 DESCRIPTION: I am trustee of my daughter's Irrevocable trust

**SAA
POSITION: IAR NATURE: Investment Advisory Representative with Securities America Advisors INVESTMENT RELATED: Yes NUMBER OF HOURS: 160 SECURITIES TRADING HOURS: 8 START DATE: 09/16/2019 ADDRESS: 4407 Belmont Ave, Youngstown OH 44505 DESCRIPTION: Investment Advisor Representative

**SCOOP MEDIA, LLC
POSITION: 10% owner NATURE: Scoop Media, LLC; a web-based discussions board focused on Ohio State college football. INVESTMENT RELATED: No NUMBER OF HOURS: 10 SECURITIES TRADING HOURS: 0 START DATE: 07/31/2022 ADDRESS: 2515 Bryn Mawr Drive, Lewis Center OH 43035, United States
DESCRIPTION: I have been asked to invest in to this LLC. My role as a 10% owner of the LLC will to help manage the other two members who will own 45% of the LLC each. I will also help with strategic decisions of the company.

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	2

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 2

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	WRP Investments, INc.
Allegations:	Plaintiff alleges the control persons of broker-dealer failed to properly supervise a representative who was selling promissory notes to a client. The control persons were not aware of these transactions.
Product Type:	Promissory Note
Alleged Damages:	$828,583.00
Is this an oral complaint?	No
Is this a written complaint?	Yes
Is this an arbitration/CFTC reparation or civil litigation?	Yes
Arbitration/Reparation forum or court name and location:	Cuyahoga County Clerk of Courts
Docket/Case #:	CV16873171
Filing date of arbitration/CFTC reparation or civil litigation:	12/19/2016

Customer Complaint Information

Date Complaint Received:	12/19/2016
Complaint Pending?	No

Status:	Evolved into Arbitration/CFTC reparation (the individual is a named party)
Status Date:	02/02/2018
Settlement Amount:	
Individual Contribution Amount:	

Arbitration Information

Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.):	FINRA
Docket/Case #:	17-02496
Date Notice/Process Served:	09/18/2017
Arbitration Pending?	No
Disposition:	Settled
Disposition Date:	02/13/2018
Monetary Compensation Amount:	$263,395.00
Individual Contribution Amount:	$0.00

Civil Litigation Information

Type of Court:	State Court
Name of Court:	common pleas
Location of Court:	Cuyahoga County, Ohio
Docket/Case #:	CV16873171
Date Notice/Process Served:	12/19/2016
Litigation Pending?	No
Disposition:	Other: Evolved to Arbitration
Disposition Date:	03/29/2017
Monetary Compensation Amount:	$0.00
Individual Contribution Amount:	$0.00
Broker Statement	Initial filing was civil case where Pintaric was named in the case. Evolved to arbitration was filed where Pintaric is named. Could not remove data from section 7 due to system restrictions. FINRA arbitration is still pending.

Disclosure 2 of 2

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	WRP INVESTMENTS, INC.
Allegations:	Plaintiff alleges the control persons of broker-dealer failed to properly supervise a representative that caused them and a family member to invest large sums in an

	unsuitable investment between 11/20/09 and 07/16/12
Product Type:	Promissory Note
Alleged Damages:	$345,000.00
Alleged Damages Amount Explanation (if amount not exact):	THIS AMOUNT PLUS OTHER NON-SPECIFIED DAMAGES

Arbitration Information

Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.):	FINRA
Docket/Case #:	16-00907
Date Notice/Process Served:	04/01/2016
Arbitration Pending?	No
Disposition:	Settled
Disposition Date:	02/13/2018
Monetary Compensation Amount:	$286,605.00
Individual Contribution Amount:	$0.00

Civil Litigation Information

Type of Court:	State Court
Name of Court:	COURT OF COMMON PLEAS
Location of Court:	CUYAHOGA COUNTY, OHIO
Docket/Case #:	CV 16 858422
Date Notice/Process Served:	02/09/2016
Litigation Pending?	No
Disposition:	Other: STAYED PENDING ARBITRATION
Disposition Date:	05/25/2016
Broker Statement	FIRM AND ITS OFFICERS DENY THE MATERIAL ALLEGATIONS IN THE STATEMENT OF CLAIM. This matter started as a civil case where it evolved into an arbitration. The civil case is closed due to it evolving to the arbitration.

End of Report

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