



IAPD Report

GLEN ALLEN CLEMANS

CRD# 1618828

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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

GLEN ALLEN CLEMANS (CRD# 1618828)

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 **12/12/2025**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	OSAIC WEALTH, INC.	CRD# 23131	11/19/1989
IA	CGC FINANCIAL SERVICES	CRD# 155446	01/03/2011

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **35** 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	INTEGRATED RESOURCES EQUITY CORPORATION	6403	LOCATION	01/21/1987 - 11/19/1989

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 **35** jurisdiction(s) and 1 SRO(s) through his or her employer(s).

Employment 1 of 2

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	11/19/1989
B Alaska	Agent	Approved	08/11/2000
B Arizona	Agent	Approved	03/17/2000
B Arkansas	Agent	Approved	06/27/2022
B California	Agent	Approved	06/12/1995
B Colorado	Agent	Approved	10/19/1998
B Connecticut	Agent	Approved	04/29/2008
B District of Columbia	Agent	Approved	09/22/2015
B Florida	Agent	Approved	04/17/1998
B Hawaii	Agent	Approved	08/11/2000
B Idaho	Agent	Approved	08/20/2007
B Kansas	Agent	Approved	08/27/2010
B Louisiana	Agent	Approved	08/04/2017



Qualifications

Regulator	Registration	Status	Date
B Maine	Agent	Approved	11/04/1999
B Maryland	Agent	Approved	02/26/2008
B Massachusetts	Agent	Approved	12/01/2011
B Minnesota	Agent	Approved	02/04/2011
B Missouri	Agent	Approved	10/03/2003
B Montana	Agent	Approved	08/11/2000
B Nevada	Agent	Approved	07/24/1995
B New Hampshire	Agent	Approved	03/05/2013
B New Jersey	Agent	Approved	08/11/2000
B New Mexico	Agent	Approved	01/12/2005
B New York	Agent	Approved	03/16/2000
B North Carolina	Agent	Approved	09/08/2017
B Ohio	Agent	Approved	05/27/2003
B Oregon	Agent	Approved	11/19/1989
B Pennsylvania	Agent	Approved	06/29/2006
B Rhode Island	Agent	Approved	07/14/2025
B South Carolina	Agent	Approved	01/27/2015
B Tennessee	Agent	Approved	06/30/1998
B Texas	Agent	Approved	03/16/2000



Qualifications

Regulator	Registration	Status	Date
B Utah	Agent	Approved	12/02/2015
B Virginia	Agent	Approved	04/25/1996
B Washington	Agent	Approved	11/19/1989
B Wisconsin	Agent	Approved	09/05/2003

Branch Office Locations

OSAIC WEALTH, INC.
 5 Centerpointe Drive
 Suite 550
 Lake Oswego, OR 97035

Employment 2 of 2

Firm Name: **CGC FINANCIAL SERVICES**
 Main Address: 5 CENTERPOINTE DR SUITE 550
 LAKE OSWEGO, OR 97035
 Firm ID#: 155446

Regulator	Registration	Status	Date
IA Oregon	Investment Adviser Representative	Approved	01/03/2011
IA Texas	Investment Adviser Representative	Restricted Approval	11/28/2023

Branch Office Locations

CGC FINANCIAL SERVICES
 5 CENTERPOINTE DR SUITE 550
 LAKE OSWEGO, OR 97035



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
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B Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
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B General Securities Representative Examination (S7)	Series 7	01/17/1987
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State Securities Law Exams

Exam	Category	Date
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IA B Uniform Combined State Law Examination (S66)	Series 66	11/05/2001
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B Uniform Securities Agent State Law Examination (S63)	Series 63	05/19/1987
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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	01/21/1987 - 11/19/1989	INTEGRATED RESOURCES EQUITY CORPORATION	CRD# 6403	

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
09/2006 - Present	Royal Alliance Associates and CGC Financial Services	Partner -	Y	Lake Oswego, OR, United States
08/2006 - Present	CGC FINANCIAL SERVICES	PARTNER	Y	LAKE OSWEGO, OR, United States
11/1989 - Present	OSAIC WEALTH, INC.	OTHER - Representative	Y	LAKE OSWEGO, OR, 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) INDEPENDENT RIA INVESTMENT ADVISORY THROUGH CGC FINANCIAL SERVICES LLC, GLEN HAS BEEN A PART OF THE INDEPENDENT RIA SINCE 8/06 AND SPENDS 1 HOUR PER MONTH, NONE DURING TRADING HOURS.

2) CGC FINANCIAL SERVICES

POSITION: Partner - NATURE: RIA, Limited Liability Company - INVESTMENT RELATED: Yes NUMBER OF HOURS: 120
SECURITIES TRADING HOURS: 90 START DATE: 09/01/2006
ADDRESS: Five Centerpointe Drive, Suite 550, Lake Oswego, OR 97035, Lake Oswego OR 97035, United States
DESCRIPTION: 3040 management of Independent RIA investments for clients at Charles Schwab. Financial planning using Osaic approved Money Tree Software

4) GLEN CLEMANS

POSITION: Owner - NATURE: Sole Proprietorship - INVESTMENT RELATED: No NUMBER OF HOURS: 2 SECURITIES
TRADING HOURS: 2 START DATE: 01/01/1987
ADDRESS: Five Centerpointe Drive, Suite 550, Lake Oswego OR 97035, United States
DESCRIPTION: I offer fixed and variable annuities, term life insurance. All variable products run through Royal Alliance Associates

5) GLEN GARCELON FOUNDATION

POSITION: Board Member - NATURE: Non-Profit - INVESTMENT RELATED: No NUMBER OF HOURS: 1 SECURITIES
TRADING HOURS: 0 START DATE: 06/01/2010
ADDRESS: 1316 Stonecrest Dr, Coppell TX 75019, United States
DESCRIPTION: Advisory board. Brain tumor research and education

6) GLEN CLEMANS TRUSTEE

POSITION: Power of Attorney and Trustee NATURE: I act as Power of Attorney and co trustee on my mother's finances. Her



Registration & Employment History



OTHER BUSINESS ACTIVITIES

name is Marjorie Creitz INVESTMENT RELATED: No NUMBER OF HOURS: 1 SECURITIES TRADING HOURS: 1 START DATE: 12/01/2021

ADDRESS: Five Centerpointe Drive, Suite 550, Lake Oswego OR 97035, United States

DESCRIPTION: Help my mother with bill paying and managing her affairs. She is still involved but is ageing and wants assistance

7) PERSONAL REPRESENTATIVE

POSITION: Personal Representative NATURE: Personal representative for the Estate of Mary Gast INVESTMENT RELATED: No

NUMBER OF HOURS: 4 SECURITIES TRADING HOURS: 4 START DATE: 06/20/2023

ADDRESS: Five Centerpointe Drive suite 550, Lake Oswego OR 97035, United States

DESCRIPTION: Personal Representative

8) SHERWOOD COMMUNITY FRIENDS CHURCH

POSITION: Member of the Stewardship Advisory Board NATURE: 501c3 Church INVESTMENT RELATED: No NUMBER OF

HOURS: 1 SECURITIES TRADING HOURS: 0 START DATE: 08/15/2024

ADDRESS: 23264 SW Main Street, Sherwood OR 97140, United States

DESCRIPTION: Advise pastor and church board on budget, managing church 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
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:	ROYAL ALLIANCE ASSOCIATES, INC.
Allegations:	CLAIMANT ALLEGES BREACH OF CONTRACT AND NEGLIGENCE JANUARY 2004.
Product Type:	Annuity(ies) - Variable
Alleged Damages:	\$129,030.01

Customer Complaint Information

Date Complaint Received:	12/19/2005
Complaint Pending?	No
Status:	Arbitration/Reparation
Status Date:	12/19/2005

Settlement Amount:

Individual Contribution Amount:

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.:	NASD 05-05996. CUSTOMER V. GLEN CLEMANS, ROYAL ALLIANCE AND PEARSON FINANCIAL.
Date Notice/Process Served:	12/19/2005



Arbitration Pending? No

Disposition: Settled

Disposition Date: 05/17/2006

Monetary Compensation Amount: \$30,000.00

Individual Contribution Amount: \$7,550.00

Broker Statement SETTLED SOLELY TO AVOID COSTS AND BURDENS OF LITIGATION. SETTLEMENT REPRESENTED A SUM THAT WAS SUBSTANTIALLY LESS THAN ARBITRATION COSTS THAT WOULD HAVE BEEN INCURRED.

Disclosure 2 of 2

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint:

Allegations: ALLEGE OMISSION OF MATERIAL FACT CONCERNING SALE OF MUTUAL FUNDS.

Product Type:

Alleged Damages:

Customer Complaint Information

Date Complaint Received: 08/27/1997

Complaint Pending? No

Status: Settled

Status Date: 01/08/1998

Settlement Amount: \$2,168.51

Individual Contribution Amount:

Broker Statement SETTLEMENT OF \$2,168.51
CUSTOMER HAS BEEN A MUTUAL FUND INVESTOR THROUGH ME FOR 10 YEARS. I BELIEVE HE UNDERSTOOD RISK, FLUCTUATION, AND SALE CHARGES FOR EARLY WITHDRAWAL IN HIS FIDELITY ACCOUNTS THROUGH MY EXPLANATIONS AND PROSPECTUS` HE RECEIVED. CUSTOMER'S INVESTMENTS YIELDED A 16% RETURN IN THE YEAR HE HELD THEM. THE \$2168-51 HE ~LOST~ WAS SALES CHARGES FOR EARLY WITHDRAWAL OF FUNDS HE USED TO PURCHASE A SECOND HOME WITH DOLLARS DESIGNATED FOR LONG-TERM (5 YEARS) INVESTMENT. THE ALLEGED OMISSION WAS SALES CHARGES FOR EARLY WITHDRAWAL.



End of Report

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