



IAPD Report

STEPHEN MARSHALL GRICE

CRD# 1628112

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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

STEPHEN MARSHALL GRICE (CRD# 1628112)

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 **10/28/2025**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	OSAIC WEALTH, INC.	CRD# 23131	11/02/2018
IA	OSAIC WEALTH, INC.	CRD# 23131	11/02/2018

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **41** 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	SIGNATOR INVESTORS, INC.	468	CHARLOTTE, NC	05/13/2016 - 11/02/2018
IA	SIGNATOR INVESTORS, INC.	468	CHARLOTTE, NC	05/13/2016 - 11/02/2018
B	TRANSAMERICA FINANCIAL ADVISORS, INC	16164	CHARLOTTE, NC	09/04/2009 - 05/13/2016

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	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 **41** 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	Corporate Securities Represent	Approved	11/02/2018
B	FINRA	General Securities Principal	Approved	11/02/2018
B	FINRA	Invest. Co and Variable Contracts	Approved	11/02/2018
B	Alabama	Agent	Approved	11/02/2018
B	Alaska	Agent	Approved	04/17/2019
B	Arizona	Agent	Approved	02/25/2019
B	Arkansas	Agent	Approved	11/02/2018
B	California	Agent	Approved	11/02/2018
B	Colorado	Agent	Approved	11/02/2018
IA	Colorado	Investment Adviser Representative	Approved	11/02/2018
B	Connecticut	Agent	Approved	02/28/2019
B	District of Columbia	Agent	Approved	11/02/2018
IA	District of Columbia	Investment Adviser Representative	Approved	11/02/2018



Qualifications

	Regulator	Registration	Status	Date
B	Florida	Agent	Approved	11/02/2018
IA	Florida	Investment Adviser Representative	Approved	08/18/2023
B	Georgia	Agent	Approved	11/02/2018
IA	Georgia	Investment Adviser Representative	Approved	07/31/2023
B	Hawaii	Agent	Approved	10/29/2025
B	Illinois	Agent	Approved	05/17/2019
B	Indiana	Agent	Approved	11/02/2018
B	Iowa	Agent	Approved	02/11/2019
IA	Iowa	Investment Adviser Representative	Approved	02/12/2019
B	Kansas	Agent	Approved	02/28/2019
B	Kentucky	Agent	Approved	05/22/2019
B	Maine	Agent	Approved	02/05/2024
B	Maryland	Agent	Approved	02/15/2019
IA	Maryland	Investment Adviser Representative	Approved	02/22/2019
B	Massachusetts	Agent	Approved	07/16/2019
B	Michigan	Agent	Approved	12/06/2018
IA	Michigan	Investment Adviser Representative	Approved	01/04/2019
B	Missouri	Agent	Approved	11/02/2018
B	Montana	Agent	Approved	11/02/2018



Qualifications

	Regulator	Registration	Status	Date
B	Nevada	Agent	Approved	06/17/2019
B	New Hampshire	Agent	Approved	03/10/2025
B	New Jersey	Agent	Approved	11/02/2018
B	New Mexico	Agent	Approved	11/02/2018
B	New York	Agent	Approved	11/02/2018
B	North Carolina	Agent	Approved	11/02/2018
IA	North Carolina	Investment Adviser Representative	Approved	11/02/2018
B	Ohio	Agent	Approved	02/11/2019
B	Oklahoma	Agent	Approved	02/25/2019
B	Oregon	Agent	Approved	11/02/2018
IA	Pennsylvania	Investment Adviser Representative	Approved	02/12/2019
B	Pennsylvania	Agent	Approved	02/14/2019
B	Rhode Island	Agent	Approved	07/16/2020
B	South Carolina	Agent	Approved	11/02/2018
IA	South Carolina	Investment Adviser Representative	Approved	07/28/2023
B	Tennessee	Agent	Approved	04/02/2019
B	Texas	Agent	Approved	11/02/2018
IA	Texas	Investment Adviser Representative	Restricted Approval	07/28/2023



Qualifications

Regulator	Registration	Status	Date
B Virginia	Agent	Approved	11/02/2018
B Washington	Agent	Approved	11/02/2018
B West Virginia	Agent	Approved	05/26/2020
B Wisconsin	Agent	Approved	06/15/2022
B Wyoming	Agent	Approved	04/01/2019

Branch Office Locations

OSAIC WEALTH, INC.
310 ARLINGTON AVE
UNIT 308
CHARLOTTE, NC 28203




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 1 principal/supervisory exam, 3 general industry/product exams, and 1 state securities law exam.


Principal/Supervisory Exams

Exam	Category	Date
 General Securities Principal Examination (S24)	Series 24	03/21/1995

General Industry/Product Exams

Exam	Category	Date
 Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
 Corporate Securities Limited Representative Examination (S62)	Series 62	01/18/1995
 Investment Company Products/Variable Contracts Representative Examination (S6)	Series 6	05/28/1987

State Securities Law Exams

Exam	Category	Date
 Uniform Securities Agent State Law Examination (S63)	Series 63	06/17/1987

PROFESSIONAL DESIGNATIONS

This section details that the representative has reported **1** professional designation(s).

Certified Financial Planner

This representative holds or did hold **1** professional designation(s) that may have been used to qualify as an Investment Advisor representative. Please check with the appropriate designation authority for verification that the designation is still in effect. The contact information for these professional designation authorities can be found on the website for the North American Securities Administrators Association at <http://www.nasaa.org>



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	05/13/2016 - 11/02/2018	SIGNATOR INVESTORS, INC.	CRD# 468	CHARLOTTE, NC
IA	05/13/2016 - 11/02/2018	SIGNATOR INVESTORS, INC.	CRD# 468	CHARLOTTE, NC
B	09/04/2009 - 05/13/2016	TRANSAMERICA FINANCIAL ADVISORS, INC	CRD# 16164	CHARLOTTE, NC
IA	09/04/2009 - 05/13/2016	TRANSAMERICA FINANCIAL ADVISORS, INC.	CRD# 16164	CHARLOTTE, NC
IA	07/14/1999 - 09/04/2009	TRANSAMERICA FINANCIAL ADVISORS, INC.	CRD# 3600	CHARLOTTE, NC
B	11/14/1989 - 09/04/2009	TRANSAMERICA FINANCIAL ADVISORS, INC.	CRD# 3600	CHARLOTTE, NC
B	11/14/1989 - 08/01/1995	TRANSAMERICA SECURITIES SALES CORPORATION	CRD# 17970	LOS ANGELES, CA
B	06/25/1987 - 10/19/1989	MONY SECURITIES CORP.	CRD# 4386	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
11/2018 - Present	OSAIC WEALTH, INC.	Mass Transfer	Y	CHARLOTTE, NC, United States
05/2016 - Present	SIGNATOR INVESTORS, INC.	Reg Rep	Y	CHARLOTTE, NC, United States
08/1988 - Present	FURMAN INSURANCE AGENCY	BROKERAGE MGR.	Y	CHARLOTTE, NC, 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) GRICE FINANCIAL GROUP
 POSITION: Officer NATURE: S Corp - fixed insurance sales and consulting INVESTMENT RELATED: Yes NUMBER OF HOURS: 4
 SECURITIES TRADING HOURS: 0 START DATE: 05/01/1998
 ADDRESS: 4400 Carmel Valley Rd, Charlotte NC 28226, United States



Registration & Employment History



OTHER BUSINESS ACTIVITIES

DESCRIPTION: Help manage and work with the bookkeeper. GFG merged into Dixon Wells in 12/1999. GFG continues to receive residual income.

2) PROFESSIONAL LIFE ADVISORS NETWORK

POSITION: Officer NATURE: Non-Profit, Insurance Wholesaler focused on Institutional Accounts INVESTMENT RELATED: Yes
NUMBER OF HOURS: 5 SECURITIES TRADING HOURS: 5 START DATE: 08/01/2005
ADDRESS: 2820 Selwyn Ave, Suite 626, Charlotte NC 28209, United States
DESCRIPTION: Board of Directors

3) MARSHALL FAIRFAX

POSITION: Member NATURE: LLC INVESTMENT RELATED: Yes NUMBER OF HOURS: 2 SECURITIES TRADING HOURS: 0
START DATE: 10/06/2020
ADDRESS: 4400 Carmel Valley Rd, Charlotte NC 28226, United States
DESCRIPTION: Owning/managing real estate.



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
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Criminal	2
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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 2

Reporting Source:	Individual
Court Details:	STATE OF NORTH CAROLINA - COUNTY OF MECKLENBURG 80-CR-9751, 9752 & 9753
Charge Date:	07/28/1980
Charge Details:	2 COUNTS OF ASSAULT WITH A DEADLY WEAPON AND 1 COUNT OF DAMAGE TO PERSONAL PROPERTY. CHARGES REDUCED TO MISDEMEANORS.
Felony?	Yes
Current Status:	Final
Status Date:	08/26/1980
Disposition Details:	COMBINED SENTENCE - CONVICTED, SENTENCE SUSPENDED 6-12 MT TWO YEAR PROBATION, 100 FINE, 605 RESTITUTION. PROBATION TERMINATED ON 5/22/81. PER MY LAWYER @ THE TIME, THE SENTENCE WAS REDUCED TO MISDEMEANOR CHARGES THRU THE SETTLEMENT PLEA! IF THIS IS FELONIOUS, I WAS UNAWARE THAT THESE CHARGES WERE SUCH.
Broker Statement	THE ABOVE WAS THE RESULT OF A MAN NAMED DANNY PURYER HAD BEEN CONTINUOUSLY HARASSING ME AS A RESULT OF THE IMPRESSION ON HIS PART THAT I WAS THE CAUSE OF HIS LOSS OF EMPLOYMENT AT THE APARTMENT COMPLEX WHERE I LIVED. MR. PURYER ARRIVED @ MY HOUSE WITH TWO COMPANIONS AT 3:00 A.M. DEMANDING THAT I COME OUTSIDE. FOR FEAR OF SAFETY I REFUSED TO COME OUT AND AT THAT TIME MR. PURYER & FRIENDS BEGAN TO TAMPER WITH MY CAR. AT THAT TIME I WENT OUTSIDE WITH A SHOTGUN WHEREUPOON MR. PURYER AND ONE COMPANION GO INTO VEHICLE WHILE THE OTHER LEFT ON FOOT. FIRED ONE SHOT OF BUCKSHOT)INTO THE AIR AND APPARENTLY SOME OF THE SOT HIT THE CAR. MR. PURYER HAS AN EXTENSIVE CRIMINAL RECORD. THAT I COME OUTSIDE. FOR FEAR OF SAFETY I REFUSED TO COME OUT



AND @ THAT TIME MR. PURYER & FRIENDS BEGAN TO TAMPER WITH MY CAR. AT THAT TIME I WENT OUTSIDE WITH A SHOTGUN WHEREUPON MR. PURYER & 1 COMPANION GOT INTO VEHICLE WHILE THE OTHER LEFT ON FOOT. FIRED ONE SHOT OF (BUCKSHOT) INTO THE AIR & APPARENTLY SOME OF THE SHOT HIT THE CAR. MY PURYER HAS AN EXTENSIVE CRIMINAL RECORD.

Disclosure 2 of 2

Reporting Source:

Individual

Court Details:

GREENVILLE POLICE DEPT.
FILE #78CRS 10107/FILM #78 19 995

Charge Date:

06/14/1978

Charge Details:

FELONIOUS LARCENY FOR THE TAKING OF A U.S.
MAILBOX

Felony?

Yes

Current Status:

Final

Status Date:

08/10/1978

Disposition Details:

PLEADED GUILTY OF MISD LARCENY AND GIVEN A PRAYER FOR
JUDGEMENT

Broker Statement

ON 6/14/78 WHILE ATTENDING COLLEGE AT EAST CAROLINA TWO FRIENDS AND I PICKED UP A MAILBOX THAT WAS LYING ON THE GROUND, PLACED IN TRUNK OF VEHICLE AND WAS PULLED BY CITY POLICE TWO BLOCKS DOWN THE ROAD. COPIES OF SWORN STATEMENTS ARE IN MY FILE WITH THE NASD, PLEASE REVIEW. IF THERE ARE ANY QUESTIONS PLEASE FEEL FREE TO CONTACT ME AS YOUR PROMPT & COURTEOUS ATTENTION WILL BE APPRECIATED.



End of Report

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