IAPD Report

BRIAN ROBERT PAGE

CRD# 1638729

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

BRIAN ROBERT PAGE (CRD# 1638729)

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 **01/22/2024**.

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 **4** 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	DARIEN, IL	04/02/2015 - 01/19/2024
B	WOODBURY FINANCIAL SERVICES, INC.	421	DARIEN, IL	03/17/2015 - 01/19/2024
IA	LPL FINANCIAL LLC	6413	DARIEN, IL	05/17/2010 - 03/30/2015

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
Regulatory Event	1
Criminal	1
Judgment/Lien	5

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 **4** 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	Illinois	Agent	Approved	01/19/2024
IA	Illinois	Investment Adviser Representative	Approved	01/19/2024
B	Indiana	Agent	Approved	01/19/2024
B	Michigan	Agent	Approved	01/19/2024
B	Wisconsin	Agent	Approved	01/19/2024

Branch Office Locations

OSAIC WEALTH, INC.
1450 PLAINFIELD RD
SUITE 2
DARIEN, IL 60561

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
B	Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
B	General Securities Representative Examination (S7)	Series 7	11/28/2000

State Securities Law Exams

	Exam	Category	Date
IA	Uniform Investment Adviser Law Examination (S65)	Series 65	05/15/2010
B	Uniform Securities Agent State Law Examination (S63)	Series 63	06/01/2001

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	04/02/2015 - 01/19/2024	WOODBURY FINANCIAL SERVICES, INC.	CRD# 421	DARIEN, IL
B	03/17/2015 - 01/19/2024	WOODBURY FINANCIAL SERVICES, INC.	CRD# 421	DARIEN, IL
IA	05/17/2010 - 03/30/2015	LPL FINANCIAL LLC	CRD# 6413	DARIEN, IL
B	05/18/2005 - 03/30/2015	LPL FINANCIAL LLC	CRD# 6413	DARIEN, IL
B	05/01/2001 - 05/17/2005	PEB FINANCIAL GROUP, INC.	CRD# 7708	CHICAGO, IL
B	11/30/2000 - 04/30/2001	EROOM SECURITIES L.L.C.	CRD# 41257	CHICAGO, IL

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	DARIEN, IL, United States
03/2015 - 01/2024	WOODBURY FINANCIAL SERVICES INC	REGISTERED REPRESENTATIVE	Y	DARIEN, IL, 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.

KIEFER FINANCIAL GROUP
POSITION: Financial Advisor NATURE: Corporation INVESTMENT RELATED: Yes NUMBER OF HOURS: 5 SECURITIES TRADING HOURS: 5 START DATE: 03/30/2011
ADDRESS: 1450 Plainfield Rd, Suite 2, Darien IL 60561, United States
DESCRIPTION: Kiefer Financial Group is a DBA that we use if we are doing joint financial advisory business or non-variable insurance

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
Regulatory Event	1
Criminal	1
Judgment/Lien	5

Regulatory Event

This disclosure event may include a final, formal proceeding initiated by a regulatory authority (e.g., a state securities agency, a federal regulator such as the Securities and Exchange Commission or the Commodities Futures Trading Commission, or a foreign financial regulatory body) for a violation of investment-related rules or regulations. This disclosure event may also include a revocation or suspension of an Investment Adviser Representative's authority to act as an attorney, accountant or federal contractor.

Disclosure 1 of 1

Reporting Source:	Regulator
Regulatory Action Initiated By:	CHICAGO BOARD OPTIONS EXCHANGE, INC.
Sanction(s) Sought:	Civil and Administrative Penalt(ies) /Fine(s)
Other Sanction(s) Sought:	ADDITIONALLY, IN THE EVENT THAT PAGE AGAIN BECOMES AN EXCHANGE MEMBER, HE IS REQUIRED TO COMPLETE AN UNDERTAKING WHEREBY PAGE WILL USE THE MARKET-MAKER HANDHELD TERMINAL ON A FULL-TIME, PERMANENT BASIS ("FULL-TIME" IS DEFINED HEREIN AS EXECUTING AND ENTERING AT LEAST 90% OF RESPONDENT'S MARKET-MAKER TRANSACTIONS ON THE HANDHELD TERMINAL) COMMENCING 30 DAYS FROM THE DATE THAT PAGE BEGINS TRADING AS AN EXCHANGE MEMBER.
Date Initiated:	03/30/1999
Docket/Case Number:	99-0011
Employing firm when activity occurred which led to the regulatory action:	LMB LIMITED PARTNERSHIP
Product Type:	Options
Other Product Type(s):	
Allegations:	SEE SUMMARY
Current Status:	Final
Resolution:	Decision & Order of Offer of Settlement

Resolution Date:	06/02/1999
Sanctions Ordered:	Censure Monetary/Fine $2,150.00
Other Sanctions Ordered:	ADDITIONALLY, IN THE EVENT THAT PAGE AGAIN BECOMES AN EXCHANGE MEMBER, HE IS REQUIRED TO COMPLETE AN UNDERTAKING WHEREBY PAGE WILL USE THE MARKET-MAKER HANDHELD TERMINAL ON A FULL-TIME, PERMANENT BASIS ("FULL-TIME" IS DEFINED HEREIN AS EXECUTING AND ENTERING AT LEAST 90% OF RESPONDENT'S MARKET-MAKER TRANSACTIONS ON THE HANDHELD TERMINAL) COMMENCING 30 DAYS FROM THE DATE THAT PAGE BEGINS TRADING AS AN EXCHANGE MEMBER.
Sanction Details:	BRIAN R. PAGE, A FORMER EXCHANGE MARKET-MAKER AND L.M.B. LIMITED PARTNERSHIP, AN EXCHANGE MEMBER ORGANIZATION ASSOCIATED WITH MARKET-MAKER PAGE, WERE EACH CENSURED AND JOINTLY AND SEVERALLY FINED $2,150. ADDITIONALLY, IN THE EVENT THAT PAGE AGAIN BECOMES AN EXCHANGE MEMBER, HE IS REQUIRED TO COMPLETE AN UNDERTAKING WHEREBY PAGE WILL USE THE MARKET-MAKER HANDHELD TERMINAL ON A FULL-TIME, PERMANENT BASIS ("FULL-TIME" IS DEFINED HEREIN AS EXECUTING AND ENTERING AT LEAST 90% OF RESPONDENT'S MARKET-MAKER TRANSACTIONS ON THE HANDHELD TERMINAL) COMMENCING 30 DAYS FROM THE DATE THAT PAGE BEGINS TRADING AS AN EXCHANGE MEMBER.
Regulator Statement	BRIAN R. PAGE, A FORMER EXCHANGE MARKET-MAKER AND L.M.B. LIMITED PARTNERSHIP, AN EXCHANGE MEMBER ORGANIZATION ASSOCIATED WITH MARKET-MAKER PAGE, WERE EACH CENSURED AND JOINTLY AND SEVERALLY FINED $2,150. ADDITIONALLY, IN THE EVENT THAT PAGE AGAIN BECOMES AN EXCHANGE MEMBER, HE IS REQUIRED TO COMPLETE AN UNDERTAKING WHEREBY PAGE WILL USE THE MARKET-MAKER HANDHELD TERMINAL ON A FULL-TIME, PERMANENT BASIS ("FULL-TIME" IS DEFINED HEREIN AS EXECUTING AND ENTERING AT LEAST 90% OF RESPONDENT'S MARKET-MAKER TRANSACTIONS ON THE HANDHELD TERMINAL) COMMENCING 30 DAYS FROM THE DATE THAT PAGE BEGINS TRADING AS AN EXCHANGE MEMBER. THESE SANCTIONS WERE IMPOSED FOR THE FOLLOWING CONDUCT. DURING THE PERIODS OF TIME FROM ON OR ABOUT DECEMBER 21, 1997 THROUGH ON OR ABOUT JANUARY 20, 1998, AND FROM ON OR ABOUT JUNE 21, 1998 THROUGH ON OR ABOUT AUGUST 20, 1998, PAGE, ACTING ON BEHALF OF L.M.B. LIMITED PARTNERSHIP, FAILED TO RECORD ACCURATE TRANSACTION TIMES ON NUMEROUS TRADE TICKETS AND/OR RECORD ACCURATE TRANSACTION TIMES IN A LEGIBLE MANNER ON NUMEROUS TRADE TICKETS. (CBOE RULE 6.51(A).01.)

Reporting Source:	Individual
Regulatory Action Initiated By:	CHICAGO BOARD OPTIONS EXCHANGE, INC.
Sanction(s) Sought:	Civil and Administrative Penalt(ies) /Fine(s)
Other Sanction(s) Sought:	IN THE EVENT THAT PAGE BECOMES AN EXCHANGE MEMBER, PAGE MUST COMPLETE AN UNDERTAKING WHEREBY HE WILL USE THE MAKET-MAKER HANDHELD TERMINAL ON A FULL-TIME, PERMANENT BASIS COMMENCING 30 DAYS FROM THE DATE THAT PAGE BEGINS TRADING AS AN EXCHANGE MEMBER.
Date Initiated:	03/30/1999
Docket/Case Number:	99-0011

Employing firm when activity occurred which led to the regulatory action:	LMB LIMITED PARTNERSHIP
Product Type:	Options
Other Product Type(s):	
Allegations:	ALLEGEDLY FAILED TO RECORD, ON BEHALF OF LMB LIMITED PARTNERSHIP, ACCURATE TRANSACTION TIMES IN A LEGIBLE MANNER ON NUMEROUS TRADE TICKETS - CBOE RULE 6.51, ON OR ABOUT 12/21/97 THROUGH 1/20/98 AND 6/21/98 THROUGH 08/20/98.
Current Status:	Final
Resolution:	Decision & Order of Offer of Settlement
Resolution Date:	06/02/1999
Sanctions Ordered:	Censure Monetary/Fine $2,150.00
Other Sanctions Ordered:	IN THE EVENT THAT PAGE BECOMES AN EXCHANGE MEMBER, PAGE MUST COMPLETE AN UNDERTAKING WHEREBY HE WILL USE THE MAKET-MAKER HANDHELD TERMINAL ON A FULL-TIME, PERMANENT BASIS COMMENCING 30 DAYS FROM THE DATE THAT PAGE BEGINS TRADING AS AN EXCHANGE MEMBER.
Sanction Details:	FINE PAID

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
Formal Charges were brought in:	State Court
Name of Court:	LaPorte Superior Court
Location of Court:	LaPorte County, Indiana
Docket/Case #:	46D04-1705F6484
Charge Date:	11/04/2016
Charge(s) 1 of 1	
Formal Charge(s)/Description:	On 11/04/2016 Mr. Page was accused of issuing a check in the amount of $1000 for the payment of or to acquire money or other property, knowing that the check would not be paid or honored in the usual course of business.
No of Counts:	1
Felony or Misdemeanor:	Felony
Plea for each charge:	Pre Trial Diversion Agreement
Disposition of charge:	Dismissed
Current Status:	Final
Status Date:	09/11/2017
Disposition Date:	09/11/2017
Sentence/Penalty:	Per the terms of the Pre-trial diversion agreement, dated 9/11/2017 Mr. Page was assigned $1047.50 in restitution costs and $334 in court costs and filing fees. These were paid on 9/11/2017."

Judgment/Lien

This disclosure event involves an unsatisfied and outstanding judgment or lien against the Investment Adviser Representative.

Disclosure 1 of 5

Reporting Source:	Individual
Judgment/Lien Holder:	IRS
Judgment/Lien Amount:	$42,088.36
Judgment/Lien Type:	Tax
Date Filed with Court:	11/05/2018
Date Individual Learned:	12/11/2018
Type of Court:	State Court
Name of Court:	Cook County
Location of Court:	Chicago, IL
Docket/Case #:	1830904188
Judgment/Lien Outstanding?	Yes

Disclosure 2 of 5

Reporting Source:	Individual
Judgment/Lien Holder:	IRS
Judgment/Lien Amount:	$50,286.09
Judgment/Lien Type:	Tax
Date Filed with Court:	07/28/2016
Date Individual Learned:	07/28/2016
Type of Court:	State Court
Name of Court:	COOK COUNTY RECORDER
Location of Court:	CHICAGO, IL
Docket/Case #:	162101187
Judgment/Lien Outstanding?	Yes

Disclosure 3 of 5

Reporting Source:	Individual
Judgment/Lien Holder:	IRS
Judgment/Lien Amount:	$19,314.04
Judgment/Lien Type:	Tax
Date Filed with Court:	11/03/2016
Date Individual Learned:	11/03/2016
Type of Court:	State Court
Name of Court:	COOK COUNTY RECORDER

Location of Court:	CHICAGO, IL
Docket/Case #:	1630801157
Judgment/Lien Outstanding?	Yes

Disclosure 4 of 5

Reporting Source:	Individual
Judgment/Lien Holder:	IRS
Judgment/Lien Amount:	$39,011.00
Judgment/Lien Type:	Tax
Date Filed with Court:	10/05/2012
Type of Court:	COUNTY
Name of Court:	COOK COUNTY REGISTER
Location of Court:	CHICAGO, IL
Docket/Case #:	UNKNOWN
Judgment/Lien Outstanding?	Yes
Broker Statement	ON 04/04/2013 IS WHEN REP BECAME AWARE OF LIEN. HE HAD NO KNOWLEDGE UNTIL FIRM ADVISED HIM THAT THIS WAS ON HIS CREDIT REPORT.

Disclosure 5 of 5

Reporting Source:	Individual
Judgment/Lien Holder:	IRS
Judgment/Lien Amount:	$28,165.00
Judgment/Lien Type:	Tax
Date Filed with Court:	10/05/2012
Type of Court:	COUNTY
Name of Court:	COOK COUNTY REGISTER
Location of Court:	CHICAGO, IL
Docket/Case #:	UNKNOWN
Judgment/Lien Outstanding?	Yes
Broker Statement	ON 04/04/2013 IS WHEN REP BECAME AWARE OF LIEN. HE HAD NO KNOWLEDGE UNTIL FIRM ADVISED HIM THAT THIS WAS ON HIS CREDIT REPORT.

End of Report

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