User Guidance

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IAPD Report

G SCOTT DIDDEL

CRD# 1655242

Section Title | **Page(s)**

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

G SCOTT DIDDEL (CRD# 1655242)

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 **11/28/2025**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	OSAIC WEALTH, INC.	CRD# 23131	10/11/2024
IA	OSAIC WEALTH, INC.	CRD# 23131	10/11/2024

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **7** 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	AMERICAN PORTFOLIOS ADVISORS, INC	112697	HOLBROOK, NY	02/07/2019 - 10/11/2024
B	AMERICAN PORTFOLIOS FINANCIAL SERVICES, INC.	18487	Stamford, CT	01/30/2019 - 10/11/2024
IA	QUESTAR ASSET MANAGEMENT, INC.	133358	STAMFORD, CT	05/01/2015 - 12/31/2018

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 **7** 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	Invest. Co and Variable Contracts	Approved	10/11/2024
B	Connecticut	Agent	Approved	10/11/2024
IA	Connecticut	Investment Adviser Representative	Approved	10/11/2024
B	Florida	Agent	Approved	10/11/2024
B	New Jersey	Agent	Approved	10/11/2024
B	New York	Agent	Approved	10/11/2024
B	North Carolina	Agent	Approved	10/11/2024
B	Texas	Agent	Approved	10/11/2024
B	Vermont	Agent	Approved	10/11/2024

Branch Office Locations

OSAIC WEALTH, INC.
Greenwich, CT

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

Principal/Supervisory Exams

	Exam	Category	Date
B	Investment Company Products/Variable Contracts Principal Examination (S26)	Series 26	04/18/1997

General Industry/Product Exams

	Exam	Category	Date
B	Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
B	Investment Company Products/Variable Contracts Representative Examination (S6)	Series 6	10/18/1988

State Securities Law Exams

	Exam	Category	Date
IA	Uniform Investment Adviser Law Examination (S65)	Series 65	05/23/1997
B	Uniform Securities Agent State Law Examination (S63)	Series 63	08/17/1988

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	02/07/2019 - 10/11/2024	AMERICAN PORTFOLIOS ADVISORS, INC	CRD# 112697	HOLBROOK, NY
B	01/30/2019 - 10/11/2024	AMERICAN PORTFOLIOS FINANCIAL SERVICES, INC.	CRD# 18487	Stamford, CT
IA	05/01/2015 - 12/31/2018	QUESTAR ASSET MANAGEMENT, INC.	CRD# 133358	STAMFORD, CT
B	05/01/2015 - 12/31/2018	QUESTAR CAPITAL CORPORATION	CRD# 43100	STAMFORD, CT
IA	03/13/2003 - 05/04/2015	SPC	CRD# 110692	STAMFORD, CT
B	03/11/2003 - 05/04/2015	PARKLAND SECURITIES, LLC	CRD# 115368	STAMFORD, CT
IA	06/03/1997 - 03/13/2003	WASHINGTON SQUARE SECURITIES, INC.	CRD# 2882	STAMFORD, CT
B	10/22/1996 - 03/13/2003	WASHINGTON SQUARE SECURITIES, INC.	CRD# 2882	WINDSOR, CT
B	06/09/1992 - 11/07/1996	GUARDIAN INVESTOR SERVICES CORPORATION	CRD# 6635	NEW YORK, NY
B	10/20/1988 - 07/31/1991	MML INVESTORS SERVICES, INC.	CRD# 10409	SPRINGFIELD, MA

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
10/2024 - Present	OSAIC WEALTH, INC.	Mass Transfer	Y	SCOTTSDALE, AZ, United States
01/1986 - Present	DIDDEL & DIDDEL	MANAGING DIRECTOR	N	STAMFORD , CT, United States
05/2015 - 01/2019	QUESTAR ASSET MANAGEMENT	INVESTMENT ADVISER	Y	MINNEAPOLIS, MN, United States
05/2015 - 01/2019	QUESTAR CAPITAL CORPORATION	REGISTERED REPRESENTATIVE	Y	MINNEAPOLIS, MN, 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. DIDDEL & DIDDEL, LLC.
POSITION: Insurance Agent. NATURE: Fixed insurance products. INVESTMENT RELATED: Yes NUMBER OF HOURS: 200 SECURITIES TRADING HOURS: 130 START DATE: 03/26/2015
ADDRESS: 102 Southfield Ave, The Boathouse, Stamford CT 06902, United States
DESCRIPTION: Insurance Agent

2. DIDDEL & DIDDEL, LLC.
POSITION: Personal coach. NATURE: I do holistic, personal, life, goal coaching. INVESTMENT RELATED: No NUMBER OF HOURS: 20 SECURITIES TRADING HOURS: 0 START DATE: 04/07/2015
ADDRESS: 102 Southfield Ave, The Boathouse, Stamford CT 06902, United States
DESCRIPTION: The clients are not investment clients of Diddel & Diddel. No investment advice is discussed. No investment recommendations are made.
The Dime, LLC Start Date-5/1/22 100% Ownership -5 Hours Devoted Per month, 1-4 Hours Devoted per Month during Market Hours.

3. DIDDEL & DIDDEL, LLC
POSITION: Coach NATURE: sole proprietor INVESTMENT RELATED: No NUMBER OF HOURS: 20 SECURITIES TRADING HOURS: 0 START DATE: 04/07/2015
ADDRESS: 102 Southfield Ave, The Boathouse, Stamford CT 06902, United States
DESCRIPTION: I do holistic, personal, life, goal coaching

4. DIDDEL & DIDDEL, LLC
POSITION: Insurance Agent NATURE: LLC INVESTMENT RELATED: Yes NUMBER OF HOURS: 200 SECURITIES TRADING HOURS: 130 START DATE: 03/26/2015
ADDRESS: 102 Southfield Ave, The Boathouse, Stamford CT 06902
DESCRIPT: Fixed insurance products

5. DIDDEL & DIDDEL, LLC
POSITION: Insurance Agent NATURE: Insurance agency, Life, Health, LTC
Investment Advisor, Series 6, 65 INVESTMENT RELATED: Yes NUMBER OF HOURS: 200 SECURITIES TRADING HOURS: 130 START DATE: 01/09/1986
ADDRESS: 52 Indian Field Rd., Greenwich CT 06830, United States
DESCRIPTION: Fixed insurance products
Financial Advisory

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:	Firm
Employing firm when activities occurred which led to the complaint:	Parkland Securities FKA Sammons Securities
Allegations:	Clients allege that the life insurance policies they purchased in January of 2015 were misrepresented.
Product Type:	Debt-Asset Backed Insurance
Alleged Damages:	$1,100,000.00
Alleged Damages Amount Explanation (if amount not exact):	Represents the amount of premium paid.
Is this an oral complaint?	No
Is this a written complaint?	Yes
Is this an arbitration/CFTC reparation or civil litigation?	No

Customer Complaint Information

Date Complaint Received:	03/10/2016
Complaint Pending?	No
Status:	Settled
Status Date:	06/06/2016

Settlement Amount:	$1,045,138.80
Individual Contribution Amount:	$0.00
Firm Statement	The Insurance Company settled with the customers and returned premium.

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	PARKLAND SECURITIES FKA SAMMONS SECURITIES
Allegations:	CLIENTS ALLEGE THAT THE LIFE INSURANCE POLICIES THEY PURCHASED IN 2015 WERE MISREPRESENTED.
Product Type:	Debt-Asset Backed Insurance
Alleged Damages:	$1,100,000.00
Is this an oral complaint?	No
Is this a written complaint?	Yes
Is this an arbitration/CFTC reparation or civil litigation?	No

Customer Complaint Information

Date Complaint Received:	08/22/2016
Complaint Pending?	No
Status:	Settled
Status Date:	06/06/2016
Settlement Amount:	$1,045,138.90
Individual Contribution Amount:	$0.00
Broker Statement	THE CLAIM IS BELIEVED TO HAVE NO MERIT. THIS WAS A LIFE INSURANCE POLICY SALE, NOT A SECURITIES TRANSACTION. THE CLAIMANT PURCHASED FOR HIMSELF AND THREE FAMILY MEMBERS NON-REGISTERED FIXED INDEX UNIVERSAL LIFE INSURANCE POLICIES IN 2013, AND AT THE TIME OF THE SALE HE RECEIVED A POLICY ILLUSTRATION WHICH INCLUDED, AMONG OTHER THINGS, THE CURRENT COSTS OF INSURANCE, AND THE GUARANTEED MAXIMUM COST OF INSURANCE. IN 2016, AFTER RECEIVING AN IN FORCE POLICY ILLUSTRATION WHICH INCLUDED THESE SAME VALUES, THE CLIENT INDICATED THAT HE DID NOT UNDERSTAND WHY THIS ILLUSTRATION DISCLOSED THAT THE POLICY COULD LAPSE BASED ON THE GUARANTEED MAXIMUM COSTS OF INSURANCE. CONSEQUENTLY, THE CLIENT COMPLAINED DIRECTLY TO THE INSURANCE COMPANY AND REQUESTED A RETURN OF THE INSURANCE PREMIUMS PAID INTO THE CONTRACT, AFTER HAVING HAD THE POLICIES FOR 2+ YEARS. CLAIMANT REFUSED TO MEET, DID NOT REPLY TO EMAILS NOR DID HE RETURN PHONE CALLS. INSURANCE COMPANY INVESTIGATED CLIENT ALLEGATIONS. RATHER THAN CONTEST THE CLIENT'S CLAIMS, THE INSURANCE COMPANY DECIDED TO REIMBURSE THE CLIENT A PORTION OF THE PREMIUMS PAID INTO THE CONTRACT. THE REPRESENTATIVE WAS NOT CONSULTED BY THE INSURANCE COMPANY PRIOR TO MAKING THE DECISION TO REIMBURSE

THE PREMIUMS NOR WAS THE REPRESENTATIVE REQUIRED TO CONTRIBUTE TO THE SETTLEMENT.

Disclosure 2 of 2

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	SAMMONS SECURITIES COMPANY, LLC
Allegations:	AUGUST 2005, CLIENT PURCHASED VARIABLE UNIVERSAL LIFE POLICY. NOVEMBER 2007, CLIENT ALLEGED THAT SALE WAS BASED ON FALSE CLAIMS, MISLEADING SALES ILLUSTRATIONS AND INSUFFICIENT FINANCIAL ANALYSIS.
Product Type:	Insurance Other: VARIABLE UNIVERSAL LIFE
Alleged Damages:	$32,400.00
Is this an oral complaint?	No
Is this a written complaint?	Yes
Is this an arbitration/CFTC reparation or civil litigation?	No

Customer Complaint Information

Date Complaint Received:	11/13/2007
Complaint Pending?	No
Status:	Settled
Status Date:	07/29/2008
Settlement Amount:	$31,165.07
Individual Contribution Amount:	$0.00
Broker Statement	INSURANCE COMPANY INVESTIGATED CLIENT ALLEGATIONS AND FOUND NO EVIDENCE OF FALSE CLAIMS, MISLEADING SALES ILLUSTRATIONS OR INSUFFICIENT FINANCIAL ANALYSIS BY REPRESENTATIVE. INSURANCE COMPANY SETTLED COMPLAINT BY MAKING ONE-TIME EXCEPTION TO WAIVE SURRENDER CHARGES. CLIENT WAS PAID CURRENT ACCUMULATED CASH VALUE EQUAL TO HIS PAID-IN PREMIUMS OF $31,165.07. REPRESENTATIVE WAS NOT REQUIRED TO CONTRIBUTE TOWARDS SETTLEMENT AMOUNT.

End of Report

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