



IAPD Report

SAMUEL THOMAS PRICE JR

CRD# 1671083

<u>Section Title</u>	<u>Page(s)</u>
Report Summary	1
Qualifications	2 - 4
Registration and Employment History	5 - 6
Disclosure Information	7



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

SAMUEL THOMAS PRICE JR (CRD# 1671083)

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 **03/05/2026**.

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 **20** 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	NORTH CHESTERFIELD, VA	09/18/2020 - 06/14/2024
B	SECURITIES AMERICA, INC.	10205	North Chesterfield, VA	09/18/2020 - 06/14/2024
B	SECURITIES SERVICE NETWORK, LLC	13318	North Chesterfield, VA	12/17/2019 - 09/18/2020

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



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 **20** 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	Direct Participation Programs	Approved	06/14/2024
B FINRA	General Securities Representative	Approved	06/14/2024
B FINRA	Invest. Co and Variable Contracts	Approved	06/14/2024
B Arizona	Agent	Approved	06/14/2024
B Arkansas	Agent	Approved	06/14/2024
B California	Agent	Approved	06/14/2024
B Colorado	Agent	Approved	06/14/2024
B District of Columbia	Agent	Approved	06/14/2024
B Florida	Agent	Approved	06/14/2024
B Georgia	Agent	Approved	06/14/2024
B Illinois	Agent	Approved	03/09/2026
B Indiana	Agent	Approved	06/14/2024
B Maryland	Agent	Approved	06/14/2024



Qualifications

Regulator	Registration	Status	Date
B Massachusetts	Agent	Approved	09/29/2025
B Michigan	Agent	Approved	06/14/2024
B New York	Agent	Approved	06/14/2024
B North Carolina	Agent	Approved	06/14/2024
B Ohio	Agent	Approved	06/14/2024
B Pennsylvania	Agent	Approved	06/14/2024
B South Carolina	Agent	Approved	06/14/2024
B Virginia	Agent	Approved	06/14/2024
IA Virginia	Investment Adviser Representative	Approved	06/14/2024
B Washington	Agent	Approved	06/14/2024
B West Virginia	Agent	Approved	06/14/2024

Branch Office Locations

OSAIC WEALTH, INC.
9100 Arboretum Pkwy
Suite 230
North Chesterfield, VA 23236



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, 4 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
------	----------	------

Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
General Securities Representative Examination (S7)	Series 7	07/07/1993
Direct Participation Programs Representative Examination (S22)	Series 22	07/27/1987
Investment Company Products/Variable Contracts Representative Examination (S6)	Series 6	05/15/1987

State Securities Law Exams

Exam	Category	Date
------	----------	------

Uniform Investment Adviser Law Examination (S65)	Series 65	02/22/2006
Uniform Securities Agent State Law Examination (S63)	Series 63	05/05/1987

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	09/18/2020 - 06/14/2024	SECURITIES AMERICA ADVISORS, INC.	CRD# 110518	NORTH CHESTERFIELD
B	09/18/2020 - 06/14/2024	SECURITIES AMERICA, INC.	CRD# 10205	North Chesterfield, VA
B	12/17/2019 - 09/18/2020	SECURITIES SERVICE NETWORK, LLC	CRD# 13318	North Chesterfield, VA
IA	12/17/2019 - 09/18/2020	SSN ADVISORY, INC.	CRD# 126090	Norht Chesterfield, VA
IA	07/03/2013 - 12/20/2019	VOYA FINANCIAL ADVISORS, INC.	CRD# 2882	RICHMOND, VA
B	01/01/2004 - 12/20/2019	VOYA FINANCIAL ADVISORS, INC.	CRD# 2882	RICHMOND, VA
IA	02/27/2006 - 09/01/2011	ING FINANCIAL PARTNERS, INC	CRD# 2882	RICHMOND, VA
B	01/01/2002 - 01/01/2004	LOCUST STREET SECURITIES, INC.	CRD# 1703	DES MOINES, IA
B	05/14/1996 - 01/01/2002	BMA FINANCIAL SERVICES, INC.	CRD# 7943	KANSAS CITY, MO
B	05/19/1987 - 04/24/1996	WADDELL & REED, INC.	CRD# 866	OVERLAND PARK, KS

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.	REGISTERED REPRESENTATIVE	Y	North Chesterfield, VA, United States
09/2020 - 06/2024	SECURITIES AMERICA ADVISORS, INC.	IAR	Y	NORTH CHESTERFIELD, VA, United States
09/2020 - 06/2024	SECURITIES AMERICA, INC.	REGISTERED REP	Y	North Chesterfield, VA, United States
12/2019 - 09/2020	SSN Advisory Inc	Investment Advisor	Y	North Chesterfield, VA, United States
12/2019 - 09/2020	Securities Service Network	Registered Representative	Y	North Chesterfield, VA, United States



Registration & Employment History

EMPLOYMENT HISTORY

Employment Dates	Employer Name	Position	Investment Related	Employer Location
09/2014 - 12/2019	VOYA FINANCIAL ADVISORS	MASS TRANSFER	Y	DES MOINES, IA, 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.

DBA - Price Financial Services

PRICE FINANCIAL SERVICES

POSITION: Owner NATURE: Insurance INVESTMENT RELATED: No NUMBER OF HOURS: 5 SECURITIES TRADING HOURS:

0 START DATE: 03/01/1996

ADDRESS: 9100 Arboretum Pkwy, Suite 230, North Chesterfield VA 23236, United States

DESCRIPTION: Insurance related sales



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

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:	VIRGINIA - DIVISION OF SECURITIES
Sanction(s) Sought:	Restitution
Other Sanction(s) Sought:	COST OF THE INVESTIGATION
Date Initiated:	04/08/2009
Docket/Case Number:	SEC-2008-00090
Employing firm when activity occurred which led to the regulatory action:	BMA FINANCIAL SERVICES, INC. (NO LONG EXISTS) SUCCEEDING FIRM ING FINANCIAL PARTNERS, INC.
Product Type:	Mutual Fund(s)
Other Product Type(s):	DEFENDANT ALSO RECOMMENDED AND SOLD VARIABLE ANNUITY PRODUCTS TO THE INVESTOR.
Allegations:	THE DIVISION OF SECURITIES & RETAIL FRANCHISING ALLEGED THAT THE DEFENDANT, SAMUEL T. PRICE, JR., VIOLATED COMMISSION RULE 21 VAC 5-20-280 A (3), THROUGH RULE 21 VAC 5-20-280 B (6), BY OFFERING AND SELLING MUTUAL FUNDS THAT WERE NOT SUITABLE, GIVEN THE INVESTOR'S OBJECTIVES, INVESTMENT EXPERIENCE, AND OTHER FINANCIAL CIRCUMSTANCES.
Current Status:	Final
Resolution:	Settled



Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct? No

Resolution Date: 04/08/2009

Sanctions Ordered:

Other Sanctions Ordered: IN LIEU OF PAYING PENALTIES, THE DEFENDANT AGREED TO A RESTITUTION OFFER IN THE AMOUNT OF \$30,000 TO THE INVESTOR. THE RESTITUTION WAS PAID. IN ADDITION TO THE RESTITUTION, THE DEFENDANT ALSO AGREED TO PAY THE COST OF THE INVESTIGATION IN THE AMOUNT OF \$2,000.

Sanction Details: RESTITUTION AND COST OF INVESTIGATION.

Regulator Statement THE DIVISION OF SECURITIES & RETAIL FRANCHISING ALLEGED THAT THE DEFENDANT, SAMUEL T. PRICE, JR., VIOLATED COMMISSION RULE 21 VAC 5-20-280 A (3), THROUGH RULE 21 VAC 5-20-280 B (6), BY OFFERING & SELLING MUTUAL FUNDS THAT WERE NOT SUITABLE, GIVEN THE INVESTOR'S OBJECTIVES, INVESTMENT EXPERIENCE, AND OTHER FINANCIAL CIRCUMSTANCES. MR. PRICE NEITHER ADMITTED, NOR DENIED THE ALLEGED VIOLATIONS, BUT AGREED TO ENTER INTO THE SETTLEMENT ORDER. ACCORDINGLY, MR. PRICE AGREED TO PAY RESTITUTION TO THE INVESTOR IN THE AMOUNT OF \$30,000. HE ALSO AGREED TO PAY \$2,000 TO DEFRAY THE COST OF THE INVESTIGATION. FOR MORE INFORMATION, PLEASE CONTACT KEVIN FURR OR GARLAND SHARP AT 804-371-9051.

Reporting Source: Individual

Regulatory Action Initiated By: COMMONWEALTH OF VIRGINIA, STATE CORPORATION COMMISSION, DIVISION OF SECURITIES AND RETAIL FRANCHISING

Sanction(s) Sought: Restitution

Date Initiated: 03/31/2009

Docket/Case Number: SEC 2008-00090

Employing firm when activity occurred which led to the regulatory action: BMA FINANCIAL SERVICES

Product Type: Mutual Fund

Allegations: BASED UPON AN INVESTIGATION CONDUCTED BY THE VIRGINIA DIVISION OF SECURITIES AND RETAIL FRANCHISING, IT IS ALLEGED THE RR VIOLATED STATE OF VIRGINIA SECURITIES CODE (REGARDING SUITABLE RECOMMENDATIONS OF SECURITY TRANSACTIONS) IN THE SALE OF SECURITIES TO ONE PARTICULAR CLIENT.

Current Status: Final

Resolution: Order



Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct? No

Resolution Date: 03/31/2009

Sanctions Ordered: Cease and Desist
Monetary Penalty other than Fines
Restitution
Other: THE RR NEITHER ADMITTED TO NOR DENIED THE ALLEGATIONS BUT ADMITS TO THE COMMISSIONS JURISDICTION AND ENTERED INTO A SETTLEMENT ORDER WITH THE STATE. THE TERMS OF THE SETTLEMENT ORDER; (1) THE RR PAY THE COMMISSION \$2000 TO HELP DEFRAY THE COST OF THE INVESTIGATION, (2) IN LIEU OF PENALTY, THE RR HAS REMEDIATED \$30,000 TO THE CLIENT, (3) THE RR WILL NOT VIOLATE THE VIRGINIA SECURITIES ACT IN THE FUTURE.

Monetary Sanction 1 of 2

Monetary Related Sanction: Restitution

Total Amount: \$30,000.00

Portion Levied against individual: \$30,000.00

Payment Plan:

Is Payment Plan Current:

Date Paid by individual: 03/25/2009

Was any portion of penalty waived? No

Amount Waived:

Monetary Sanction 2 of 2

Monetary Related Sanction: Monetary Penalty other than Fines

Total Amount: \$2,000.00

Portion Levied against individual: \$2,000.00

Payment Plan:

Is Payment Plan Current:

Date Paid by individual: 03/25/2009

Was any portion of penalty waived? No

Amount Waived:



End of Report

This page is intentionally left blank.