



IAPD Report

BRENT ALAN GRAUBERGER

CRD# 1714895

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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

BRENT ALAN GRAUBERGER (CRD# 1714895)

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 **11/08/2024**.

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 **29** 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	KANSAS CITY, MO	01/05/2004 - 06/14/2024
B	SECURITIES AMERICA, INC.	10205	KANSAS CITY, MO	12/12/2003 - 06/14/2024
IA	VERAVEST INVESTMENT ADVISORS, INC.	105796	INDEPENDENCE, MO	10/31/1995 - 12/18/2003

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?

No



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 **29** 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 Principal	Approved	06/14/2024
B	FINRA	General Securities Representative	Approved	06/14/2024
B	FINRA	Operations Professional	Approved	06/14/2024
B	Alaska	Agent	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	Florida	Agent	Approved	06/14/2024
IA	Florida	Investment Adviser Representative	Approved	09/25/2024
B	Georgia	Agent	Approved	06/14/2024
B	Illinois	Agent	Approved	06/14/2024
B	Indiana	Agent	Approved	06/14/2024



Qualifications

	Regulator	Registration	Status	Date
B	Iowa	Agent	Approved	06/14/2024
B	Kansas	Agent	Approved	06/14/2024
IA	Kansas	Investment Adviser Representative	Approved	06/20/2024
B	Kentucky	Agent	Approved	06/14/2024
B	Massachusetts	Agent	Approved	06/14/2024
B	Michigan	Agent	Approved	06/14/2024
B	Minnesota	Agent	Approved	06/14/2024
B	Missouri	Agent	Approved	06/14/2024
IA	Missouri	Investment Adviser Representative	Approved	06/14/2024
B	Nebraska	Agent	Approved	06/14/2024
IA	Nebraska	Investment Adviser Representative	Approved	06/14/2024
B	Nevada	Agent	Approved	06/14/2024
B	New Hampshire	Agent	Approved	07/03/2024
B	New Jersey	Agent	Approved	06/14/2024
B	New Mexico	Agent	Approved	06/14/2024
B	New York	Agent	Approved	06/14/2024
B	Oklahoma	Agent	Approved	06/14/2024
B	South Carolina	Agent	Approved	06/14/2024
B	Texas	Agent	Approved	06/14/2024



Qualifications

Regulator	Registration	Status	Date
IA Texas	Investment Adviser Representative	Restricted Approval	06/14/2024
B Utah	Agent	Approved	06/14/2024
B Virginia	Agent	Approved	06/14/2024
B Washington	Agent	Approved	06/14/2024
B Wisconsin	Agent	Approved	06/14/2024

Branch Office Locations

OSAIC WEALTH, INC.
2345 GRAND BLVD STE 1625
KANSAS CITY, MO 64108



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 2 state securities law exams.

Principal/Supervisory Exams

	Exam	Category	Date
B	General Securities Principal Examination (S24)	Series 24	10/06/2003

General Industry/Product Exams

	Exam	Category	Date
B	Operations Professional Examination (S99TO)	Series 99TO	01/02/2023
B	Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
B	General Securities Representative Examination (S7)	Series 7	08/15/1987

State Securities Law Exams

	Exam	Category	Date
IA	Uniform Investment Adviser Law Examination (S65)	Series 65	04/02/1998
B	Uniform Securities Agent State Law Examination (S63)	Series 63	08/25/1987



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	01/05/2004 - 06/14/2024	SECURITIES AMERICA ADVISORS, INC.	CRD# 110518	KANSAS CITY, MO
B	12/12/2003 - 06/14/2024	SECURITIES AMERICA, INC.	CRD# 10205	KANSAS CITY, MO
IA	10/31/1995 - 12/18/2003	VERAVEST INVESTMENT ADVISORS, INC.	CRD# 105796	INDEPENDENCE, MO
B	07/18/1989 - 12/12/2003	VERAVEST INVESTMENTS, INC.	CRD# 3960	WORCESTER, MA
B	06/16/1988 - 08/12/1988	SMITH BARNEY, HARRIS UPHAM & CO., INCORPORATED	CRD# 7059	
B	05/24/1988 - 06/07/1988	HIBBARD BROWN & CO., INC.	CRD# 18246	
B	08/20/1987 - 05/28/1988	SHERWOOD CAPITAL, INC.	CRD# 10474	

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.	Mass Transfer	Y	KANSAS CITY, MO, United States
11/2003 - Present	PGN FINANCIAL SERVICES, LLC	PARTNER / FIXED INSURANCE AGENT	Y	KANSAS CITY, MO, United States
01/2004 - 06/2024	SECURITIES AMERICA ADVISORS, INC.	INVESTMENT ADVISOR REPRESENTATIVE	Y	KANSAS CITY, MO, United States
11/2003 - 06/2024	SECURITIES AMERICA, INC.	REGISTERED REPRESENTATIVE	Y	KANSAS CITY, MO, 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.

PGN FINANCIAL, LLC



Registration & Employment History



OTHER BUSINESS ACTIVITIES

POSITION: sales NATURE: PGN FINANCIAL LLC; INSURANCE SALES, SOLE PROP. INVESTMENT RELATED: No NUMBER OF HOURS: 1 SECURITIES TRADING HOURS: 0 START DATE: 01/01/1989 ADDRESS: 2345 Grand Blvd Ste 1625, Kansas City MO 64108 DESCRIPTION: Insurance Sales



End of Report

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