



## IAPD Report

# ROBERT ANTHONY SANTORIELLO

CRD# 1914923

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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

### ROBERT ANTHONY SANTORIELLO (CRD# 1914923)

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 **12/16/2025**.

### CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
<b>B</b>	OSAIC WEALTH, INC.	CRD# 23131	06/14/2024
<b>IA</b>	OSAIC WEALTH, INC.	CRD# 23131	06/14/2024
<b>IA</b>	OSAIC ADVISORY SERVICES, LLC	CRD# 171070	11/08/2024

### QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **51** 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>IA</b>	ARBOR POINT ADVISORS	165127	FOLSOM, CA	03/15/2022 - 11/08/2024
<b>IA</b>	SECURITIES AMERICA ADVISORS, INC.	110518	FOLSOM, CA	01/23/2009 - 06/14/2024
<b>B</b>	SECURITIES AMERICA, INC.	10205	FOLSOM, CA	01/23/2009 - 06/14/2024

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 51 jurisdiction(s) and 1 SRO(s) through his or her employer(s).

#### Employment 1 of 2

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	General Securities Sales Supervisor	Approved	06/14/2024
B FINRA	Operations Professional	Approved	06/14/2024
B Alabama	Agent	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
IA California	Investment Adviser Representative	Approved	06/14/2024
B Colorado	Agent	Approved	06/14/2024
IA Colorado	Investment Adviser Representative	Approved	06/14/2024
B Connecticut	Agent	Approved	06/14/2024



## Qualifications

Regulator	Registration	Status	Date
B Delaware	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 Hawaii	Agent	Approved	06/14/2024
IA Hawaii	Investment Adviser Representative	Approved	06/14/2024
B Idaho	Agent	Approved	06/14/2024
IA Idaho	Investment Adviser Representative	Approved	06/14/2024
B Illinois	Agent	Approved	06/14/2024
B Indiana	Agent	Approved	06/14/2024
B Iowa	Agent	Approved	06/14/2024
B Kansas	Agent	Approved	06/14/2024
B Kentucky	Agent	Approved	06/14/2024
B Louisiana	Agent	Approved	06/14/2024
B Maine	Agent	Approved	07/01/2024
B Maryland	Agent	Approved	06/14/2024
B Massachusetts	Agent	Approved	01/06/2025
IA Massachusetts	Investment Adviser Representative	Approved	05/22/2025
B Michigan	Agent	Approved	07/01/2024



## Qualifications

Regulator	Registration	Status	Date
B Minnesota	Agent	Approved	06/14/2024
B Mississippi	Agent	Approved	07/01/2024
B Missouri	Agent	Approved	06/14/2024
B Montana	Agent	Approved	06/14/2024
B Nebraska	Agent	Approved	06/14/2024
B Nevada	Agent	Approved	06/14/2024
IA Nevada	Investment Adviser Representative	Approved	06/14/2024
B New Hampshire	Agent	Approved	06/14/2024
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 North Carolina	Agent	Approved	06/14/2024
IA North Carolina	Investment Adviser Representative	Approved	06/14/2024
B North Dakota	Agent	Approved	12/16/2025
B Ohio	Agent	Approved	06/14/2024
B Oklahoma	Agent	Approved	06/14/2024
B Oregon	Agent	Approved	06/14/2024
B Pennsylvania	Agent	Approved	06/14/2024
B Rhode Island	Agent	Approved	06/14/2024



## Qualifications

Regulator	Registration	Status	Date
B South Carolina	Agent	Approved	06/14/2024
B South Dakota	Agent	Approved	06/14/2024
B Tennessee	Agent	Approved	06/14/2024
B Texas	Agent	Approved	06/14/2024
IA Texas	Investment Adviser Representative	Restricted Approval	06/14/2024
B Utah	Agent	Approved	06/14/2024
B Vermont	Agent	Approved	07/01/2024
B Virginia	Agent	Approved	06/14/2024
B Washington	Agent	Approved	06/14/2024
IA Washington	Investment Adviser Representative	Approved	06/14/2024
B West Virginia	Agent	Approved	06/14/2024
B Wisconsin	Agent	Approved	06/14/2024
B Wyoming	Agent	Approved	06/14/2024

## Branch Office Locations

**OSAIC WEALTH, INC.**  
701 PALOMAR AIRPORT RD  
SUITE 300  
CARLSBAD, CA 92011

**OSAIC WEALTH, INC.**  
1110 IRON POINT RD STE 160  
FOLSOM, CA 95630

**OSAIC WEALTH, INC.**  
Carlsbad, CA

## Employment 2 of 2

Firm Name: **OSAIC ADVISORY SERVICES, LLC**  
Main Address: 2300 WINDY RIDGE PARKWAY



## Qualifications

SUITE 750  
ATLANTA, GA 30339

Firm ID#: 171070

Regulator	Registration	Status	Date
IA California	Investment Adviser Representative	Approved	11/08/2024

## Branch Office Locations

### OSAIC ADVISORY SERVICES, LLC

1110 IRON POINT RD  
SUITE 160  
FOLSOM, CA 95630



## 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 4 principal/supervisory exams, 3 general industry/product exams, and 2 state securities law exams.**

#### Principal/Supervisory Exams

Exam	Category	Date
 General Securities Sales Supervisor - General Module Examination (S10)	Series 10	01/02/2023
 General Securities Sales Supervisor - Options Module Examination (S9)	Series 9	01/02/2023
 General Securities Principal Examination (S24)	Series 24	11/06/2008
 General Securities Sales Supervisor Examination (Options Module & General Module) (S8)	Series 8	10/11/1991

#### General Industry/Product Exams

Exam	Category	Date
 Operations Professional Examination (S99TO)	Series 99TO	01/02/2023
 Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
 General Securities Representative Examination (S7)	Series 7	02/18/1989

#### State Securities Law Exams

Exam	Category	Date
  Uniform Combined State Law Examination (S66)	Series 66	03/13/2008
 Uniform Securities Agent State Law Examination (S63)	Series 63	07/09/1993



## 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	03/15/2022 - 11/08/2024	ARBOR POINT ADVISORS	CRD# 165127	FOLSOM, CA
IA	01/23/2009 - 06/14/2024	SECURITIES AMERICA ADVISORS, INC.	CRD# 110518	FOLSOM, CA
B	01/23/2009 - 06/14/2024	SECURITIES AMERICA, INC.	CRD# 10205	FOLSOM, CA
IA	06/26/2006 - 01/23/2009	BRECEK & YOUNG ADVISORS, INC.	CRD# 40395	FOLSOM, CA
B	03/13/2006 - 01/23/2009	BRECEK & YOUNG ADVISORS, INC.	CRD# 40395	FOLSOM, CA
IA	07/08/1997 - 01/25/2006	CHARLES SCHWAB & CO., INC.	CRD# 5393	SACRAMENTO, CA
B	10/13/1989 - 01/25/2006	CHARLES SCHWAB & CO., INC.	CRD# 5393	WESTLAKE, TX
B	02/22/1989 - 11/16/1989	PRUDENTIAL-BACHE SECURITIES INC.	CRD# 7471	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
11/2024 - Present	OSAIC ADVISORY SERVICES, LLC	IAR	Y	ATLANTA, GA, United States
06/2024 - Present	OSAIC WEALTH, INC.	REGISTERED REPRESENTATIVE	Y	CARLSBAD, CA, United States
01/2009 - 06/2024	SECURITIES AMERICA ADVISORS, INC.	INVESTMENT ADVISOR	Y	FOLSOM, NE, United States
01/2009 - 06/2024	SECURITIES AMERICA, INC.	REGISTERED REPRESENTATIVE	Y	FOLSOM, CA, 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. IRON POINT FINANCIAL ADVISORS, INC.

POSITION: President & CEO NATURE: Name change from Rios & associates to Iron Point Financial Advisors, Inc. Effective 1/1/2016. Note a DBA for Iron Point Financial Advisors, Inc. was entered on 11/18/2015. INVESTMENT RELATED: Yes NUMBER OF HOURS: 160 SECURITIES TRADING HOURS: 160 START DATE: 01/01/2016 ADDRESS: 1110 Iron Point Rd Ste 160, Folsom CA 95630 DESCRIPTION: Financial Planning, Financial Management, OSJ Management, Insurance Sales

#### 2. IRON POINT FINANCIAL ADVISORS

POSITION: Insurance agent NATURE: INSURANCE SALES - AGENT - INVESTMENT RELATED - Start Date: 8/01/08 - Located at 1110 IRON PT RD SUITE 160 FOLSOM CA 95630 - TIME SPENT: 10% - 3 DURING SECURITIES TRADING HOURS MAKING \$1000 MONTH SELLING INSURANCE INVESTMENT RELATED: Yes NUMBER OF HOURS: 160 SECURITIES TRADING HOURS: 50 START DATE: 08/01/2008 ADDRESS: 1110 iron point rd, ste 160, FOLSOM CA 95630-6307 DESCRIPTION: Insurance sales



## **End of Report**

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