



IAPD Report

DAVID VINCIGUERRA

CRD# 2010577

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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

DAVID VINCIGUERRA (CRD# 2010577)

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 **12/17/2025**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	OSAIC WEALTH, INC.	CRD# 23131	06/14/2024
IA	OSAIC WEALTH, INC.	CRD# 23131	06/14/2024
IA	UPSTATE ADVISORS GROUP	CRD# 135107	04/18/2025

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **15** 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	UPSTATE ADVISORS GROUP	135107	North Syracuse, NY	07/27/2021 - 12/31/2024
IA	SECURITIES AMERICA ADVISORS, INC.	110518	NORTH SYRACUSE, NY	05/17/2021 - 06/14/2024
B	SECURITIES AMERICA, INC.	10205	NORTH SYRACUSE, NY	05/04/2018 - 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? **Yes**

The following types of events are disclosed about this representative:

Type	Count
Customer Dispute	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 **15** jurisdiction(s) and 1 SRO(s) through his or her employer(s).

Employment 1 of 2

Firm Name: **UPSTATE ADVISORS GROUP**
Main Address: 453 SOUTH MAIN STREET
NORTH SYRACUSE, NY 13212
Firm ID#: 135107

Regulator	Registration	Status	Date
IA New York	Investment Adviser Representative	Approved	04/18/2025

Branch Office Locations

UPSTATE ADVISORS GROUP
453 SOUTH MAIN STREET
NORTH SYRACUSE, NY 13212

Employment 2 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	Registered Options Principal	Approved	06/14/2024
B Alaska	Agent	Approved	06/14/2024
B Arizona	Agent	Approved	06/14/2024
B California	Agent	Approved	06/14/2024



Qualifications

Regulator	Registration	Status	Date
B Connecticut	Agent	Approved	06/14/2024
B Delaware	Agent	Approved	03/03/2025
B Florida	Agent	Approved	06/14/2024
B Georgia	Agent	Approved	06/14/2024
B Massachusetts	Agent	Approved	06/14/2024
B Michigan	Agent	Approved	06/14/2024
B New Jersey	Agent	Approved	06/14/2024
B New York	Agent	Approved	06/14/2024
IA New York	Investment Adviser Representative	Approved	06/14/2024
B North Carolina	Agent	Approved	06/14/2024
B Ohio	Agent	Approved	06/14/2024
B South Carolina	Agent	Approved	06/14/2024
B Tennessee	Agent	Approved	06/14/2024

Branch Office Locations

OSAIC WEALTH, INC.
453 S MAIN ST
NORTH SYRACUSE, NY 13212





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




Principal/Supervisory Exams

Exam	Category	Date
 Registered Options Principal Examination (S4)	Series 4	11/25/1992
 General Securities Principal Examination (S24)	Series 24	06/13/1990

General Industry/Product Exams

Exam	Category	Date
 Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
 General Securities Representative Examination (S7)	Series 7	12/16/1989

State Securities Law Exams

Exam	Category	Date
  Uniform Combined State Law Examination (S66)	Series 66	02/05/2008
 Uniform Securities Agent State Law Examination (S63)	Series 63	02/15/1990

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	07/27/2021 - 12/31/2024	UPSTATE ADVISORS GROUP	CRD# 135107	North Syracuse, NY
IA	05/17/2021 - 06/14/2024	SECURITIES AMERICA ADVISORS, INC.	CRD# 110518	NORTH SYRACUSE, NY
B	05/04/2018 - 06/14/2024	SECURITIES AMERICA, INC.	CRD# 10205	NORTH SYRACUSE, NY
B	10/23/1996 - 05/07/2018	CADARET, GRANT & CO., INC.	CRD# 10641	NORTH SYRACUSE, NY
IA	10/25/2002 - 09/24/2003	CADARET GRANT & CO INC	CRD# 10641	NORTH SYRACUSE, NY
B	12/19/1989 - 11/13/1996	JAMESON, DEWITT & ASSOCIATES, INC.	CRD# 8169	

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	NORTH SYRACUSE, NY, United States
06/2024 - Present	OSAIC WEALTH, INC.	Mass Transfer	Y	NORTH SYRACUSE, NY, United States
05/2007 - Present	UPSTATE ADVISORS GROUP	IAR	Y	NORTH SYRACUSE, NY, United States
10/1996 - Present	CADARET, GRANT & CO., INC.	REGISTERED REPRESENTATIVE	Y	NORTH SYRACUSE, NY, United States
10/1996 - Present	JSD & ASSOCIATES, INC.	PRESIDENT	Y	NORTH SYRACUSE, NY, United States
05/2018 - 06/2024	Securities America Advisors	IAR	Y	North Syracuse, NY, United States
05/2018 - 06/2024	Securities America Inc.	Registered Representative	Y	North Syracuse, NY, 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. INSURANCE SALES

POSITION: Insurance Sales NATURE: Insurance Sales INVESTMENT RELATED: Yes NUMBER OF HOURS: 3 SECURITIES TRADING HOURS: 3 START DATE: 04/01/2017 ADDRESS: 453 S. Main St, N. Syracuse NY 13212 DESCRIPTION: Health Insurance

2. UPSTATE ADVISORS

POSITION: advisor NATURE: Advisory Services INVESTMENT RELATED: Yes NUMBER OF HOURS: 10 SECURITIES TRADING HOURS: 10 START DATE: 02/01/2008 ADDRESS: 453 S. Main St, N. Syracuse NY 13212 DESCRIPTION: Advisory Services and financial planning

3. T/U/W [REDACTED]

POSITION: co-trustee NATURE: I have been acting as co-trustee for T/U/W of [REDACTED] Account number [REDACTED], which is domiciled at Cadaret Grant (Pershing), since 2013. The beneficiary of this trust has passed, and I am awaiting verification of instructions to liquidate and send to [REDACTED] Estate. The account was left at Cadaret Grant because it will close soon. Update as of May 15th 2019. Attorneys have asked that this account along with the Estate account be transferred to Securities America. The account will have the accounting and any final fees paid out and transferred to the remaining balance to the estate account. INVESTMENT RELATED: Yes NUMBER OF HOURS: 1 SECURITIES TRADING HOURS: 1 START DATE: 01/13/2013 ADDRESS: 453 S. Main St., N. Syracuse NY 13212 DESCRIPTION: Before beneficiary passing, we, as co-trustees, would receive monthly/quarterly bills to maintain a residence that was owned by the decedent and reimburse expenses.

4. DAVID VINCIGUERRA/GIOVANNI VITALE

POSITION: owner NATURE: Rental Property INVESTMENT RELATED: No NUMBER OF HOURS: 5 SECURITIES TRADING HOURS: 5 START DATE: 08/01/2011 ADDRESS: 453 S. Main St, NORTH SYRACUSE NY 13212 DESCRIPTION: own real estate that our office is housed in.

5. 453 S. MAIN ST

POSITION: Owner NATURE: Rental Property with Gio Vitale at 453 S. Main St. North Syracuse, NY 13212 INVESTMENT RELATED: No NUMBER OF HOURS: 5 SECURITIES TRADING HOURS: 5 START DATE: 08/01/2011 ADDRESS: 453 S. Main St., North Syracuse NY 13212 DESCRIPTION: Gio and I own the property. There is an upstairs apartment that is rented, and another financial advisor who rents an office.

6. JSD & ASSOCIATES, INC.

POSITION: President NATURE: Corporation INVESTMENT RELATED: Yes NUMBER OF HOURS: 100 SECURITIES TRADING HOURS: 100 START DATE: 01/01/1998 ADDRESS: 453 S. Main St, Syracuse NY 13212, United States DESCRIPTION: This entity is the name we contact our security business.



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	1

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 1

Reporting Source: Regulator

Employing firm when activities occurred which led to the complaint: JAMESON, DEWITT & ASSOCIATES, INC.

Allegations: MISREPRESENTATION; BRCH OF FIDUCIARY DT; ACCOUNT RELATED-NEGLIGENCE; ACCOUNT RELATED - FAILURE TO SUPERVISE

Product Type:

Alleged Damages:

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: NASD - CASE #97-03402

Date Notice/Process Served: 07/22/1997

Arbitration Pending? No

Disposition: Settled

Disposition Date: 12/09/1997

Disposition Detail: CASE IS CLOSED, SETTLED
** CASE SETTLED **

.....

Reporting Source: Individual



Employing firm when activities occurred which led to the complaint: JAMESON DEWITT & ASSOCIATES INC.

Allegations: MISREPRESENTATION; BREACH OF FIDUCIARY DUTY; ACCOUNT RELATED NEGLIGENCE - FAILURE TO SUPERVISE.

Product Type: Other

Other Product Type(s): COMMON STOCK

Alleged Damages: \$100,000.00

Customer Complaint Information

Date Complaint Received: 07/22/1997

Complaint Pending? No

Status: Settled

Status Date: 12/09/1997

Settlement Amount: \$15,000.00

Individual Contribution Amount: \$5,000.00

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: NASD CASE #97-03402

Date Notice/Process Served: 07/22/1997

Arbitration Pending? No

Disposition: Other

Disposition Date: 12/09/1997

Broker Statement CASE WAS SETTLED PRIOR TO ARBITRATION. CASE NEVER ARBITRATED. [CUSTOMER] BOUGHT COMMON STOCK ON A FRIEND'S RECOMMENDATION PLACING THE TRADE WITH [THIRD PARTY]. WHEN THE TRADE DID NOT WORK OUT, SHE CONSULTED AN ATTORNEY. WE WERE NOT REGISTERED IN OHIO AS A FIRM SO THEY TOOK [THIRD PARTY], [THIRD PARTY] AND MYSELF (AS PRINCIPAL) TO ARBITRATION IN OHIO. RATHER THAN TRAVEL TO OHIO AND FIGHT THE CASE, WE SETTLED ON \$15,000 - OR \$5,000 EACH. [CUSTOMER] DIED PRIOR TO RECEIVING THE SETTLEMENT, WE PAID THE ESTATE BECAUSE WE GAVE OUR WORD. CASE NEVER REACHED ARBITRATION.



End of Report

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