



## IAPD Report

# ARTHUR MILTON GETTINGER

CRD# 2033692

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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

### ARTHUR MILTON GETTINGER (CRD# 2033692)

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 **04/17/2026**.

### CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
<b>B</b>	OSAIC WEALTH, INC.	CRD# 23131	09/01/2023
<b>IA</b>	OSAIC WEALTH, INC.	CRD# 23131	09/01/2023

### QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **44** 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>B</b>	SAGEPOINT FINANCIAL, INC.	133763	PINECREST, FL	10/31/2005 - 09/01/2023
<b>IA</b>	SAGEPOINT FINANCIAL, INC.	133763	PINECREST, FL	10/31/2005 - 09/01/2023
<b>IA</b>	SENTRA SECURITIES CORP	10249	MIAMI, FL	02/02/2005 - 10/31/2005

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	3
Termination	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 **44** 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	09/01/2023
B	FINRA	General Securities Representative	Approved	09/01/2023
B	FINRA	Registered Options Principal	Approved	09/01/2023
B	Alabama	Agent	Approved	09/01/2023
B	Alaska	Agent	Approved	11/17/2025
B	Arizona	Agent	Approved	09/01/2023
B	California	Agent	Approved	09/01/2023
B	Colorado	Agent	Approved	09/01/2023
B	Connecticut	Agent	Approved	09/01/2023
B	Delaware	Agent	Approved	05/13/2025
B	District of Columbia	Agent	Approved	09/01/2023
B	Florida	Agent	Approved	09/01/2023
IA	Florida	Investment Adviser Representative	Approved	09/01/2023



### Qualifications

Regulator	Registration	Status	Date
<b>B</b> Georgia	Agent	Approved	09/01/2023
<b>B</b> Hawaii	Agent	Approved	09/01/2023
<b>B</b> Idaho	Agent	Approved	09/01/2023
<b>B</b> Illinois	Agent	Approved	09/01/2023
<b>B</b> Indiana	Agent	Approved	09/01/2023
<b>B</b> Iowa	Agent	Approved	09/01/2023
<b>B</b> Kansas	Agent	Approved	09/01/2023
<b>B</b> Kentucky	Agent	Approved	09/01/2023
<b>B</b> Maryland	Agent	Approved	09/01/2023
<b>B</b> Massachusetts	Agent	Approved	09/01/2023
<b>B</b> Michigan	Agent	Approved	09/01/2023
<b>B</b> Minnesota	Agent	Approved	09/01/2023
<b>B</b> Mississippi	Agent	Approved	05/12/2025
<b>B</b> Missouri	Agent	Approved	09/01/2023
<b>B</b> Montana	Agent	Approved	09/01/2023
<b>B</b> Nebraska	Agent	Approved	09/01/2023
<b>B</b> Nevada	Agent	Approved	09/01/2023
<b>B</b> New Hampshire	Agent	Approved	09/01/2023
<b>B</b> New Jersey	Agent	Approved	09/01/2023



### Qualifications

Regulator	Registration	Status	Date
IA New Jersey	Investment Adviser Representative	Approved	04/17/2024
B New Mexico	Agent	Approved	09/01/2023
B New York	Agent	Approved	09/01/2023
IA New York	Investment Adviser Representative	Approved	12/03/2023
B North Carolina	Agent	Approved	09/01/2023
B Ohio	Agent	Approved	09/01/2023
B Oregon	Agent	Approved	09/01/2023
B Pennsylvania	Agent	Approved	09/01/2023
B Rhode Island	Agent	Approved	09/01/2023
B South Carolina	Agent	Approved	09/01/2023
B South Dakota	Agent	Approved	04/20/2026
B Tennessee	Agent	Approved	09/01/2023
B Texas	Agent	Approved	09/01/2023
IA Texas	Investment Adviser Representative	Restricted Approval	09/01/2023
B Vermont	Agent	Approved	09/01/2023
B Virginia	Agent	Approved	09/01/2023
B Washington	Agent	Approved	09/01/2023
B West Virginia	Agent	Approved	03/06/2024



### Qualifications

Regulator	Registration	Status	Date
<b>B</b> Wisconsin	Agent	Approved	09/01/2023

### Branch Office Locations

**OSAIC WEALTH, INC.**  
8603 SOUTH DIXIE HIGHWAY  
SUITE 217-A  
PINECREST, FL 33156

**OSAIC WEALTH, INC.**  
5515 21ST AVE W  
SUITE A  
BRADENTON, FL 34209




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



#### Principal/Supervisory Exams

Exam	Category	Date
 Registered Options Principal Examination (S4)	Series 4	08/20/2009
 General Securities Principal Examination (S24)	Series 24	06/17/2005

#### General Industry/Product Exams

Exam	Category	Date
 Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
 Futures Managed Funds Examination (S31)	Series 31	12/10/1996
 General Securities Representative Examination (S7)	Series 7	11/26/1996

#### State Securities Law Exams

Exam	Category	Date
 Uniform Investment Adviser Law Examination (S65)	Series 65	12/14/1996
 Uniform Securities Agent State Law Examination (S63)	Series 63	12/14/1996

### 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
B	10/31/2005 - 09/01/2023	SAGEPOINT FINANCIAL, INC.	CRD# 133763	PINECREST, FL
IA	10/31/2005 - 09/01/2023	SAGEPOINT FINANCIAL, INC.	CRD# 133763	PINECREST, FL
IA	02/02/2005 - 10/31/2005	SENTRA SECURITIES CORP	CRD# 10249	MIAMI, FL
B	11/16/2004 - 10/31/2005	SENTRA SECURITIES CORPORATION	CRD# 10249	PHOENIX, AZ
IA	01/29/1997 - 10/19/2004	MORGAN STANLEY	CRD# 7556	MIAMI, FL
B	11/27/1996 - 10/19/2004	MORGAN STANLEY DW INC.	CRD# 7556	PURCHASE, 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
09/2023 - Present	OSAIC WEALTH, INC.	REGISTERED REPRESENTATIVE	Y	PINECREST, FL, United States
01/2009 - 09/2023	SAGEPOINT FINANCIAL, INC	REGISTERED REPRESENTATIVE	Y	MIAMI, FL, 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.

#### 1. ARTHUR GETTINGER

POSITION: Statutory Agent NATURE: Sole Proprietorship INVESTMENT RELATED: Yes NUMBER OF HOURS: 5 SECURITIES TRADING HOURS: 5 START DATE: 06/01/2007  
ADDRESS: 8603 South Dixie Highway, Suite 217-A, Pinecrest FL 33156, United States  
DESCRIPTION: Sell fixed life when needed by client.

#### 2. GETTINGER FINANCIAL LLC

POSITION: Owner/Statutory Agent NATURE: Limited Liability Company INVESTMENT RELATED: Yes NUMBER OF HOURS: 5 SECURITIES TRADING HOURS: 5 START DATE: 06/05/2013  
ADDRESS: 8603 South Dixie Highway, Suite 217-A, Pinecrest FL 33156, United States  
DESCRIPTION: Review clients investment planning, tax planning, estate planning, insurance planning, retirement/cash flow



## Registration & Employment History



### OTHER BUSINESS ACTIVITIES

planning, includes fixed insurance sales.

#### 3. TATE GETTINGER TRUST, ADAM GETTINGER TRUST

POSITION: Trustee NATURE: I acted as successor trustee for my little brothers Trusts. They have since been distributed.

INVESTMENT RELATED: No NUMBER OF HOURS: 0 SECURITIES TRADING HOURS: 0 START DATE: 04/21/2001

ADDRESS: 6464 SW 104 street, Miami FL 33156, United States

DESCRIPTION: If anything comes up in regards to trusts I will act.



## 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	3
Termination	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 3

<b>Reporting Source:</b>	Individual
<b>Employing firm when activities occurred which led to the complaint:</b>	SAGEPOINT FINANCIAL
<b>Allegations:</b>	[CUSTOMER] AND [CUSTOMER] ALLEGE THAT THE INVESTMENTS RECOMMENDED BY MR. GETTINGER WERE UNSUITABLE FOR THEIR OBJECTIVES.
<b>Product Type:</b>	Debt-Corporate Equity Listed (Common & Preferred Stock)
<b>Alleged Damages:</b>	\$200,000.00
<b>Is this an oral complaint?</b>	No
<b>Is this a written complaint?</b>	Yes
<b>Is this an arbitration/CFTC reparation or civil litigation?</b>	No

### Customer Complaint Information

<b>Date Complaint Received:</b>	11/01/2010
<b>Complaint Pending?</b>	No
<b>Status:</b>	Denied
<b>Status Date:</b>	11/01/2010

### Settlement Amount:

### Individual Contribution



**Individual Contribution**

**Amount:**

**Disclosure 2 of 3**

**Reporting Source:** Firm  
**Employing firm when activities occurred which led to the complaint:** MORGAN STANLEY DW INC.

**Allegations:** CUSTOMERS ALLEGED MR. GETTINGER EXECUTED A TRANSACTION WITHOUT CUSTOMER AUTHORIZATION.

**Product Type:** Other

**Other Product Type(s):** EQUITIES

**Alleged Damages:** \$26,265.39

**Customer Complaint Information**

**Date Complaint Received:** 09/10/2004

**Complaint Pending?** No

**Status:** Settled

**Status Date:** 11/12/2004

**Settlement Amount:** \$26,265.39

**Individual Contribution Amount:** \$0.00

**Reporting Source:** Individual  
**Employing firm when activities occurred which led to the complaint:** MORGAN STANLEY DW INC.

**Allegations:** CUSTOMERS ALLEGED MR. GETTINGER EXECUTED A TRANSACTION WITHOUT CUSTOMER AUTHORIZATION

**Product Type:** Other

**Other Product Type(s):** EQUITIES

**Alleged Damages:** \$26,265.39

**Customer Complaint Information**

**Date Complaint Received:** 09/10/2004

**Complaint Pending?** No

**Status:** Settled

**Status Date:** 11/30/2004

**Settlement Amount:** \$26,265.39

**Individual Contribution Amount:** \$0.00

**Broker Statement** MR GETTINGER STATES:"THE ACCOUNT IN QUESTION WAS A WRAP FEE ACCOUNT, NO COMMISSION WAS PAID BY THE CUSTOMER OR EARNED BY ME ON THE TRANSACTION IN QUESTION. WHICH I DISPUTE ANY



WRONGDOING, I ASKED MANAGEMENT TO MOVE THE TRANSACTION OUT OF THE CUSTOMER'S ACCOUNT, WHICH THEY DID AND I OFFERED TO MANAGEMENT TO MAKE RESTITUTION, BUT MANAGEMENT DID NOT REQUIRE FOR ME TO DO SO."

**Disclosure 3 of 3**

**Reporting Source:** Firm  
**Employing firm when activities occurred which led to the complaint:** MORGAN STANLEY DW, INC

**Allegations:** CLAIMANT ALLEGES, INTER ALIA, COMMON LAW AND STATUTORY SECURITIES VIOLATIONS IN CONNECTION WITH TRANSACTIONS FROM MARCH 2000 THROUGH APRIL 2002.

**Product Type:** Equity - OTC  
**Alleged Damages:** \$85,000.00

**Customer Complaint Information**

**Date Complaint Received:** 02/12/2003  
**Complaint Pending?** No  
**Status:** Arbitration/Reparation  
**Status Date:** 02/12/2003  
**Settlement Amount:**

**Individual Contribution Amount:**

**Arbitration Information**

**Arbitration/Reparation Claim filed with and Docket/Case No.:** NASD # 03-00687  
**Date Notice/Process Served:** 02/07/2003  
**Arbitration Pending?** No  
**Disposition:** Settled  
**Disposition Date:** 04/20/2004  
**Monetary Compensation Amount:** \$20,000.00  
**Individual Contribution Amount:** \$0.00

**Firm Statement** IN ORDER TO AVOID THE COSTS AND UNCERTAINTIES OF LITIGATION, MORGAN STANLEY AGREED TO PAY CLAIMANT \$20,000.00. IN FULL AND FINAL SETTLEMENT OF ANY AND ALL CLAIMS ASSERTED BY CLAIMANT IN THIS PROCEEDING. CLAIMANT AGREED TO THE EXPUNGEMENT OF ALL REFERENCES TO THIS ARBITRATION FROM MR. GETTINGER'S NASD CRD RECORDS.

.....  
**Reporting Source:** Individual



**Employing firm when activities occurred which led to the complaint:** MORGAN STANLEY DW, INC

**Allegations:** CLAIMANT ALLEGES, INTER ALIA, COMMON LAW AND STATUTORY SECURITIES VIOLATIONS IN CONNECTION WITH TRANSACTIONS FROM MARCH 2000 THROUGH APRIL 2002.

**Product Type:** Equity - OTC

**Alleged Damages:** \$85,000.00

**Customer Complaint Information**

**Date Complaint Received:** 02/12/2003

**Complaint Pending?** No

**Status:** Arbitration/Reparation

**Status Date:** 02/12/2003

**Settlement Amount:**

**Individual Contribution Amount:**

**Arbitration Information**

**Arbitration/Reparation Claim filed with and Docket/Case No.:** NASD# 03-00687

**Date Notice/Process Served:** 02/07/2003

**Arbitration Pending?** No

**Disposition:** Settled

**Disposition Date:** 04/20/2004

**Monetary Compensation Amount:** \$20,000.00

**Individual Contribution Amount:** \$0.00

**Broker Statement** IN ORDER TO AVOID THE COSTS AND UNCERTAINTIES OF LITIGATION, MORGAN STANLEY AGREED TO PAY CLAIMANT \$20,000.00 IN FULL AND FINAL SETTLEMENT OF ANY AND ALL CLAIMS ASSERTED BY CLAIMANT IN THIS PROCEEDING. CLAIMANT AGREED TO THE EXPUNGEMENT OF ALL REFERENCES TO THIS ARBITRATION FROM MR. GETTINGER'S NASD CRD RECORDS.



## Termination

This disclosure event involves a situation where the Investment Adviser Representative voluntarily resigned, was discharged or was permitted to resign after allegations were made that accused the Investment Adviser Representative of violating investment-related statutes, regulations, rules or industry standards of conduct; fraud or the wrongful taking of property; or failure to supervise in connection with investment-related statutes, regulations, rules or industry standards of conduct.

### Disclosure 1 of 1

**Reporting Source:** Firm  
**Firm Name:** MSDW  
**Termination Type:** Discharged  
**Termination Date:** 09/20/2004  
**Allegations:** CUSTOMER ALLEGED THAT MR.GETTINGER EXECUTED A TRANSACTION WITHOUT CUSTOMER AUTHORIZATION.  
**Product Type:** Other  
**Other Product Types:** EQUITIES  
**Firm Statement** THE ACCOUNT IN QUESTION WAS A WRAP FEE ACCOUNT, NO COMMISSION WAS PAID BY THE CUSTOMER OR EARNED BY ME ON THE TRANSACTION IN QUESTION. WHICH I DISPUTE ANY WRONGDOING, I ASKED MANAGEMENT TO MOVE THE TRANSACTION OUT OF THE CUSTOMER'S ACCOUNT, WHICH THEY DID, AND I OFFERED TO MANAGEMENT TO MAKE RESTITUTION, BUT MANAGEMENT DID NOT REQUIRE ME TO DO SO.

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**Reporting Source:** Individual  
**Firm Name:** MORGAN STANLEY DEAN WITTER INC  
**Termination Type:** Discharged  
**Termination Date:** 09/20/2004  
**Allegations:** CUSTOMER ALLEGED THAT MR. GETTINGER EXECUTED A TRANSACTION WITHOUT CUSTOMER AUTHORIZATION.  
**Product Type:** Other  
**Other Product Types:** EQUITIES  
**Broker Statement** THE ACCOUNT IN QUESTION WAS A WRAP FEE ACCOUNT. NO COMMISSION WAS PAID BY THE CUSTOMER OR EARNED BY ME ON THE TRANSACTION IN QUESTION. WHICH I DISPUTE ANY WRONGDOING, I ASKED MANAGEMENT TO MOVE THE TRANSACTION OUT OF THE CUSTOMER'S ACCOUNT, WHICH THEY DID AND I OFFERED TO MANAGEMENT TO MAKE RESTITUTION, BUT MANAGEMENT DID NOT REQUIRE FOR ME TO DO SO.



## End of Report

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