



## IAPD Report

# JOHN HENRY CHITWOOD

CRD# 2083895

<b><u>Section Title</u></b>	<b><u>Page(s)</u></b>
Report Summary	1
Qualifications	2 - 6
Registration and Employment History	8 - 9
Disclosure Information	10

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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

### JOHN HENRY CHITWOOD (CRD# 2083895)

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 **10/18/2021**.

### CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
<b>B</b>	OSAIC WEALTH, INC.	CRD# 23131	09/05/2013
<b>IA</b>	OSAIC WEALTH, INC.	CRD# 23131	10/02/2013

### QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **52** 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	SCOTTSDALE, AZ	10/31/2005 - 09/24/2013
<b>IA</b>	SAGEPOINT FINANCIAL, INC.	133763	PHOENIX, AZ	09/08/2011 - 09/19/2013
<b>B</b>	FSC SECURITIES CORPORATION	7461	ATLANTA, GA	02/25/2010 - 07/12/2012

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
Criminal	1
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 **52** 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	09/05/2013
B	FINRA	General Securities Representative	Approved	09/05/2013
B	FINRA	Registered Options Principal	Approved	09/05/2013
B	FINRA	Municipal Securities Representative	Approved	10/16/2014
B	FINRA	Municipal Securities Principal	Approved	06/18/2015
B	Alabama	Agent	Approved	09/27/2013
B	Alaska	Agent	Approved	10/01/2013
B	Arizona	Agent	Approved	09/26/2013
IA	Arizona	Investment Adviser Representative	Approved	10/02/2013
B	Arkansas	Agent	Approved	09/30/2013
B	California	Agent	Approved	09/19/2013
B	Colorado	Agent	Approved	09/23/2013
B	Connecticut	Agent	Approved	09/20/2013



### Qualifications

Regulator	Registration	Status	Date
<b>B</b> Delaware	Agent	Approved	09/23/2013
<b>B</b> District of Columbia	Agent	Approved	10/04/2013
<b>B</b> Florida	Agent	Approved	09/23/2013
<b>B</b> Georgia	Agent	Approved	09/19/2013
<b>B</b> Hawaii	Agent	Approved	11/29/2013
<b>B</b> Idaho	Agent	Approved	09/20/2013
<b>B</b> Illinois	Agent	Approved	09/20/2013
<b>B</b> Indiana	Agent	Approved	10/03/2013
<b>B</b> Iowa	Agent	Approved	09/27/2013
<b>B</b> Kansas	Agent	Approved	09/23/2013
<b>B</b> Kentucky	Agent	Approved	09/27/2013
<b>B</b> Louisiana	Agent	Approved	10/23/2013
<b>B</b> Maine	Agent	Approved	09/20/2013
<b>B</b> Maryland	Agent	Approved	09/23/2013
<b>B</b> Massachusetts	Agent	Approved	09/23/2013
<b>B</b> Michigan	Agent	Approved	09/23/2013
<b>B</b> Minnesota	Agent	Approved	10/02/2013
<b>B</b> Mississippi	Agent	Approved	10/03/2013
<b>B</b> Missouri	Agent	Approved	09/19/2013



## Qualifications

Regulator	Registration	Status	Date
<b>B</b> Montana	Agent	Approved	09/19/2013
<b>B</b> Nebraska	Agent	Approved	09/24/2013
<b>B</b> Nevada	Agent	Approved	09/30/2013
<b>B</b> New Hampshire	Agent	Approved	09/20/2013
<b>B</b> New Jersey	Agent	Approved	09/30/2013
<b>B</b> New Mexico	Agent	Approved	10/01/2013
<b>B</b> New York	Agent	Approved	01/23/2014
<b>B</b> North Carolina	Agent	Approved	09/20/2013
<b>B</b> North Dakota	Agent	Approved	09/19/2013
<b>B</b> Ohio	Agent	Approved	09/19/2013
<b>B</b> Oklahoma	Agent	Approved	09/27/2013
<b>B</b> Oregon	Agent	Approved	10/01/2013
<b>B</b> Pennsylvania	Agent	Approved	09/20/2013
<b>B</b> Puerto Rico	Agent	Approved	09/25/2013
<b>B</b> Rhode Island	Agent	Approved	09/19/2013
<b>B</b> South Carolina	Agent	Approved	10/03/2013
<b>B</b> South Dakota	Agent	Approved	10/01/2013
<b>B</b> Tennessee	Agent	Approved	09/20/2013
<b>B</b> Texas	Agent	Approved	10/01/2013



### Qualifications

Regulator	Registration	Status	Date
<b>B</b> Utah	Agent	Approved	09/20/2013
<b>B</b> Vermont	Agent	Approved	10/02/2013
<b>B</b> Virginia	Agent	Approved	09/20/2013
<b>B</b> Washington	Agent	Approved	09/27/2013
<b>B</b> West Virginia	Agent	Approved	12/17/2013
<b>B</b> Wisconsin	Agent	Approved	09/27/2013
<b>B</b> Wyoming	Agent	Approved	10/03/2013

### Branch Office Locations

**OSAIC WEALTH, INC.**  
18700 N. HAYDEN ROAD  
SUITE 255  
SCOTTSDALE, AZ 85255






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




#### Principal/Supervisory Exams

	Exam	Category	Date
	Municipal Securities Principal Examination (S53)	Series 53	06/18/2015
	Registered Options Principal Examination (S4)	Series 4	05/28/2005
	General Securities Principal Examination (S24)	Series 24	12/29/2003

#### General Industry/Product Exams

	Exam	Category	Date
	Municipal Securities Representative Examination (S52TO)	Series 52TO	01/02/2023
	Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
	General Securities Representative Examination (S7)	Series 7	02/24/1998
	Investment Company Products/Variable Contracts Representative Examination (S6)	Series 6	08/07/1990

#### State Securities Law Exams

	Exam	Category	Date
	 Uniform Combined State Law Examination (S66)	Series 66	08/29/2011
	 Uniform Securities Agent State Law Examination (S63)	Series 63	09/06/1990



## 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
B	10/31/2005 - 09/24/2013	SAGEPOINT FINANCIAL, INC.	CRD# 133763	SCOTTSDALE, AZ
IA	09/08/2011 - 09/19/2013	SAGEPOINT FINANCIAL, INC.	CRD# 133763	PHOENIX, AZ
B	02/25/2010 - 07/12/2012	FSC SECURITIES CORPORATION	CRD# 7461	ATLANTA, GA
B	02/25/2010 - 07/12/2012	ROYAL ALLIANCE ASSOCIATES, INC.	CRD# 23131	SCOTTSDALE, AZ
B	10/01/2007 - 10/29/2008	AMERICAN GENERAL SECURITIES INCORPORATED	CRD# 13626	PHOENIX, AZ
B	11/12/1999 - 10/31/2005	SUNAMERICA SECURITIES, INC.	CRD# 20068	PHOENIX, AZ
B	01/22/2003 - 12/31/2004	SENTRA SECURITIES CORPORATION	CRD# 10249	PHOENIX, AZ
B	01/22/2003 - 12/31/2004	SPELMAN & CO., INC.	CRD# 10232	PHOENIX, AZ
B	08/18/1998 - 08/17/1999	PILGRIM SECURITIES, INC.	CRD# 37886	WINDSOR, CT
B	01/27/1992 - 05/28/1998	FRANKLIN/TEMPLETON DISTRIBUTORS, INC.	CRD# 332	SAN MATEO, CA
B	08/09/1990 - 11/30/1990	EQUICO SECURITIES, INC.	CRD# 6627	NEW YORK, NY
B	08/09/1990 - 11/30/1990	THE EQUITABLE LIFE ASSURANCE SOCIETY OF THE UNITED STATES	CRD# 4039	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
01/2009 - Present	SAGEPOINT FINANCIAL, INC	REGISTERED REPRESENTATIVE	Y	PHOENIX, AZ, 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.

#### CARUSO FAMILY TRUST

POSITION: Successor Trustee NATURE: Family Trust (parents) INVESTMENT RELATED: No NUMBER OF HOURS: 0

SECURITIES TRADING HOURS: 0 START DATE: 02/09/1993

ADDRESS: 18310 W Indigo Brush Rd, Goodyear AZ 85338, United States

DESCRIPTION: Successor Trustee - the date above is the date of the trust. Just found out I am co-successor trustee with sibling after mother passed away, July 2015



## 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
Criminal	1
Termination	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

<b>Reporting Source:</b>	Individual
<b>Regulatory Action Initiated By:</b>	INSURANCE COMMISSIONER OF THE STATE OF CALIFORNIA
<b>Sanction(s) Sought:</b>	
<b>Other Sanction(s) Sought:</b>	
<b>Date Initiated:</b>	03/16/1992
<b>Docket/Case Number:</b>	SAC 5915-AP
<b>Employing firm when activity occurred which led to the regulatory action:</b>	THE EQUITABLE
<b>Product Type:</b>	Insurance
<b>Other Product Type(s):</b>	
<b>Allegations:</b>	CALIFORNIA INSURANCE CODE SECTION 1668(M)(3) & 1738 0 DAMAGES 1668(B) & (H) ALLEGEDLY MADE KNOWINGLY FALSE STATEMENTS ON APPLICATION.
<b>Current Status:</b>	Final
<b>Resolution:</b>	Order
<b>Resolution Date:</b>	10/15/1992
<b>Sanctions Ordered:</b>	Revocation/Expulsion/Denial
<b>Other Sanctions Ordered:</b>	NONE



**Sanction Details:**

CALIFORNIA INSURANCE LICENSE AND LICENSING  
RIGHTS REVOKED



## Criminal

This disclosure event involves a criminal charge against the Investment Adviser Representative that has resulted in a dismissal, plea, acquittal or conviction. The criminal matter may relate to any felony or certain misdemeanor offenses (e.g., bribery, perjury, forgery, counterfeiting, extortion, fraud, wrongful taking of property).

### Disclosure 1 of 1

<b>Reporting Source:</b>	Individual
<b>Formal Charges were brought in:</b>	State Court
<b>Name of Court:</b>	MUNICIPAL COURT OF CALIFORNIA, SANTA CLARA COUNTY JUDICIAL DISTRICT
<b>Location of Court:</b>	SUNNYVALE, CA IN SANTA CLARA COUNTY
<b>Docket/Case #:</b>	E8616522
<b>Charge Date:</b>	03/17/1986
<b>Charge(s) 1 of 1</b>	
<b>Formal Charge(s)/Description:</b>	CA PENAL CODE 484-487.0 LARCENY
<b>No of Counts:</b>	1
<b>Felony or Misdemeanor:</b>	Felony
<b>Plea for each charge:</b>	NO CONTEST
<b>Disposition of charge:</b>	Reduced
<b>Date of Amended Charge:</b>	06/20/1986
<b>Charge was Amended or reduced to:</b>	REDUCED TO 467.1 GRAND THEFT MISDEMEANOR
<b>Amended No of Counts:</b>	1
<b>Amended Charge:</b>	Misdemeanor
<b>Amended Plea:</b>	NO CONTEST
<b>Disposition of Amended Charge:</b>	Dismissed
<b>Current Status:</b>	Final
<b>Status Date:</b>	01/18/1989
<b>Disposition Date:</b>	01/18/1989
<b>Sentence/Penalty:</b>	SENTENCE TO ONE (1) YEAR PROBATION AND PAID FINE OF \$680, BOTH COMMENCING ON 07/21/86.
<b>Broker Statement</b>	NOT PROVIDED



## 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

<b>Reporting Source:</b>	Individual
<b>Firm Name:</b>	SEARS ROEBUCK
<b>Termination Type:</b>	Permitted to Resign
<b>Termination Date:</b>	03/17/1986
<b>Allegations:</b>	ALLEGED WRONGFUL TAKING OF ELECTRONIC EQUIPMENT (2) VCRS. ALLEGED DAMAGES APPROXIMATELY \$500
<b>Product Type:</b>	Other
<b>Other Product Types:</b>	NON INVESTMENT RELATED
<b>Broker Statement</b>	TERMINATION SEE DETAILS ABOVE



## End of Report

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