



IAPD Report

HOWARD ROBERT ASCH

CRD# 2147380

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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

HOWARD ROBERT ASCH (CRD# 2147380)

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 **07/09/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	OSAIC WEALTH, INC.	CRD# 23131	07/23/2003
IA	OSAIC WEALTH, INC.	CRD# 23131	07/27/2016

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	RYAN BECK & CO.	3248	FLORHAM PARK, NJ	04/29/2002 - 08/01/2003
B	GRUNTAL & CO., L.L.C.	372	NEW YORK, NY	03/11/1998 - 04/29/2002
B	HAMPSHIRE SECURITIES CORPORATION	19725	NEW YORK, NY	05/17/1996 - 03/15/1998

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 **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
	FINRA	Corporate Securities Represent	Approved	07/23/2003
	FINRA	Invest. Co and Variable Contracts	Approved	07/23/2003
	FINRA	General Securities Principal	Approved	09/18/2003
	FINRA	Municipal Securities Representative	Approved	11/05/2003
	FINRA	Municipal Fund	Approved	02/23/2004
	FINRA	General Securities Representative	Approved	04/21/2004
	FINRA	Registered Options Principal	Approved	12/15/2004
	FINRA	Municipal Securities Principal	Approved	08/14/2015
	Alabama	Agent	Approved	05/09/2024
	Alaska	Agent	Approved	09/23/2022
	Arizona	Agent	Approved	03/18/2015
	Arkansas	Agent	Approved	05/09/2024
	California	Agent	Approved	07/23/2003



Qualifications

	Regulator	Registration	Status	Date
IA	California	Investment Adviser Representative	Approved	07/27/2016
B	Colorado	Agent	Approved	07/23/2003
IA	Colorado	Investment Adviser Representative	Approved	11/13/2024
B	Connecticut	Agent	Approved	07/23/2003
IA	Connecticut	Investment Adviser Representative	Approved	02/20/2025
B	Delaware	Agent	Approved	01/13/2004
B	District of Columbia	Agent	Approved	03/05/2013
B	Florida	Agent	Approved	07/23/2003
IA	Florida	Investment Adviser Representative	Approved	06/08/2023
B	Georgia	Agent	Approved	01/13/2004
B	Hawaii	Agent	Approved	05/16/2025
B	Idaho	Agent	Approved	05/16/2025
B	Illinois	Agent	Approved	07/23/2003
B	Indiana	Agent	Approved	04/29/2013
B	Iowa	Agent	Approved	11/06/2023
B	Kansas	Agent	Approved	09/10/2024
B	Kentucky	Agent	Approved	11/16/2009
B	Louisiana	Agent	Approved	01/20/2004
IA	Louisiana	Investment Adviser Representative	Approved	06/12/2024



Qualifications

	Regulator	Registration	Status	Date
B	Maine	Agent	Approved	02/08/2007
B	Maryland	Agent	Approved	07/23/2003
IA	Maryland	Investment Adviser Representative	Approved	01/17/2020
B	Massachusetts	Agent	Approved	07/23/2003
IA	Massachusetts	Investment Adviser Representative	Approved	03/05/2024
B	Michigan	Agent	Approved	05/16/2025
B	Minnesota	Agent	Approved	08/07/2003
B	Mississippi	Agent	Approved	05/09/2024
B	Missouri	Agent	Approved	10/16/2024
B	Montana	Agent	Approved	05/16/2025
B	Nebraska	Agent	Approved	06/30/2025
B	Nevada	Agent	Approved	07/12/2021
B	New Hampshire	Agent	Approved	01/13/2004
IA	New Hampshire	Investment Adviser Representative	Approved	01/23/2024
B	New Jersey	Agent	Approved	07/23/2003
IA	New Jersey	Investment Adviser Representative	Approved	08/17/2016
B	New Mexico	Agent	Approved	11/06/2023
B	New York	Agent	Approved	07/23/2003
IA	New York	Investment Adviser Representative	Approved	04/26/2021



Qualifications

	Regulator	Registration	Status	Date
B	North Carolina	Agent	Approved	07/23/2003
IA	North Carolina	Investment Adviser Representative	Approved	09/30/2024
B	North Dakota	Agent	Approved	07/14/2025
B	Ohio	Agent	Approved	01/04/2005
B	Oklahoma	Agent	Approved	02/17/2021
B	Oregon	Agent	Approved	05/08/2018
B	Pennsylvania	Agent	Approved	07/23/2003
IA	Pennsylvania	Investment Adviser Representative	Approved	07/28/2016
B	Puerto Rico	Agent	Approved	07/09/2026
B	Rhode Island	Agent	Approved	03/18/2015
B	South Carolina	Agent	Approved	02/24/2004
B	South Dakota	Agent	Approved	05/03/2024
B	Tennessee	Agent	Approved	04/30/2024
B	Texas	Agent	Approved	07/23/2003
IA	Texas	Investment Adviser Representative	Restricted Approval	02/16/2024
B	Utah	Agent	Approved	06/14/2024
IA	Utah	Investment Adviser Representative	Approved	07/03/2024
B	Vermont	Agent	Approved	07/23/2003



Qualifications

	Regulator	Registration	Status	Date
B	Virginia	Agent	Approved	01/13/2004
B	Washington	Agent	Approved	10/27/2017
B	West Virginia	Agent	Approved	04/06/2015
B	Wisconsin	Agent	Approved	02/10/2017
IA	Wisconsin	Investment Adviser Representative	Approved	02/10/2017
B	Wyoming	Agent	Approved	01/22/2021

Branch Office Locations

OSAIC WEALTH, INC.
380 N. BROADWAY
SUITE 206
JERICHO, NY 11753



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

Principal/Supervisory Exams

	Exam	Category	Date
B	Municipal Securities Principal Examination (S53)	Series 53	08/14/2015
B	Registered Options Principal Examination (S4)	Series 4	12/14/2004
B	Municipal Fund Securities Principal Examination (S51)	Series 51	02/20/2004
B	General Securities Principal Examination (S24)	Series 24	09/17/2003

General Industry/Product Exams

	Exam	Category	Date
B	Municipal Securities Representative Examination (S52TO)	Series 52TO	01/02/2023
B	Corporate Securities Limited Representative Examination (S62)	Series 62	01/02/2023
B	Investment Company Products/Variable Contracts Representative Examination (S6TO)	Series 6TO	01/02/2023
B	Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
B	General Securities Representative Examination (S7)	Series 7	05/31/1991

State Securities Law Exams

	Exam	Category	Date
IA	Uniform Investment Adviser Law Examination (S65)	Series 65	11/05/2004
B	Uniform Securities Agent State Law Examination (S63)	Series 63	06/24/1991



PROFESSIONAL DESIGNATIONS

This section details that the representative has reported **0** professional designation(s).

No information reported.

Only professional designations listed in Question 8 of the Form U4 will appear in this section if the appropriate box is checked and verified by the issuing organization at the time of the filing. Learn more about eligible designations at [IARD](#) and [NASAA](#).



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	04/29/2002 - 08/01/2003	RYAN BECK & CO.	CRD# 3248	FLORHAM PARK, NJ
B	03/11/1998 - 04/29/2002	GRUNTAL & CO., L.L.C.	CRD# 372	NEW YORK, NY
B	05/17/1996 - 03/15/1998	HAMPSHIRE SECURITIES CORPORATION	CRD# 19725	NEW YORK, NY
B	02/03/1994 - 05/20/1996	GRUNTAL & CO. INCORPORATED	CRD# 372	NEW YORK, NY
B	06/09/1993 - 01/01/1994	REICH & CO., INC.	CRD# 19611	
B	03/19/1993 - 08/09/1993	ALLIED CAPITAL, INC.	CRD# 25975	NEW YORK, NY
B	02/26/1993 - 03/24/1993	ADVANCED EQUITY GROUP, INC.	CRD# 13873	
B	01/28/1992 - 02/08/1993	GKN SECURITIES CORP.	CRD# 19415	NEW YORK, NY
B	06/03/1991 - 01/22/1992	J. W. GANT & ASSOCIATES, INC.	CRD# 7963	

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
07/2003 - Present	OSAIC WEALTH, INC.	REGISTERED REP.	Y	NEW YORK, NY, 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) NEW YORK FINANCIAL PARTNERS INC

POSITION: Partner NATURE: Its DBA to market my financial services and insurance INVESTMENT RELATED: Yes NUMBER OF HOURS: 5 SECURITIES TRADING HOURS: 5 START DATE: 06/03/2003

ADDRESS: 380 N Broadway Suite 206, Jericho NY 11753, United States

DESCRIPTION: Selling Life insurance to statisfy clients needs



Registration & Employment History



OTHER BUSINESS ACTIVITIES

2) HRA ASSOCIATES INC

POSITION: owner NATURE: Its a S corp that is used to handle my personal business expenses INVESTMENT RELATED: No

NUMBER OF HOURS: 2 SECURITIES TRADING HOURS: 2 START DATE: 07/08/2003

ADDRESS: 380 N Broadway Suite 206, Jericho NY 11753, United States

DESCRIPTION: handling expenses

3) NEW YORK FINANCIAL PARTNERS INC

POSITION: Partner NATURE: Its DBA to market my financial services and insurance INVESTMENT RELATED: Yes NUMBER OF

HOURS: 5 SECURITIES TRADING HOURS: 5 START DATE: 06/03/2003

ADDRESS: 380 N Broadway Suite 206, Jericho NY 11753, United States

DESCRIPTION: Selling Life insurance to statisfy clients needs



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:	Individual
Employing firm when activities occurred which led to the complaint:	Royal Alliance Associates, Inc.
Allegations:	A former client alleged that buy orders were placed in multiple accounts without authorization in 2010 and 2011 for a company that had filed for bankruptcy in 2016. She also questioned the suitability of the stock for her accounts.
Product Type:	Equity Listed (Common & Preferred Stock)
Alleged Damages:	\$24,000.00
Alleged Damages Amount Explanation (if amount not exact):	Customer's estimation of loss
Is this an oral complaint?	No
Is this a written complaint?	Yes
Is this an arbitration/CFTC reparation or civil litigation?	No

Customer Complaint Information

Date Complaint Received:	08/31/2016
Complaint Pending?	No
Status:	Denied



Status Date: 10/05/2016

Settlement Amount:

**Individual Contribution
Amount:**

Broker Statement

A review by the firm determined that the allegation did not have any merit. The trading activity showed that the representative placed one unsolicited buy order for \$2300 in 2011. Several other buy orders were placed by a representative that the client did not wish to include in the complaint.



End of Report

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