



IAPD Report

PETER MICHAEL MARIS

CRD# 2177794

<u>Section Title</u>	<u>Page(s)</u>
Report Summary	1
Qualifications	2 - 5
Registration and Employment History	6 - 7
Disclosure Information	8



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

PETER MICHAEL MARIS (CRD# 2177794)

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 **12/10/2025**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
IA	RESOURCE FINANCIAL GROUP, LTD.	CRD# 119833	08/28/1998
B	OSAIC WEALTH, INC.	CRD# 23131	06/14/2024

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **27** 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	SECURITIES AMERICA, INC.	10205	WILMETTE, IL	09/18/2020 - 06/14/2024
B	SECURITIES SERVICE NETWORK, LLC	13318	WILMETTE, IL	10/01/2008 - 09/18/2020
B	AIG FINANCIAL ADVISORS, INC.	133763	WILMETTE, IL	10/31/2005 - 10/02/2008

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



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

Employment 1 of 2

Firm Name: **RESOURCE FINANCIAL GROUP, LTD.**
Main Address: 1000 SKOKIE BLVD.
SUITE 525
WILMETTE, IL 60091
Firm ID#: 119833

	Regulator	Registration	Status	Date
IA	Arizona	Investment Adviser Representative	Approved	12/19/2025
IA	California	Investment Adviser Representative	Approved	12/10/2025
IA	Colorado	Investment Adviser Representative	Approved	12/10/2025
IA	Florida	Investment Adviser Representative	Approved	12/23/2025
IA	Illinois	Investment Adviser Representative	Approved	08/28/1998
IA	New Hampshire	Investment Adviser Representative	Approved	12/11/2025
IA	New York	Investment Adviser Representative	Approved	12/10/2025

Branch Office Locations

RESOURCE FINANCIAL GROUP, LTD.
1000 SKOKIE BLVD.. SUITE 525
WILMETTE, IL 60091

Employment 2 of 2

Firm Name: **OSAIC WEALTH, INC.**
Main Address: 18700 N. HAYDEN ROAD
SUITE 255
SCOTTSDALE, AZ 85255
Firm ID#: 23131



Qualifications

Regulator	Registration	Status	Date
B FINRA	General Securities Principal	Approved	06/14/2024
B FINRA	General Securities Representative	Approved	06/14/2024
B Alabama	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
B Colorado	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
B Idaho	Agent	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 Michigan	Agent	Approved	06/14/2024
B Minnesota	Agent	Approved	06/14/2024
B Missouri	Agent	Approved	06/14/2024
B New Hampshire	Agent	Approved	06/14/2024
B New York	Agent	Approved	06/14/2024



Qualifications

Regulator	Registration	Status	Date
B North Carolina	Agent	Approved	06/14/2024
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 Tennessee	Agent	Approved	06/14/2024
B Texas	Agent	Approved	06/14/2024
B Virginia	Agent	Approved	06/14/2024
B Washington	Agent	Approved	06/14/2024
B Wisconsin	Agent	Approved	06/14/2024

Branch Office Locations

OSAIC WEALTH, INC.
1000 SKOKIE BLVD., SUITE 525
WILMETTE, IL 60091




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



Principal/Supervisory Exams

Exam	Category	Date
 General Securities Principal Examination (S24)	Series 24	12/30/1996

General Industry/Product Exams

Exam	Category	Date
 Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
 General Securities Representative Examination (S7)	Series 7	10/02/1991

State Securities Law Exams

Exam	Category	Date
 Uniform Investment Adviser Law Examination (S65)	Series 65	02/20/1997
 Uniform Securities Agent State Law Examination (S63)	Series 63	10/16/1991

PROFESSIONAL DESIGNATIONS

This section details that the representative has reported **1** professional designation(s).

Certified Financial Planner

This representative holds or did hold **1** professional designation(s) that may have been used to qualify as an Investment Advisor representative. Please check with the appropriate designation authority for verification that the designation is still in effect. The contact information for these professional designation authorities can be found on the website for the North American Securities Administrators Association at <http://www.nasaa.org>



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	09/18/2020 - 06/14/2024	SECURITIES AMERICA, INC.	CRD# 10205	WILMETTE, IL
B	10/01/2008 - 09/18/2020	SECURITIES SERVICE NETWORK, LLC	CRD# 13318	WILMETTE, IL
B	10/31/2005 - 10/02/2008	AIG FINANCIAL ADVISORS, INC.	CRD# 133763	WILMETTE, IL
B	11/18/1996 - 10/31/2005	SUNAMERICA SECURITIES, INC.	CRD# 20068	PHOENIX, AZ
IA	08/28/1998 - 12/31/2002	RESOURCE FINANCIAL GROUP, LTD.	CRD# 119833	WILMETTE, IL
B	10/04/1991 - 12/11/1996	AMERICAN EXPRESS FINANCIAL ADVISORS INC.	CRD# 6363	MINNEAPOLIS, MN
B	10/04/1991 - 12/11/1996	IDS LIFE INSURANCE COMPANY	CRD# 6321	MINNEAPOLIS, MN

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	WILMETTE, IL, United States
11/1996 - Present	RESOURCE FINANCIAL GROUP, LTD.	IAR	Y	WILMETTE, IL, United States
09/2020 - 06/2024	SECURITIES AMERICA, INC.	Registered Rep	Y	WILMETTE, IL, United States
10/2008 - 09/2020	SECURITIES SERVICE NETWORK, INC	REGISTERED REPRESENTATIVE	Y	WILMETTE, IL, 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.

***TRUSTEE FOR MICHAEL S. MARIS

POSITION: Trustee NATURE: Trustee for Michael S. Maris (family) INVESTMENT RELATED: No NUMBER OF HOURS: 2



Registration & Employment History



OTHER BUSINESS ACTIVITIES

SECURITIES TRADING HOURS: 2 START DATE: 11/14/1992
ADDRESS: 1000 Skokie Blvd Suite 525, Wilmette IL 60091, United States
DESCRIPTION: Trustee duties

***TRUSTEE FOR THE TATGE TRUST FOR CHILDREN TRUST AGREEMENT
POSITION: Trustee NATURE: Trustee for the Tatge Trust for Children Trust agreement INVESTMENT RELATED: Yes NUMBER OF HOURS: 3 SECURITIES TRADING HOURS: 0 START DATE: 05/20/2008
ADDRESS: 1000 Skokie Blvd Suite 525, Wilmette IL 60091, United States
DESCRIPTION: Act in the best interest of the two beneficiaries of this trust.

***RESOURCE FINANCIAL GROUP, LTD.
POSITION: Agent NATURE: FIXED INSURANCE SALES INVESTMENT RELATED: No NUMBER OF HOURS: 20 SECURITIES TRADING HOURS: 10 START DATE: 01/01/1996
ADDRESS: 1000 Skokie Blvd Suite 525, Wilmette IL 60091, United States
DESCRIPTION: FIXED INSURANCE SALES

***RESOURCE FINANCIAL GROUP, LTD.
POSITION: Financial Advisor NATURE: TAX PLANNING SERVICES INVESTMENT RELATED: Yes NUMBER OF HOURS: 20 SECURITIES TRADING HOURS: 10 START DATE: 01/01/1996 ADDRESS: 1000 Skokie Blvd. Suite 525, Wilmette IL 60091, United States
DESCRIPTION: TAX PLANNING SERVICES

RESOURCE FINANCIAL GROUP, LTD.
POSITION: President & COO NATURE: ADVISORY & FINANCIAL PLANNING INVESTMENT RELATED: Yes NUMBER OF HOURS: 150 SECURITIES TRADING HOURS: 150 START DATE: 01/01/1996 ADDRESS: 1000 Skokie Blvd Suite 525, Wilmette IL 60091 DESCRIPTION: ADVISORY & FINANCIAL PLANNING



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

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

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	SECURITIES SERVICE NETWORK, INC.
Allegations:	Customers allege universal life insurance policy and variable annuities purchased beginning in 1999 were unsuitable.
Product Type:	Annuity-Variable Insurance
Alleged Damages:	\$750,000.00
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:	09/23/2020
Complaint Pending?	No
Status:	Settled
Status Date:	02/02/2022
Settlement Amount:	\$150,000.00
Individual Contribution Amount:	\$5,000.00



Broker Statement Representative denies allegations concerning the 1999 investment but elected to settle the complaint at the insistence of counsel to avoid the time and cost of arbitration.

Disclosure 2 of 3

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: SUNAMERICA SECURITIES, INC.

Allegations: REQUEST TO VOID AND RESCIND ALLEGED UNLAWFUL SALE OF SECURITIES PURCHASED IN THEIR ACCOUNTS.

Product Type: Mutual Fund(s)

Alleged Damages: \$366,775.00

Customer Complaint Information

Date Complaint Received: 10/06/2004

Complaint Pending? No

Status: Arbitration/Reparation

Status Date: 11/30/2004

Settlement Amount:

Individual Contribution Amount:

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: NASD 04-07555

Date Notice/Process Served: 11/30/2004

Arbitration Pending? No

Disposition: Settled

Disposition Date: 02/15/2006

Monetary Compensation Amount: \$80,000.00

Individual Contribution Amount: \$0.00

Broker Statement LETTER REQUESTING RESCISSION WAS RECEIVED ON 10/6/04. INITIAL CLAIM, RECEIVED 1/15/02 WAS DENIED IN FULL ON 2/14/02. THE TRANSACTION IN QUESTION WAS NOT A SALE AS ALLEGED BY THE CLIENT, BUT RATHER AN EXCHANGE WITHIN THE MUTUAL FUND. CLIENT ALLEGED A LOSS; HOWEVER, THERE WAS NO ACTUAL LOSS TO THE CLIENT. THE EXCHANGE DONE BY THE REPRESENTATIVE WAS, IN FACT, BENEFICIAL TO THE CLIENT IN THAT HE WAS ABLE TO OFFSET CAPITAL GAINS AND THE NEW INVESTMENT HAS OUTPERFORMED THE PRIOR HOLDING BY OVER 5% DURING THE TIME PERIOD IN QUESTION. IN ADDITION, THE TRANSACTION IN QUESTION TOOK PLACE OVER THREE YEARS AGO. MOTIVE OF CLIENT IS QUESTIONABLE IN THAT HE HAS ALLEGED THAT BECAUSE HIS PORTFOLIO IS DOWN, COMPLAINING AGAINST REPRESENTATIVE IS A WAY TO GET BACK AT HIM FOR THE



ADVICE HE PROVIDED. SETTLEMENT WAS NEGOTIATED TO AVOIDING PROTRACTED LITIGATION AND SHOULD NOT IN ANY WAY BE DEEMED AN ADMISSION OF GUILT OR LIABILITY (BOTH OF WHICH ARE STRICTLY DENIED).

Disclosure 3 of 3

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: SUNAMERICA SECURITIES, INC.

Allegations: ALLEGES REPRESENTATIVE SOLD SHARES IN HIS ACCOUNT WITHOUT HIS CONSENT.

Product Type: Mutual Fund(s)

Alleged Damages: \$11,690.38

Customer Complaint Information

Date Complaint Received: 01/15/2002

Complaint Pending? No

Status: Denied

Status Date: 02/14/2002

Settlement Amount:

Individual Contribution Amount:

Broker Statement

THE TRANSACTION IN QUESTION WAS NOT A SALE AS ALLEGED BY THE CLIENT, BUT RATHER AN EXCHANGE WITHIN THE MUTUAL FUND. CLIENT ALLEGED A LOSS; HOWEVER, THERE WAS NO ACTUAL LOSS TO THE CLIENT. THE EXCHANGE DONE BY THE REPRESENTATIVE WAS, IN FACT, BENEFICIAL TO THE CLIENT IN THAT HE WAS ABLE TO OFFSET CAPITAL GAINS AND THE NEW INVESTMENT HAS OUTPERFORMED THE PRIOR HOLDING BY OVER 5% DURING THE TIME PERIOD IN QUESTION. IN ADDITION, THE TRANSACTION IN QUESTION TOOK PLACE OVER ONE YEAR AGO. MOTIVE OF CLIENT IS QUESTIONABLE IN THAT HE HAS ALLEGED THAT BECAUSE HIS PORTFOLIO IS DOWN, COMPLAINING AGAINST THE REPRESENTATIVE IS A WAY TO GET BACK AT HIM FOR THE ADVICE HE PROVIDED. BASED ON THE FACT THAT THERE WERE NO LOSSES AND WE WERE UNABLE TO FIND A BASIS FOR THE CLIENT'S ALLEGATIONS, THE CLAIM WAS DENIED IN FULL.



End of Report

This page is intentionally left blank.