IAPD Report

STEPHEN WAYNE MATTOCKS

CRD# 2193216

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

User Guidance

www.adviserinfo.sec.gov

Report Summary

STEPHEN WAYNE MATTOCKS (CRD# 2193216)

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 **04/13/2026**.

CURRENT EMPLOYERS

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

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **11** 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	SAGEPOINT FINANCIAL, INC.	133763	WICHITA, KS	07/11/2011 - 09/01/2023
B	SAGEPOINT FINANCIAL, INC.	133763	WICHITA, KS	10/31/2005 - 09/01/2023
B	SUNAMERICA SECURITIES, INC.	20068	PHOENIX, AZ	02/12/2004 - 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	4

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 **11** 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 Representative	Approved	09/01/2023
B	FINRA	Invest. Co and Variable Contracts	Approved	09/01/2023
B	Arkansas	Agent	Approved	09/01/2023
B	California	Agent	Approved	09/01/2023
B	Colorado	Agent	Approved	01/28/2025
B	Kansas	Agent	Approved	09/01/2023
IA	Kansas	Investment Adviser Representative	Approved	09/01/2023
B	Missouri	Agent	Approved	09/01/2023
IA	Missouri	Investment Adviser Representative	Approved	09/01/2023
B	New Jersey	Agent	Approved	04/14/2026
B	North Dakota	Agent	Approved	01/04/2024
B	Oklahoma	Agent	Approved	09/01/2023
IA	Oklahoma	Investment Adviser Representative	Approved	09/01/2023

Qualifications

	Regulator	Registration	Status	Date
B	Tennessee	Agent	Approved	09/01/2023
B	Texas	Agent	Approved	09/01/2023
IA	Texas	Investment Adviser Representative	Restricted Approval	10/01/2024
B	Washington	Agent	Approved	09/11/2024

Branch Office Locations

OSAIC WEALTH, INC.
WICHITA, KS

OSAIC WEALTH, INC.
765 E. 2ND STREET
#200
WICHITA, KS 67202

OSAIC WEALTH, INC.
13220 Metcalf Ave
Suite 210
Overland Park, KS 66213

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 0 principal/supervisory exams, 3 general industry/product exams, and 2 state securities law exams.

Principal/Supervisory Exams

Exam	Category	Date
No information reported.		

General Industry/Product Exams

	Exam	Category	Date
B	Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
B	General Securities Representative Examination (S7)	Series 7	01/09/1995
B	Investment Company Products/Variable Contracts Representative Examination (S6)	Series 6	11/25/1991

State Securities Law Exams

	Exam	Category	Date
IA	Uniform Investment Adviser Law Examination (S65)	Series 65	11/23/1999
B	Uniform Securities Agent State Law Examination (S63)	Series 63	12/02/1991

PROFESSIONAL DESIGNATIONS

This section details that the representative has reported **2** professional designation(s).

Certified Financial Planner

Chartered Financial Consultant

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
IA	07/11/2011 - 09/01/2023	SAGEPOINT FINANCIAL, INC.	CRD# 133763	WICHITA, KS
B	10/31/2005 - 09/01/2023	SAGEPOINT FINANCIAL, INC.	CRD# 133763	WICHITA, KS
B	02/12/2004 - 10/31/2005	SUNAMERICA SECURITIES, INC.	CRD# 20068	PHOENIX, AZ
B	07/08/2003 - 03/11/2004	NEXT FINANCIAL GROUP, INC.	CRD# 46214	HOUSTON, TX
IA	07/08/2003 - 03/11/2004	NEXT FINANCIAL GROUP, INC.	CRD# 46214	WICHITA, KS
IA	01/05/2000 - 05/22/2003	NEW ENGLAND SECURITIES CORPORATION	CRD# 615	WICHITA, KS
B	01/29/1999 - 05/22/2003	NEW ENGLAND SECURITIES	CRD# 615	NEW YORK, NY
B	01/01/1998 - 12/11/1998	NATIONSBANC INVESTMENTS, INC.	CRD# 16361	BOSTON, MA
B	12/10/1997 - 01/01/1998	NATIONSSECURITIES	CRD# 32542	
B	11/27/1991 - 12/18/1997	MML INVESTORS SERVICES, INC.	CRD# 10409	SPRINGFIELD, MA

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	WICHITA, KS, United States
10/2005 - Present	AIG FINANCIAL ADVISORS, INC.	Mass Transfer	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.

1) WHEATLAND INSURANCE GROUP, INC
POSITION: Owner - NATURE: Corporation - INVESTMENT RELATED: No NUMBER OF HOURS: 10 SECURITIES TRADING HOURS: 5 START DATE: 01/01/2001
ADDRESS: 305 S Bordeulac St, Wichita KS 67230, United States
DESCRIPTION: Insurance products for myclients, product and sales training for around12 agents, none doing viatical settlements

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	4

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 4

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	OSAIC WEALTH, INC.
Allegations:	Customers alleges that 2014 and 2016 recommendations to purchase various REITs were unsuitable and constituted poor advice.
Product Type:	Real Estate Security
Alleged Damages:	$118,679.00
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:	06/10/2025
Complaint Pending?	No
Status:	Denied
Status Date:	07/30/2025
Settlement Amount:	
Individual Contribution Amount:	
Broker Statement	The Firm concluded that the customer's allegations were without merit

Disclosure 2 of 4

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	SAGEPOINT FINANCIAL, INC.
Allegations:	Customer alleges that a REIT purchase was misrepresented.
Product Type:	Real Estate Security
Alleged Damages:	$5,000.00
Alleged Damages Amount Explanation (if amount not exact):	Firm has made a good faith determination that damages from the alleged conduct would exceed $5,000.
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:	08/03/2024
Complaint Pending?	No
Status:	Denied
Status Date:	08/23/2024
Settlement Amount:	
Individual Contribution Amount:	

Disclosure 3 of 4

Reporting Source:	Firm
Employing firm when activities occurred which led to the complaint:	NEW ENGLAND FINANCIAL
Allegations:	CLIENTS ALLEGE THAT STEPHEN W. MATTUCKS DID NOT INFORM THEM THAT THEY WOULD BE BILLED PERIODICALLY EACH YEAR FOR THEIR VARIABLE UNIVERSAL LIFE INSURANCE POLICY PURCHASED IN SEPTEMBER 2002 TO REMAIN IN FORCE. CLIENTS ALSO ALLEGE THAT THEY WERE NOT INFORMED OF THE SURRENDER CHARGES TO BE ASSESSED SHOULD THEY WANT TO ACCESS THEIR INVESTED FUNDS.
Product Type:	Insurance
Alleged Damages:	$10,503.59

Customer Complaint Information

Date Complaint Received:	06/07/2005
Complaint Pending?	No
Status:	Closed/No Action

Status Date: 08/27/2005

Settlement Amount:

Individual Contribution Amount:

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: NEW ENGLAND FINANCIAL

Allegations: CLIENTS ALLEGE THAT STEPHEN W MATTOCKS DID NOT INFORM THEM THAT THEY WORLD BE BILLED PERIODICALLY EACH YR FOR THEIR VARIABLE UNIVERSAL LIFE INSURANCE POLICY PURCHASED IN SEPT 2002 TO REMAIN IN FORCE. CLIENTS ALSO ALLEGE THAT THEY WERE NOT INFORMED OF THE SURRENDER CHARGES TO BE ASSESSED SHOULD THEY WANT TO ACCESS THEIR INVESTED FUNDS.

Product Type: Insurance

Alleged Damages: $10,503.59

Customer Complaint Information

Date Complaint Received: 06/07/2005

Complaint Pending? No

Status: Closed/No Action

Status Date: 08/27/2005

Settlement Amount:

Individual Contribution Amount:

Broker Statement THE CLIENTS WERE PROVIDED WITH A CURRENT PROSPECTUS, THEIR POLICY, INCLUDING COPY OF THE ORIGINAL APPLICATION AND ILLUSTRATION. THIS MATERIAL PROVIDED THE CLIENTS WITH TERM OF PAYMENTS, EXPENSES, FEES AND APPLICABLE SURRENDER CHARGE INFORMATION, WHICH WAS REVIEWED WITH THE CLIENTS.

Disclosure 4 of 4

Reporting Source: Firm

Employing firm when activities occurred which led to the complaint: NEW ENGLAND SECURITIES

Allegations: CLIENTS ARE ALLEGING THAT THE INSURANCE POLICIES SOLD TO THEM BY STEPHEN MATTOCKS WERE UNSUITABLE BASED ON THEIR RISK TOLERANCE. THEY ALLEGE THAT THEY WERE TOLD THAT THE INVESTMENTS WERE SAFE. THEY ARE REQUESTING THAT THEY BE PUT BACK IN THE SAME POSITION THEY WERE PRIOR TO PURCHASING THE POLICIES.

Product Type: Insurance

Alleged Damages: $95,338.38

Customer Complaint Information

Date Complaint Received: 06/06/2004

Complaint Pending? No

Status: Denied

Status Date: 06/29/2004

Settlement Amount:

Individual Contribution Amount:

Firm Statement A THOROUGH INVESTIGATION INTO THE CLIENTS' ALLEGATIONS WAS CONDUCTED, AND NO EVIDENCE THAT THE INSURANCE POLICIES WERE UNSUITABLE WAS FOUND. IT WAS DETERMNED THAT THE CLIENTS WERE GIVEN THE POLICIES' PROSPECTUSES AND ALL RELEVANT INFORMATION. THE COMPLAINT WAS DENIED.

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: NEW ENGLAND SECURITIES

Allegations: CLIENTS ARE ALLEGING THAT THE INSURANCE POLICIES SOLD TO THEM BY STEPHEN MATTOCKS WERE UNSUITABLE BASED ON THEIR RISK TOLERANCE. THEY ALLEGE THAT THEY WERE TOLD THE INVESTMENTS WERE SAFE. THEY ARE REQUESTING THAT THEY BE PUT BACK IN THE SAME POSITION THEY WERE PRIOR TO PURCHASING THE POLICIES

Product Type: Insurance

Other Product Type(s): VARIABLE LIFE

Alleged Damages: $95,338.38

Customer Complaint Information

Date Complaint Received: 06/06/2004

Complaint Pending? No

Status: Denied

Status Date: 06/29/2004

Settlement Amount:

Individual Contribution Amount:

Broker Statement A THROROUGH INVESTIGATION INTO THE CLIENTS' ALLEGATIONS WAS CONDUCTED, AND NO EVIDENCE THAT THE INSURANCE POLICIES WERE UNSUITABLE WAS FOUND. IT WAS DETERMINED THAT THE CLIENTS WERE GIVEN THE POLICIES' PROSPECTUSES AND ALL RELEVANT INFORMATION. THE COMPLAINT WAS DENIED.

End of Report

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