



IAPD Report

SAMUEL CABOT CLARK

CRD# 2205783

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

i 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

SAMUEL CABOT CLARK (CRD# 2205783)

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 **02/10/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	OSAIC WEALTH, INC.	CRD# 23131	03/06/2013
IA	OSAIC WEALTH, INC.	CRD# 23131	04/02/2013

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **21** 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	LINCOLN FINANCIAL ADVISORS CORPORATION	3978	SALT LAKE CITY, UT	08/29/1999 - 03/06/2013
B	LINCOLN FINANCIAL ADVISORS CORPORATION	3978	SALT LAKE CITY, UT	07/20/1999 - 03/06/2013
B	THE LINCOLN NATIONAL LIFE INSURANCE COMPANY	2580	SALT LAKE CITY, UT	07/20/1999 - 05/31/2006

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	2
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 **21** 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	03/06/2013
B	FINRA	Invest. Co and Variable Contracts	Approved	03/06/2013
B	Alabama	Agent	Approved	04/22/2025
B	Arizona	Agent	Approved	11/02/2018
B	California	Agent	Approved	04/24/2013
IA	California	Investment Adviser Representative	Approved	09/22/2014
B	Colorado	Agent	Approved	06/25/2014
IA	Colorado	Investment Adviser Representative	Approved	09/30/2014
B	Florida	Agent	Approved	08/08/2013
IA	Florida	Investment Adviser Representative	Approved	09/22/2014
B	Georgia	Agent	Approved	10/27/2021
B	Idaho	Agent	Approved	03/06/2013
IA	Idaho	Investment Adviser Representative	Approved	04/02/2013



Qualifications

	Regulator	Registration	Status	Date
B	Illinois	Agent	Approved	04/01/2026
B	Indiana	Agent	Approved	10/06/2025
B	Michigan	Agent	Approved	06/19/2013
IA	Michigan	Investment Adviser Representative	Approved	09/22/2014
B	Minnesota	Agent	Approved	08/12/2019
B	Montana	Agent	Approved	03/16/2023
B	New Mexico	Agent	Approved	03/26/2018
B	Oregon	Agent	Approved	08/01/2018
B	Pennsylvania	Agent	Approved	11/15/2024
B	Texas	Agent	Approved	05/16/2024
IA	Texas	Investment Adviser Representative	Restricted Approval	05/14/2024
B	Utah	Agent	Approved	04/01/2013
IA	Utah	Investment Adviser Representative	Approved	04/02/2013
B	Virginia	Agent	Approved	08/21/2021
B	Washington	Agent	Approved	03/06/2013
IA	Washington	Investment Adviser Representative	Approved	05/22/2013
B	Wisconsin	Agent	Approved	06/20/2016
IA	Wisconsin	Investment Adviser Representative	Approved	06/20/2016



Qualifications

Regulator	Registration	Status	Date
B Wyoming	Agent	Approved	03/06/2013

Branch Office Locations

OSAIC WEALTH, INC.
10610 SOUTH JORDAN GATEWAY
SUITE 210
SOUTH JORDAN, UT 84095



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
------	----------	------

Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
General Securities Representative Examination (S7)	Series 7	12/21/2003
Investment Company Products/Variable Contracts Representative Examination (S6)	Series 6	01/21/1992

State Securities Law Exams

Exam	Category	Date
------	----------	------

Uniform Investment Adviser Law Examination (S65)	Series 65	04/28/1999
Uniform Securities Agent State Law Examination (S63)	Series 63	04/15/1992

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
IA	08/29/1999 - 03/06/2013	LINCOLN FINANCIAL ADVISORS CORPORATION	CRD# 3978	SALT LAKE CITY, UT
B	07/20/1999 - 03/06/2013	LINCOLN FINANCIAL ADVISORS CORPORATION	CRD# 3978	SALT LAKE CITY, UT
B	07/20/1999 - 05/31/2006	THE LINCOLN NATIONAL LIFE INSURANCE COMPANY	CRD# 2580	SALT LAKE CITY, UT
B	04/06/1992 - 09/08/1999	SIGNATOR INVESTORS, INC.	CRD# 468	BOSTON, MA
B	04/06/1992 - 05/01/1997	JOHN HANCOCK MUTUAL LIFE INSURANCE COMPANY	CRD# 5181	BOSTON, MA
B	01/23/1992 - 02/12/1992	FIDELITY BROKERAGE SERVICES, INC.	CRD# 7784	SMITHFIELD, RI

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
02/2013 - Present	OSAIC WEALTH, INC.	REGISTERED REP	Y	SALT LAKE CITY, UT, 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) INTEGRATED FINANCIAL GROUP**
 POSITION: Partner - NATURE: Limited Liability Company - INVESTMENT RELATED: Yes NUMBER OF HOURS: 2 SECURITIES TRADING HOURS: 8 START DATE: 01/01/2008
 ADDRESS: 10610 South Jordan Gateway, Suite 210, South Jordan UT 84095, United States
 DESCRIPTION: the preparation, sale of annuities, life insurance, long term care, and disability insurance
- 2) MEGA HOLDINGS LLC**
 POSITION: MANAGER NATURE: OWNS RENTAL HOME INVESTMENT RELATED: NO NUMBER OF HOURS: 1 SECURITIES TRADING HOURS: 1 START DATE: 02/02/2015
 ADDRESS: 13511 FAIR HILL CT, DRAPER UT 84020
 DESCRIPTION: LOOK OVER MORTGAGE STATEMENTS
- 3) FULLARK LLC**
 POSITION: LIMITED PARTNER NATURE: INVESTMENT INVESTMENT RELATED: NO NUMBER OF HOURS: 1 SECURITIES TRADING HOURS: 1 START DATE: 01/01/2015



Registration & Employment History



OTHER BUSINESS ACTIVITIES

ADDRESS: 13511 FAIR HILL CT, DRAPER UT 84020
DESCRIPTION: NONE

4) INTEGRATED 106 LLC

POSITION: manager NATURE: An llc that we will eventually have our business building in and pay rent INVESTMENT RELATED: No
NUMBER OF HOURS: 1 SECURITIES TRADING HOURS: 1 START DATE: 10/27/2017
ADDRESS: 10610 South Jordan Gateway, Suite 210, South Jordan UT 84095, United States
DESCRIPTION: yearly tax return

5) S-CLARK CONSULTING

POSITION: President NATURE: S- Corporation INVESTMENT RELATED: No NUMBER OF HOURS: 40 SECURITIES TRADING HOURS: 40
START DATE: 04/01/2013
ADDRESS: 10610 South Jordan Gateway, Suite 210, South Jordan UT 84095, United States
DESCRIPTION: Oversee my personal financial planning and recieves my commissions

6) S&S INVESTMENTS LLC

POSITION: Owner - NATURE: LLC INVESTMENT RELATED: No NUMBER OF HOURS: 1 SECURITIES TRADING HOURS: 1
START DATE: 01/01/2000
ADDRESS: 13511 fair hill ct, Draper UT 84020, United States
DESCRIPTION: Estate planning LLC with Family
Hold some investments

7. KKCT HELENA, LLC

POSITION: Partner NATURE: To hold a minority interest in a Multifamily commercial real estate project in Helena MT
INVESTMENT RELATED: Yes NUMBER OF HOURS: 1 SECURITIES TRADING HOURS: 0 START DATE: 07/31/2025
ADDRESS: 968 W Chapel Ridge Drive, SUITE 210, South Jordan UT 84095-7839, United States
DESCRIPTION: No Formal Duties



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	2
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 2

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	ROYAL ALLIANCE ASSOCIATES, INC.
Allegations:	Claimant alleges the representative recommended an investment that was unsuitable.
Product Type:	Other: BDC
Alleged Damages:	\$1,000,000.00
Is this an oral complaint?	No
Is this a written complaint?	No
Is this an arbitration/CFTC reparation or civil litigation?	Yes
Arbitration/Reparation forum or court name and location:	FINRA ARBITRATION
Docket/Case #:	21-01482
Filing date of arbitration/CFTC reparation or civil litigation:	06/09/2021

Customer Complaint Information

Date Complaint Received:	06/10/2021
Complaint Pending?	No



Status: Settled
Status Date: 09/20/2022
Settlement Amount: \$150,000.00
Individual Contribution Amount: \$0.00
Broker Statement The client invested in an approved program, and the program was consistent with Claimant's risk tolerance and investment objectives. This matter was settled by the broker dealer without my involvement solely to avoid the needless expense and inconvenience of arbitration. The investment was suitable and performed well despite current market conditions.

Disclosure 2 of 2

Reporting Source: Individual
Employing firm when activities occurred which led to the complaint: LINCOLN FINANCIAL ADVISORS
Allegations: CLAIMANTS ALLEGE THE REPRESENTATIVE IN EARLY 2007 SOLICITED AND RECOMMENDED THE PURCHASE OF A LIFE INSURANCE POLICY AS AN INVESTMENT WITH THE INTENT TO LATER SELL THE POLICY TO INVESTORS IN A SECONDARY MARKET FOR SUBSTANTIAL RETURNS. CLAIMANTS FURTHER ALLEGE THEY WERE NOT TOLD OF THE RISKS ASSOCIATED WITH THIS TYPE OF INVESTMENT.
Product Type: Insurance
Alleged Damages: \$0.00
Alleged Damages Amount Explanation (if amount not exact): DAMAGES ARE BELIEVED TO BE GREATER THAN \$5000.00 AND WILL BE DETERMINED AT THE HEARING.
Is this an oral complaint? No
Is this a written complaint? Yes
Is this an arbitration/CFTC reparation or civil litigation? Yes
Arbitration/Reparation forum or court name and location: FINRA
Docket/Case #: 11-00565
Filing date of arbitration/CFTC reparation or civil litigation: 02/09/2011

Customer Complaint Information

Date Complaint Received: 03/07/2011
Complaint Pending? No
Status: Settled
Status Date: 07/10/2012
Settlement Amount: \$1,300,000.00



Individual Contribution Amount: \$0.00

Broker Statement

THE LINCOLN REPRESENTATIVES REFERRED THE INSURANCE TO THIRD PARTY CONSULTANTS TO EVALUATE AND DETERMINE THE NEED, OPTIONS, AND RISKS OF THE ACQUIRING LIFE INSURANCE AND ITS EVENTUAL DISPOSITION. IT WAS NOT DETERMINED THAT THE LIFE INSURANCE WOULD EVENTUALLY BE SOLD FOR INVESTMENT OR THAT IT WOULD BE USED FOR ESTATE LIQUIDITY AT THE INSURED'S DEATH WHEN THE INSURANCE WAS ACQUIRED. EITHER OPTION WAS A LEGITIMATE OPTION OF THE INSURANCE CONTRACT. THE LINCOLN REPRESENTATIVES WERE NOT INVOLVED IN THE INSURANCE COMPANY SELECTION; THEY WERE NOT LISTED ON THE APPLICATION AS SOLICITORS OR INVOLVED IN THE PROCESSING AND PLACEMENT OF THE INSURANCE CONTRACTS.

THE LINCOLN REPRESENTATIVES WERE NOT RESPONDENTS TO THE ARBITRATION AND DID NOT CONTRIBUTE IN ANY WAY TO THIS SETTLEMENT EITHER PERSONALLY OR THROUGH THEIR E&O COVERAGE.



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: LINCOLN FINANCIAL ADVISORS CORPORATION
Termination Type: Discharged
Termination Date: 02/21/2013
Allegations: REGISTERED REPRESENTATIVE WAS TERMINATED FOR VIOLATIONS OF FIRM POLICY REGARDING COMMUNICATIONS WITH THE PUBLIC INCLUDING A VIOLATION OF FIRM POLICY RELATED TO CLIENT COMMUNICATIONS INVOLVING THE SOLICITATION OF PRIVATE PLACEMENTS.
Product Type: Other: PRIVATE PLACEMENT

.....

Reporting Source: Individual
Firm Name: LINCOLN FINANCIAL
Termination Type: Discharged
Termination Date: 02/21/2013
Allegations: REGISTERED REPRESENTATIVE WAS TERMINATED FOR VIOLATIONS OF FIRM POLICY REGARDING COMMUNICATIONS WITH THE PUBLIC INCLUDING A VIOLATION OF FIRM POLICY RELATED TO CLIENT COMMUNICATIONS INVOLVING THE SOLICITATION OF PRIVATE PLACEMENTS.
Product Type: Other: PRIVATE PLACEMENT
Broker Statement WE ARE WAITING FOR U5 LANGUAGE TO COME OUT. I GAVE MY RESINATION ON 02/14/2013. I WAS GIVING THE RIGHT TO APPEAL ON 02/11/2013, AND I CHOOSE NOT TO DO SO.



End of Report

This page is intentionally left blank.