



IAPD Report

David Paul Wilson Jr.

CRD# 2298962

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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

David Paul Wilson Jr. (CRD# 2298962)

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 **03/13/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
IA	OSAIC INSTITUTIONS, INC.	CRD# 35371	12/13/2024
B	OSAIC INSTITUTIONS, INC.	CRD# 35371	12/16/2024

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **28** 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	J.P. MORGAN SECURITIES LLC	79	PHILADELPHIA, PA	03/13/2015 - 12/02/2024
IA	J.P. MORGAN SECURITIES LLC	79	PHILADELPHIA, PA	03/13/2015 - 12/02/2024
B	MORGAN STANLEY	149777	BRYN MAWR, PA	06/01/2009 - 03/23/2015

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
Customer Dispute	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 **28** jurisdiction(s) and 1 SRO(s) through his or her employer(s).

Employment 1 of 1

Firm Name: **OSAIC INSTITUTIONS, INC.**
Main Address: 538 PRESTON AVENUE
MERIDEN, CT 06450-4858
Firm ID#: 35371

	Regulator	Registration	Status	Date
B	FINRA	General Securities Representative	Approved	12/16/2024
B	Alabama	Agent	Approved	09/10/2025
B	Arizona	Agent	Approved	10/01/2025
B	California	Agent	Approved	12/17/2024
B	Colorado	Agent	Approved	08/14/2025
B	Connecticut	Agent	Approved	09/11/2025
B	Delaware	Agent	Approved	09/11/2025
B	District of Columbia	Agent	Approved	09/11/2025
B	Florida	Agent	Approved	09/24/2025
B	Georgia	Agent	Approved	09/11/2025
B	Hawaii	Agent	Approved	01/26/2026
B	Idaho	Agent	Approved	09/11/2025
B	Illinois	Agent	Approved	10/16/2025



Qualifications

Regulator	Registration	Status	Date
B Indiana	Agent	Approved	09/24/2025
B Kentucky	Agent	Approved	09/15/2025
B Massachusetts	Agent	Approved	09/12/2025
B Michigan	Agent	Approved	10/07/2025
B Minnesota	Agent	Approved	09/10/2025
B Nebraska	Agent	Approved	01/31/2025
B Nevada	Agent	Approved	03/18/2025
B New Jersey	Agent	Approved	02/18/2025
B New York	Agent	Approved	12/17/2024
B North Carolina	Agent	Approved	09/11/2025
B Ohio	Agent	Approved	09/11/2025
IA Pennsylvania	Investment Adviser Representative	Approved	12/13/2024
B Pennsylvania	Agent	Approved	12/16/2024
B South Carolina	Agent	Approved	09/18/2025
B Virgin Islands	Agent	Approved	09/11/2025
B Virginia	Agent	Approved	09/11/2025
B Wyoming	Agent	Approved	09/11/2025

Branch Office Locations

OSAIC INSTITUTIONS, INC.
354 W. Lancaster Ave. Unit 212



Qualifications

Haverford, PA 19041



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
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No information reported.



General Industry/Product Exams

Exam	Category	Date
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 Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
 National Commodity Futures Examination (S3)	Series 3	04/05/2018
 General Securities Representative Examination (S7)	Series 7	12/02/1992

State Securities Law Exams

Exam	Category	Date
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 Uniform Investment Adviser Law Examination (S65)	Series 65	05/27/2004
 Uniform Securities Agent State Law Examination (S63)	Series 63	12/10/1992

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
B	03/13/2015 - 12/02/2024	J.P. MORGAN SECURITIES LLC	CRD# 79	PHILADELPHIA, PA
IA	03/13/2015 - 12/02/2024	J.P. MORGAN SECURITIES LLC	CRD# 79	PHILADELPHIA, PA
B	06/01/2009 - 03/23/2015	MORGAN STANLEY	CRD# 149777	BRYN MAWR, PA
IA	06/01/2009 - 03/23/2015	MORGAN STANLEY	CRD# 149777	BRYN MAWR, PA
B	04/02/2007 - 06/01/2009	MORGAN STANLEY & CO. INCORPORATED	CRD# 8209	WAYNE, PA
IA	04/02/2007 - 06/01/2009	MORGAN STANLEY & CO. INCORPORATED	CRD# 8209	WAYNE, PA
IA	05/26/2006 - 04/02/2007	MORGAN STANLEY	CRD# 7556	WAYNE, PA
B	05/26/2006 - 04/02/2007	MORGAN STANLEY DW INC.	CRD# 7556	WAYNE, PA
IA	05/28/2004 - 06/08/2006	LEHMAN BROTHERS INC.	CRD# 7506	PHILADELPHIA, PA
B	07/14/2000 - 06/08/2006	LEHMAN BROTHERS INC.	CRD# 7506	PHILADELPHIA, PA
B	12/07/1992 - 07/20/2000	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	CRD# 7691	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
12/2024 - Present	Osaic Institutions, Inc.	Investment Executive	Y	Meriden, CT, United States
03/2015 - 11/2024	J.P. MORGAN SECURITIES LLC	FINANCIAL ADVISOR	Y	PHILADELPHIA,, PA, United States
03/2015 - 11/2024	JPMORGAN CHASE BANK, NA	FINANCIAL ADVISOR	Y	PHILADELPHIA,, PA, 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.

Entity Name: Feige Associates Inc

Investment related: Yes

Address: Bryn Mawr, PA

Nature of the other business: Acquisition, development, management of residential/commercial real estate

Position/Title/Relationship: Officer

Start Date: 07-Jun-2001

Approximate # of hours a month: 3-4

Approximate # of hours during securities trading hours: 0

Briefly describe your duties: Management of properties

Entity Name: Proudfoot Capital Advisors Inc.

Investment related: Yes

Address: 2429 Philadelphia, PA

Nature of the other business: Proudfoot Capital Advisors is a S corp that holds and manages the LP/GP interest in various real estate investments.

Position/Title/Relationship: Officer

Start Date: 04-Feb-2004

Approximate # of hours a month: 3-4

Approximate # of hours during securities trading hours: 0

Briefly describe your duties: Management



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
Customer Dispute	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

Reporting Source:	Individual
Regulatory Action Initiated By:	State of Wisconsin Office of the Commissioner of Insurance
Sanction(s) Sought:	Denial
Date Initiated:	10/03/2011
Docket/Case Number:	11-C34169
Employing firm when activity occurred which led to the regulatory action:	MORGAN STANLEY SMITH BARNEY
Product Type:	Insurance
Allegations:	Failure to responded promptly to previous written requests for information from the Commissioner of Insurance regarding your application.
Current Status:	Final
Resolution:	Decision to Deny
Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct?	No
Resolution Date:	10/03/2011



Sanctions Ordered:

Denial

Broker Statement

In 2012, my variable life and variable annuity licenses were approved by the state of Wisconsin. At that time Morgan Stanley also inadvertently requested a "supply line" insurance license with the state, which I neither requested, am licensed to sell, nor was I permitted to sell at Morgan Stanley. I do not recall ever receiving notification from the state of Wisconsin or Morgan Stanley requesting additional information regarding the license request or its subsequent denial. I was advised in May 2017 of Morgan Stanley's inadvertent request and the denial of the "supply line" license by the state of Wisconsin.



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:	J.P. MORGAN SECURITIES LLC
Allegations:	Customer alleges registered representative followed trade instructions by an unauthorized party. Activity dates January 2021- March 31, 2021.
Product Type:	Equity Listed (Common & Preferred Stock)
Alleged Damages:	\$700,000.00
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 #:	23-03568
Filing date of arbitration/CFTC reparation or civil litigation:	12/18/2023

Customer Complaint Information

Date Complaint Received:	12/18/2023
Complaint Pending?	No
Status:	Settled
Status Date:	07/23/2024
Settlement Amount:	\$300,000.00
Individual Contribution Amount:	\$0.00



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: JPMorgan Chase Bank, N.A.

Termination Type: Discharged

Termination Date: 11/06/2024

Allegations: Registered representative was terminated for using an unapproved communication channel for business purposes, including instances after he affirmed with the firm he was only using approved communication channels. Registered representative indicated he stopped using an unapproved communication channel after he was notified that his conduct was under internal review in April 2024. Not related to any known customer complaints.

Product Type: No Product

Reporting Source: Individual

Firm Name: JPMorgan Chase Bank, N.A.

Termination Type: Discharged

Termination Date: 11/06/2024

Allegations: Registered representative was terminated for using an unapproved communication channel for business purposes, including instances after he affirmed with the firm he was only using approved communication channels. Registered representative indicated he stopped using an unapproved communication channel after he was notified that his conduct was under internal review in April 2024. Not related to any known customer complaints.

Product Type: No Product



End of Report

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