



IAPD Report

GREGORY SCOTT AYNESWORTH

CRD# 2317755

<u>Section Title</u>	<u>Page(s)</u>
Report Summary	1
Qualifications	2 - 4
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

GREGORY SCOTT AYNESWORTH (CRD# 2317755)

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 **12/18/2025**.

CURRENT EMPLOYERS

Firm	CRD#	Registered Since
B OSAIC WEALTH, INC.	CRD# 23131	06/14/2024
IA OSAIC ADVISORY SERVICES, LLC	CRD# 171070	11/08/2024

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **16** 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 ARBOR POINT ADVISORS	165127	LAVISTA, NE	12/08/2016 - 11/08/2024
B SECURITIES AMERICA, INC.	10205	SAN RAMON, CA	12/08/2016 - 06/14/2024
IA FOOTHILL SECURITIES, INC.	1027	San Ramon, CA	12/09/2016 - 12/31/2016

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

Employment 1 of 2

Firm Name: **OSAIC ADVISORY SERVICES, LLC**
Main Address: 2300 WINDY RIDGE PARKWAY
SUITE 750
ATLANTA, GA 30339
Firm ID#: 171070

Regulator	Registration	Status	Date
IA California	Investment Adviser Representative	Approved	11/08/2024
IA Texas	Investment Adviser Representative	Approved	02/19/2025

Branch Office Locations

OSAIC ADVISORY SERVICES, LLC
3170 Crow Canyon Place
Suite 105
San Ramon, CA 94583

Employment 2 of 2

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 Principal	Approved	06/14/2024
B FINRA	General Securities Representative	Approved	06/14/2024
B FINRA	Invest. Co and Variable Contracts	Approved	06/14/2024
B FINRA	Operations Professional	Approved	06/14/2024



Qualifications

Regulator	Registration	Status	Date
B Alaska	Agent	Approved	06/14/2024
B Arizona	Agent	Approved	06/14/2024
B California	Agent	Approved	06/14/2024
B Colorado	Agent	Approved	08/07/2024
B Florida	Agent	Approved	06/14/2024
B Hawaii	Agent	Approved	06/14/2024
B Idaho	Agent	Approved	06/14/2024
B Minnesota	Agent	Approved	06/14/2024
B Nevada	Agent	Approved	06/14/2024
B New Mexico	Agent	Approved	06/14/2024
B Ohio	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 Washington	Agent	Approved	06/14/2024

Branch Office Locations

OSAIC WEALTH, INC.
3170 Crow Canyon Pl
Suite 105
SAN RAMON, CA 94583



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

Principal/Supervisory Exams

Exam	Category	Date
General Securities Principal Examination (S24)	Series 24	04/20/1998

General Industry/Product Exams

Exam	Category	Date
Operations Professional Examination (S99TO)	Series 99TO	01/02/2023
Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
General Securities Representative Examination (S7)	Series 7	03/31/1995
Investment Company Products/Variable Contracts Representative Examination (S6)	Series 6	02/25/1993

State Securities Law Exams

Exam	Category	Date
Uniform Investment Adviser Law Examination (S65)	Series 65	10/05/1998
Uniform Securities Agent State Law Examination (S63)	Series 63	02/25/1993

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
IA	12/08/2016 - 11/08/2024	ARBOR POINT ADVISORS	CRD# 165127	LAVISTA, NE
B	12/08/2016 - 06/14/2024	SECURITIES AMERICA, INC.	CRD# 10205	SAN RAMON, CA
IA	12/09/2016 - 12/31/2016	FOOTHILL SECURITIES, INC.	CRD# 1027	San Ramon, CA
B	01/02/2004 - 12/08/2016	FOOTHILL SECURITIES, INC.	CRD# 1027	SAN RAMON, CA
IA	01/02/2004 - 12/08/2016	FOOTHILL SECURITIES, INC.	CRD# 1027	SAN RAMON, CA
B	11/03/1998 - 01/23/2004	RICHARD A. SASO & ASSOCIATES-INVESTMENT SECURITIES	CRD# 21242	SAN RAMON, CA
B	10/07/1997 - 10/07/1998	ROUND HILL SECURITIES, INC.	CRD# 35223	ALAMO, CA
B	06/28/1995 - 09/26/1997	ROYAL ALLIANCE ASSOCIATES, INC.	CRD# 23131	SCOTTSDALE, AZ
B	06/24/1994 - 06/28/1995	HARTFORD EQUITY SALES COMPANY INC.	CRD# 6604	HARTFORD, CT
B	03/02/1993 - 05/24/1994	METLIFE SECURITIES INC.	CRD# 14251	SPRINGFIELD, MA
B	03/02/1993 - 05/24/1994	METROPOLITAN LIFE INSURANCE COMPANY	CRD# 4095	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
11/2024 - Present	OSAIC ADVISORY SERVICES, LLC	IAR	Y	ATLANTA, GA, United States
06/2024 - Present	OSAIC WEALTH, INC.	REGISTERED REPRESENTATIVE	Y	SAN RAMON, CA, United States
05/1997 - Present	OMNI-PRESTIGE INSURANCE SERVICES INC	OWNER, OFFICER / DIRECTOR	N	SAN RAMON, CA, United States
12/2016 - 11/2024	ARBOR POINT ADVISORS	IAR	Y	SAN RAMON, CA, United States



Registration & Employment History

EMPLOYMENT HISTORY

Employment Dates	Employer Name	Position	Investment Related	Employer Location
12/2016 - 06/2024	SECURITIES AMERICA, INC.	REGISTERED REPRESENTATIVE	Y	SAN RAMON, CA, United States
12/2016 - 12/2016	Foothill Securities, Inc.	Investment Advisory Representative	Y	Santa Clara, CA, United States
01/2004 - 12/2016	FOOTHILL SECURITIES, INC.	REGISTERED REPRESENTATIVE	Y	SAN RAMON, CA, 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.

OMNI-PRESTIGE INSURANCE SERVICES, INC.

POSITION: President NATURE: Insurance services INVESTMENT RELATED: Yes NUMBER OF HOURS: 30 SECURITIES TRADING HOURS: 10 START DATE: 05/01/1997

ADDRESS: 3170 Crow Canyon Place, Ste. 105, San Ramon CA 94583, United States

DESCRIPTION: Sales of life insurance and employee benefits (medical, dental, vision, life and disability insurance), and long-term care.



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:	FOOTHILL SECURITIES, INC.
Allegations:	CLIENTS HAVE MOVED THEIR ACCOUNT FROM ADVISOR BECAUSE OF ANTICIPATED LOSSES OF \$959,764.00 THAT HAD BEEN INVESTED IN RE LOANS. CLIENTS WANT TO MANAGE THEIR ACCOUNTS DIRECTLY AND HAVE LOST CONFIDENCE IN THE INVESTMENT.
Product Type:	Other: PRIVATE PLACEMENT
Alleged Damages:	\$959,764.00
Alleged Damages Amount Explanation (if amount not exact):	CLIENTS ARE ANTICIPATING A LOSS OF \$959,764.00 IN THEIR INVESTMENT IN RE LOANS. THEY HAVE FILED A COMPLAINT BUT HAVE NOT MADE A CLAIM AGAIN THE ADVISOR.
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:	09/01/2011
Complaint Pending?	No
Status:	Closed/No Action
Status Date:	07/01/2013



Settlement Amount:

**Individual Contribution
Amount:**



End of Report

This page is intentionally left blank.