IAPD Report

JOSEPH PAUL BOCKLET

CRD# 2353646

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

JOSEPH PAUL BOCKLET (CRD# 2353646)

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 **11/11/2025**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	OSAIC WEALTH, INC.	CRD# 23131	10/11/2024
IA	OSAIC WEALTH, INC.	CRD# 23131	10/11/2024

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **8** 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	AMERICAN PORTFOLIOS ADVISORS, INC	112697	HOLBROOK, NY	04/07/2017 - 10/11/2024
B	AMERICAN PORTFOLIOS FINANCIAL SERVICES, INC.	18487	Cross River, NY	04/07/2017 - 10/11/2024
IA	MORGAN STANLEY	149777	NEW YORK, NY	02/17/2017 - 04/10/2017

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

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 **8** 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	10/11/2024
B	Colorado	Agent	Approved	10/11/2024
B	Connecticut	Agent	Approved	10/11/2024
IA	Connecticut	Investment Adviser Representative	Approved	10/11/2024
B	Florida	Agent	Approved	10/11/2024
B	Maryland	Agent	Approved	10/11/2024
B	New Jersey	Agent	Approved	10/11/2024
B	New York	Agent	Approved	10/11/2024
IA	New York	Investment Adviser Representative	Approved	10/11/2024
B	Ohio	Agent	Approved	10/11/2024
B	Pennsylvania	Agent	Approved	10/11/2024
IA	Pennsylvania	Investment Adviser Representative	Approved	10/11/2024

Branch Office Locations

Qualifications

OSAIC WEALTH, INC.
Cross River, NY

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	Futures Managed Funds Examination (S31)	Series 31	09/29/2011
B	General Securities Representative Examination (S7)	Series 7	07/08/2008

State Securities Law Exams

	Exam	Category	Date
IA B	Uniform Combined State Law Examination (S66)	Series 66	08/10/2011
B	Uniform Securities Agent State Law Examination (S63)	Series 63	02/20/2009

PROFESSIONAL DESIGNATIONS

This section details that the representative has reported **0** professional designation(s).

No information reported.

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	04/07/2017 - 10/11/2024	AMERICAN PORTFOLIOS ADVISORS, INC	CRD# 112697	HOLBROOK, NY
B	04/07/2017 - 10/11/2024	AMERICAN PORTFOLIOS FINANCIAL SERVICES, INC.	CRD# 18487	Cross River, NY
IA	02/17/2017 - 04/10/2017	MORGAN STANLEY	CRD# 149777	NEW YORK, NY
B	06/16/2011 - 04/10/2017	MORGAN STANLEY	CRD# 149777	NEW YORK, NY
IA	08/17/2011 - 12/31/2014	MORGAN STANLEY	CRD# 149777	NEW YORK, NY
B	07/09/2008 - 06/29/2009	GREEN MOUNTAIN TRADING, LLC	CRD# 142825	NEW YORK, NY
B	10/19/2001 - 10/05/2006	LABRANCHE & CO. LLC	CRD# 32661	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
10/2024 - Present	OSAIC WEALTH, INC.	Mass Transfer	Y	SCOTTSDALE, AZ, United States
04/2017 - 10/2024	AMERICAN PORTFOLIOS FINANCIAL SERVICES, INC.	REGISTERED REPRESENTATIVE	Y	HOLBROOK, NY, United States
01/2015 - 04/2017	MORGAN STANLEY PRIVATE BANK, NATIONAL ASSOCIATION	FINANCIAL ADVISOR	Y	NEW YORK, NY, United States
05/2011 - 04/2017	MORGAN STANLEY	FINANCIAL ADVISOR	Y	NEW YORK, NY, 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. BOCKLET WEALTH MANAGEMENT. INSURANCE SALES. PRESIDENT.

2. AMERICAN PORTFOLIOS ADVISORS, INC. RIA. FEE BASED ADVISORY BUSINESS.

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

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:	Regulator
Regulatory Action Initiated By:	NYSE DIVISION OF ENFORCEMENT
Sanction(s) Sought:	
Other Sanction(s) Sought:	
Date Initiated:	01/19/1999
Docket/Case Number:	HPD#99-115
Employing firm when activity occurred which led to the regulatory action:	
Product Type:	Other
Other Product Type(s):	
Allegations:	**01/19/1999** CHARGES ISSUED BY NYSE DIVISION OF ENFORCEMENT AND PENDING. CHARGE: JOSEPH PAUL BOCKLET, BY REASON OF THE FACTS SET FORTH IN THE STATEMENT OF FACTS AND EXPLANATION, VIOLATED EXCHANGE RULE 104.10 IN THAT ON OCTOBER 27, 1997 HE FAILED TO MAINTAIN A FAIR AND ORDERLY MARKET IN THAT CLASS B COMMON STOCK OF NIKE, INC., AN EXCHANGE LISTED SECURITY, BY HAVING FAILED TO PARTICIPATE ADEQUATELY AS A DEALER AGAINST THE MARKET TREND DURING A PERIOD OF SIGNIFICANT MARKET DECLINE, AND HE IS, THEREFORE, SUBJECT TO DISCIPLINE PURSUANT TO EXCHANGE RULE 476(A). **07/29/1999** STIPULATION AND CONSENT TO PENALTY FILED NY NYSE DIVISION OF ENFORCEMENT AND PENDING. CONSENTED TO FINDINGS THAT HE: VIOLATED EXCHANGE RULE 104.10 IN THAT ON OCTOBER 27, 1997 HE FAILED TO MAINTAIN A FAIR AND ORDERLY MARKET IN THE CLASS B COMMON STOCK OF NIKE, INC., AN EXCHANGE

	LISTED SECURITY, BY HAVING FAILED TO PARTICIPATE ADEQUATELY AS A DEALER AGAINST THE MARKET TREND DURING A PERIOD OF SIGNIFICANT MARKET DECLINE. CONSENTED TO THE IMPOSITION BY THE EXCHANGE OF THE PENALTY OF A CENSURE AND A $30,000 FINE.
Current Status:	Final
Resolution:	Decision
Resolution Date:	10/14/1999
Sanctions Ordered:	Censure Monetary/Fine $20,000.00
Other Sanctions Ordered:	
Sanction Details:	**09/13/1999** DECISION 99-115 ISSUED BY NYSE HEARING PANEL VIOLATED EXCHANGE RULE 104.10 BY FAILING TO MAINTAIN A FAIR AND ORDERLY MARKET BY HAVING FAILED TO PARTICIPATE ADEQUATELY AS A DEALER AGAINST THE MARKET TREND - CONSENT TO CENSURE AND $30,000 FINE REDUCED TO CENSURE AND $20,000 FINE.
Regulator Statement	**09/13/1999** THE DECISION IS NOW FINAL AND IS EFFECTIVE IMMEDIATELY. CONTACT PEGGY GERMINO (212) 656-8450

Reporting Source:	Individual
Regulatory Action Initiated By:	NEW YORK STOCK EXCHANGE
Sanction(s) Sought:	Other
Other Sanction(s) Sought:	MONETARY FINE
Date Initiated:	01/19/1999
Docket/Case Number:	EXCHANGE HEARING PANEL DECISION 99-115
Employing firm when activity occurred which led to the regulatory action:	BOCKLET & COMPANY
Product Type:	Equity Listed (Common & Preferred Stock)
Other Product Type(s):	
Allegations:	VIOLATED RULE 104.10, BY FAILING TO MAINTAIN A FAIR AND ORDERLY MARKET, AND FAILING TO PARTICIPATE ADEQUITELY AS A DEALER AGAINST THE MARKET TREND.
Current Status:	Final
Resolution:	Stipulation and Consent
Resolution Date:	09/07/1999
Sanctions Ordered:	Censure Monetary/Fine $20,000.00
Other Sanctions Ordered:	
Sanction Details:	CENSURE AND MONETARY FINE OF $20,000.00 09/07/1999

End of Report

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