



IAPD Report

SEAN TIMOTHY MANNELLO

CRD# 2362416

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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

SEAN TIMOTHY MANNELLO (CRD# 2362416)

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 **10/16/2025**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	OSAIC WEALTH, INC.	CRD# 23131	04/29/2014
B	OSAIC INSTITUTIONS, INC.	CRD# 35371	04/17/2023
B	LADENBURG THALMANN & CO. INC.	CRD# 505	05/31/2023
IA	OSAIC WEALTH, INC.	CRD# 23131	08/02/2023

QUALIFICATIONS

This representative is currently registered in **6** SRO(s) and **2** 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	AMERICAN PORTFOLIOS FINANCIAL SERVICES, INC.	18487	HOLBROOK, NY	04/17/2023 - 10/11/2024
B	TRIAD ADVISORS LLC	25803	ATLANTA, GA	06/17/2020 - 08/23/2024
B	SECURITIES AMERICA, INC.	10205	LAVISTA, NE	06/17/2020 - 06/14/2024

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
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Report Summary

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 2 jurisdiction(s) and 6 SRO(s) through his or her employer(s).

Employment 1 of 3

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	04/29/2014
B FINRA	General Securities Sales Supervisor	Approved	04/29/2014
B Arizona	Agent	Approved	10/18/2023
IA California	Investment Adviser Representative	Approved	08/02/2023
B California	Agent	Approved	11/02/2023

Branch Office Locations

OSAIC WEALTH, INC.
18700 N. HAYDEN ROAD
SUITE 255
SCOTTSDALE, AZ 85255

Employment 2 of 3

Firm Name: **LADENBURG THALMANN & CO. INC.**
Main Address: 640 5TH AVENUE
4TH FLOOR
NEW YORK, NY 10019
Firm ID#: 505

Regulator	Registration	Status	Date
B FINRA	General Securities Representative	Approved	05/31/2023



Qualifications

Regulator	Registration	Status	Date
B FINRA	General Securities Sales Supervisor	Approved	05/31/2023
B NYSE American LLC	General Securities Representative	Approved	06/01/2023
B NYSE American LLC	General Securities Sales Supervisor	Approved	06/01/2023
B NYSE Arca, Inc.	General Securities Representative	Approved	06/01/2023
B NYSE Arca, Inc.	General Securities Sales Supervisor	Approved	06/01/2023
B NYSE Texas, Inc.	General Securities Representative	Approved	06/01/2023
B NYSE Texas, Inc.	General Securities Sales Supervisor	Approved	06/01/2023
B Nasdaq Stock Market	General Securities Representative	Approved	06/01/2023
B Nasdaq Stock Market	General Securities Sales Supervisor	Approved	06/01/2023
B New York Stock Exchange	General Securities Representative	Approved	06/01/2023
B New York Stock Exchange	General Securities Sales Supervisor	Approved	06/01/2023
B Arizona	Agent	Approved	06/01/2023

Branch Office Locations

LADENBURG THALMANN & CO. INC.

640 5TH AVENUE
4TH FLOOR
NEW YORK, NY 10019

Employment 3 of 3

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



Qualifications

Regulator	Registration	Status	Date
B FINRA	General Securities Representative	Approved	04/17/2023
B FINRA	General Securities Sales Supervisor	Approved	04/17/2023

Branch Office Locations

OSAIC INSTITUTIONS, INC.
538 PRESTON AVENUE
MERIDEN, CT 06450-4858






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




Principal/Supervisory Exams

Exam	Category	Date
 General Securities Sales Supervisor - General Module Examination (S10)	Series 10	01/02/2023
 General Securities Sales Supervisor - Options Module Examination (S9)	Series 9	01/02/2023
 General Securities Sales Supervisor Examination (Options Module & General Module) (S8)	Series 8	03/06/1998

General Industry/Product Exams

Exam	Category	Date
 Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
 General Securities Representative Examination (S7)	Series 7	06/21/1993

State Securities Law Exams

Exam	Category	Date
  Uniform Combined State Law Examination (S66)	Series 66	04/27/2006
 Uniform Securities Agent State Law Examination (S63)	Series 63	06/26/1993

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	04/17/2023 - 10/11/2024	AMERICAN PORTFOLIOS FINANCIAL SERVICES, INC.	CRD# 18487	HOLBROOK, NY
B	06/17/2020 - 08/23/2024	TRIAD ADVISORS LLC	CRD# 25803	ATLANTA, GA
B	06/17/2020 - 06/14/2024	SECURITIES AMERICA, INC.	CRD# 10205	LAVISTA, NE
B	04/29/2014 - 01/19/2024	WOODBURY FINANCIAL SERVICES, INC.	CRD# 421	OAKDALE, MN
B	04/29/2014 - 11/03/2023	FSC SECURITIES CORPORATION	CRD# 7461	ATLANTA, GA
IA	05/05/2014 - 09/01/2023	SAGEPOINT FINANCIAL, INC.	CRD# 133763	PHOENIX, AZ
B	04/29/2014 - 09/01/2023	SAGEPOINT FINANCIAL, INC.	CRD# 133763	SCOTTSDALE, AZ
IA	06/02/2023 - 06/05/2023	LADENBURG THALMANN ASSET MANAGEMENT INC	CRD# 108604	NEW YORK, NY
IA	01/03/2012 - 10/01/2012	SCHWAB PRIVATE CLIENT INVESTMENT ADVISORY, INC.	CRD# 159035	PHOENIX, AZ
B	05/12/2005 - 09/28/2012	CHARLES SCHWAB & CO., INC.	CRD# 5393	PHOENIX, AZ
IA	05/01/2006 - 12/31/2011	CHARLES SCHWAB & CO., INC.	CRD# 5393	PHOENIX, AZ
IA	02/26/2003 - 07/15/2004	CHARLES SCHWAB & CO., INC.	CRD# 5393	ORLANDO, FL
B	01/23/1997 - 07/15/2004	CHARLES SCHWAB & CO., INC.	CRD# 5393	WESTLAKE, TX
B	05/16/1996 - 01/09/1997	KEYSTONE BROKERAGE, INC.	CRD# 17445	WILLIAMSPORT, PA
B	11/23/1994 - 04/19/1996	LAUGHLIN GROUP ADVISORS, INC.	CRD# 18272	LINCOLN, NE
B	06/22/1993 - 10/27/1994	L.C. WEGARD & CO., INC.	CRD# 3722	NEW YORK, NY



Registration & Employment History

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
05/2023 - Present	LADENBURG THALMANN & CO	HMOFFICE - Senior Advertising Principal Corporate Marketing	Y	NEW YORK, NY, United States
04/2023 - Present	AMERICAN PORTFOLIOS FINANCIAL SERVICES	HMOFFICE - Senior Advertising Principal Corporate Marketing	Y	HOLBROOK, NY, United States
04/2023 - Present	INFINEX INVESTMENTS	HMOFFICE - Senior Advertising Principal Corporate Marketing	Y	MERIDEN, CT, United States
06/2020 - Present	SECURITIES AMERICA	HMOFFICE - Senior Advertising Principal Corporate Marketing	Y	LAVISTA, NE, United States
06/2020 - Present	TRIAD ADVISORS	HMOFFICE - Senior Advertising Principal Corporate Marketing	Y	NORCROSS, GA, United States
04/2014 - Present	FSC SECURITIES CORP	HMOFFICE - Senior Advertising Principal Corporate Marketing	Y	ATLANTA, GA, United States
04/2014 - Present	OSAIC WEALTH	HMOFFICE - Senior Advertising Principal Corporate Marketing	Y	JERSEY CITY, NJ, United States
04/2014 - Present	WOODBURY FINANCIAL SERVICES	HMOFFICE - Senior Advertising Principal Corporate Marketing	Y	OAKDALE, MN, United States
04/2014 - 09/2023	SAGEPOINT FINANCIAL	HOME OFFICE	Y	PHOENIX, AZ, 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.

No information reported.



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:	Regulator
Employing firm when activities occurred which led to the complaint:	L.C. WEGARD & CO., INC.
Allegations:	MISREPRESENTATION; ACCOUNT RELATED - FAILURE TO SUPERVISE; SUITABILITY; OMISSION OF FACTS
Product Type:	
Alleged Damages:	\$41,695.00
Arbitration Information	
Arbitration/Reparation Claim filed with and Docket/Case No.:	UNKNOWN - CASE #95-05074
Date Notice/Process Served:	10/31/1995
Arbitration Pending?	No
Disposition:	Settled
Disposition Date:	12/01/1995
Disposition Detail:	CASE CLOSED,SETTLED/OTHER Not Provided

Reporting Source: Firm



Employing firm when activities occurred which led to the complaint: L.C. WEGARD & CO., INC.

Allegations: CLAIMANT ALLEGES MISREPRESENTATION, HIGH PRESSURE SALES TACTICS AND FALSE AND MISLEADING STATEMENTS RESULTING IN DAMAGES OF \$10,416.

Product Type:

Alleged Damages: \$41,695.00

Customer Complaint Information

Date Complaint Received:

Complaint Pending? No

Status: Arbitration/Reparation

Status Date:

Settlement Amount:

Individual Contribution Amount:

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: National Assoc. of Securities Dealers; 95-05074

Date Notice/Process Served: 10/31/1995

Arbitration Pending? No

Disposition: Settled

Disposition Date: 12/01/1995

Firm Statement PENDING
Not Provided

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: L.C. WEGARD & CO., INC.

Allegations: \$10,000 & IN LOSSES FROM POOR DATA ON STOCKS PURCHASED.

Product Type:

Alleged Damages: \$41,695.00

Customer Complaint Information

Date Complaint Received:

Complaint Pending? No

Status: Arbitration/Reparation

Status Date:

Settlement Amount:



Individual Contribution Amount:

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: NATIONAL ASSOC. OF SECURITIES DEALERS; 95-05074

Date Notice/Process Served: 10/31/1995

Arbitration Pending? No

Disposition: Settled

Disposition Date: 12/01/1995

Broker Statement

I WAS RELEASED FROM THE PROCEEDING. I APPEARED AS A WITNESS FOR THE PLAINTIFF. I WAS NEVER A DEFENDANT IN THE ARBITRATION HEARING. THE JUDGEMENT WAS AGAINST L.C. WEGARD & CO INC. A CO. THAT NO LONGER EXISTS. THIS WAS MY FIRST JOB OUT OF COLLEGE. LC WEGARD EVIDENTLY HAD A TREMENDOUS AMOUNT OF COMPLAINTS, & ONE I LEARNED OF THIS I LEFT IMMEDIATELY. [CUSTOMER] REALIZED THIS & ASKED ME TO BE A WITNESS TO THE WORKING CONDITIONS @THE TIME & I GLADLY AGREED. HE WON A \$37,000 JUDGEMENT AGAINST L.C. WEGARD & MY IMMEDIATE SUPERVISORS WHICH INCLUDED PUNITIVE DAMAGES. I HAVE IN MY POSSESION INCIDENT EXECUTED RELEASE SIGNED BY [CUSTOMER], PUTTING THIS INCIDENT BEHIND ME.



End of Report

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