



IAPD Report

ROXANNE MARIE JONES

CRD# 2433541

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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

ROXANNE MARIE JONES (CRD# 2433541)

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 **11/04/2025**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	OSAIC WEALTH, INC.	CRD# 23131	09/01/2023
IA	OSAIC WEALTH, INC.	CRD# 23131	09/01/2023

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **6** 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	SAGEPOINT FINANCIAL, INC.	133763	ONTARIO, CA	08/18/2015 - 09/01/2023
B	SAGEPOINT FINANCIAL, INC.	133763	ONTARIO, CA	03/22/2012 - 09/01/2023
IA	INDEPENDENT CAPITAL MANAGEMENT	121354	SAN DIEGO, CA	07/10/2012 - 07/09/2014

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
Financial	2



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 6 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 Principal	Approved	09/01/2023
B FINRA	General Securities Representative	Approved	09/01/2023
B FINRA	Invest. Co and Variable Contracts	Approved	09/01/2023
B California	Agent	Approved	09/01/2023
IA California	Investment Adviser Representative	Approved	09/01/2023
B Georgia	Agent	Approved	09/01/2023
B Nevada	Agent	Approved	09/01/2023
B New York	Agent	Approved	09/01/2023
B Texas	Agent	Approved	09/01/2023
B Washington	Agent	Approved	09/01/2023

Branch Office Locations

OSAIC WEALTH, INC.
4141 INLAND EMPIRE BLVD
SUITE 301
ONTARIO, CA 91764




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



Principal/Supervisory Exams

	Exam	Category	Date
	General Securities Principal Examination (S24)	Series 24	03/08/1999

General Industry/Product Exams

	Exam	Category	Date
	Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
	General Securities Representative Examination (S7)	Series 7	11/25/1998
	Investment Company Products/Variable Contracts Representative Examination (S6)	Series 6	12/17/1993

State Securities Law Exams

	Exam	Category	Date
	Uniform Investment Adviser Law Examination (S65)	Series 65	06/25/2007
	Uniform Securities Agent State Law Examination (S63)	Series 63	01/04/1994

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	08/18/2015 - 09/01/2023	SAGEPOINT FINANCIAL, INC.	CRD# 133763	ONTARIO, CA
B	03/22/2012 - 09/01/2023	SAGEPOINT FINANCIAL, INC.	CRD# 133763	ONTARIO, CA
IA	07/10/2012 - 07/09/2014	INDEPENDENT CAPITAL MANAGEMENT	CRD# 121354	SAN DIEGO, CA
IA	08/24/2007 - 11/21/2012	THOMPSON WEALTH MANAGEMENT, INC.	CRD# 137205	CULVER CITY, CA
B	02/01/2007 - 02/09/2012	SECURITIES SERVICE NETWORK, INC.	CRD# 13318	CULVER CITY, CA
B	07/01/1998 - 01/31/2007	NATIONAL PLANNING CORPORATION	CRD# 29604	TORRANCE, CA
B	01/28/1997 - 07/06/1998	FINANCIAL NETWORK INVESTMENT CORPORATION	CRD# 13572	EL SEGUNDO, CA
B	01/11/1994 - 01/24/1997	SUNAMERICA SECURITIES, INC.	CRD# 20068	PHOENIX, AZ

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
09/2023 - Present	OSAIC WEALTH, INC.	Mass Transfer	Y	ONTARIO, CA, United States
03/2012 - Present	INDEPENDENT CAPITAL MANAGEMENT	STATUTORY AGENT	N	ONTARIO, CA, United States
03/2012 - Present	SAGEPOINT FINANCIAL	REGISTERED REP	Y	ONTARIO, CA, 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) CAMILLE RUSSELL WOODEN MINISTRIES

POSITION: Treasurer - NATURE: Non-Profit - INVESTMENT RELATED: No NUMBER OF HOURS: 2 SECURITIES TRADING HOURS: 0 START DATE: 01/01/2001

ADDRESS: 234 N Shadydale Avenue, West Covina CA 91790, United States

DESCRIPTION: Keep records of all financial transactions, prepare monthly and annual financial reports. I do not handle any cash or check transactions.

2) INDEPENDENT CAPITAL MANAGEMENT

POSITION: Statutory Agent - NATURE: Corporation - INVESTMENT RELATED: Yes NUMBER OF HOURS: 4 SECURITIES TRADING HOURS: 0 START DATE: 03/12/2012

ADDRESS: 4141 Inland Empire Blvd, Ste.301, Ontario CA 91764, United States

DESCRIPTION: Refer clients to a mortgage brokerage firm for new purchases and/or refinances when appropriate

3) INDEPENDENT CAPITAL MANAGEMENT

POSITION: Statutory Agent NATURE: Corporation INVESTMENT RELATED: No NUMBER OF HOURS: 10 SECURITIES TRADING HOURS: 4 START DATE: 03/20/2012

ADDRESS: 4141 Inland Empire Blvd, Ste. 301, Ontario CA 91764, United States

DESCRIPTION: Trust related services are performed by a representative that is licensed as a Paralegal with United Wealth Protection Concepts and Citadel Law Offices. As a Paralegal we gather information required by the attorneys during the preliminary state for the development of a trust.

4) INDEPENDENT CAPITAL MANAGEMENT

POSITION: Other - Employee NATURE: Corporation - INVESTMENT RELATED: Yes NUMBER OF HOURS: 160 SECURITIES TRADING HOURS: 8 START DATE: 03/01/2012

ADDRESS: 4141 Inland Empire Blvd., Ste.301, Ontario CA 91764, United States

DESCRIPTION: n/a

5) INDEPENDENT CAPITAL MANAGEMENT INSURANCE AGENCY

POSITION: Agent NATURE: Insurance Agency INVESTMENT RELATED: No NUMBER OF HOURS: 40 SECURITIES TRADING HOURS: 20 START DATE: 03/08/2012

ADDRESS: 695 Town Center Drive, Ste. 530, Costa Mesa CA 92626, United States

DESCRIPTION: Insurance Agent with the state of CA. I suggest life insurance products to clients who may also be securities clients.



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
Financial	2

Financial

This disclosure event involves a final bankruptcy, compromise with one or more creditors, or Securities Investor Protection Corporation liquidation that occurred within the last 10 years and that involved the Investment Adviser Representative or an organization/investment adviser that the Investment Adviser Representative controlled that occurred within the last 10 years.

Disclosure 1 of 2

Reporting Source:	Individual
Action Type:	Compromise
Action Date:	03/31/2017
Organization Investment-Related?	
Type of Court:	N/A
Name of Court:	N/A
Location of Court:	N/A
Docket/Case #:	N/A
Action Pending?	No
Disposition:	Satisfied/Released
Disposition Date:	06/15/2017
If a compromise with creditor, provide:	
Name of Creditor:	ARS NATIONAL SERVICES INC. (CHASE)
Original Amount Owed:	\$1,647.25
Terms Reached with Creditor:	3 PAYMENTS 3/31/17- \$384.36 4/30/17- \$384.36 5/31/17- \$384.36
Broker Statement	ORIGINAL DEBT WAS WITH CHASE, PURCHASED BY ARS. SETTLEMENT AGREEMENT HAS BEEN PAID IN FULL. IT IS NOW CLOSED.



Disclosure 2 of 2

Reporting Source: Individual

Action Type: Compromise

Action Date: 07/24/2017

Organization Investment-Related?

Action Pending? No

Disposition: Satisfied/Released

Disposition Date: 09/30/2018

If a compromise with creditor, provide:

Name of Creditor: Midland Credit Management, Inc. (Asset Acceptance, LLC-Dell Financial)

Original Amount Owed: \$1,667.57

Terms Reached with Creditor: 10% discount pay \$1499.91-in monthly payments beginning July 31-\$50,then \$103.56/mo. for 14 mos.

Amount Paid: \$0.00

SIPA (Securities Investor Protection Act)Trustee:

Currently Open? No

Date Direct Payment Initiated/Filed or Trustee Appointed: 07/24/2017

Broker Statement Original debt was with Dell Financial which was purchased by Asset Acceptance, LLC now it has been purchased by Midland Credit Management, Inc. Payment arrangements have been made.



End of Report

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