



IAPD Report

ALEX PRITSKER

CRD# 2509622

<u>Section Title</u>	<u>Page(s)</u>
Report Summary	1
Qualifications	2 - 4
Registration and Employment History	5 - 6
Disclosure Information	7

i 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

ALEX PRITSKER (CRD# 2509622)

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 **01/29/2025**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	OSAIC WEALTH, INC.	CRD# 23131	01/24/2025
IA	OSAIC WEALTH, INC.	CRD# 23131	01/24/2025

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **11** 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	OSAIC FA, INC.	3978	LIVINGSTON, NJ	01/07/2011 - 01/24/2025
IA	OSAIC FA, INC.	3978	LIVINGSTON, NJ	01/07/2011 - 01/24/2025
IA	PRUDENTIAL FINANCIAL PLANNING SERVICES	5685	LIVINGSTON, NJ	07/24/2002 - 02/03/2011

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	2
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 **11** 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	01/24/2025
B	FINRA	Invest. Co and Variable Contracts	Approved	01/24/2025
B	Connecticut	Agent	Approved	01/24/2025
B	Florida	Agent	Approved	01/24/2025
B	Maryland	Agent	Approved	01/24/2025
B	New Jersey	Agent	Approved	01/24/2025
IA	New Jersey	Investment Adviser Representative	Approved	01/24/2025
B	New York	Agent	Approved	01/24/2025
B	North Carolina	Agent	Approved	01/24/2025
B	Pennsylvania	Agent	Approved	01/24/2025
B	South Carolina	Agent	Approved	01/24/2025
B	Texas	Agent	Approved	01/24/2025
IA	Texas	Investment Adviser Representative	Restricted Approval	01/24/2025



Qualifications

Regulator	Registration	Status	Date
B Virginia	Agent	Approved	01/24/2025
B Wisconsin	Agent	Approved	01/24/2025

Branch Office Locations

OSAIC WEALTH, INC.
513 WEST MOUNT PLEASANT AVENUE
SUITE 209
LIVINGSTON, NJ 07039



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
------	----------	------

 Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
 General Securities Representative Examination (S7)	Series 7	05/11/1998
 Investment Company Products/Variable Contracts Representative Examination (S6)	Series 6	08/29/1994

State Securities Law Exams

Exam	Category	Date
------	----------	------

 Uniform Investment Adviser Law Examination (S65)	Series 65	06/18/1997
 Uniform Securities Agent State Law Examination (S63)	Series 63	05/05/1997

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	01/07/2011 - 01/24/2025	OSAIC FA, INC.	CRD# 3978	LIVINGSTON, NJ
IA	01/07/2011 - 01/24/2025	OSAIC FA, INC.	CRD# 3978	LIVINGSTON, NJ
IA	07/24/2002 - 02/03/2011	PRUDENTIAL FINANCIAL PLANNING SERVICES	CRD# 5685	LIVINGSTON, NJ
B	10/02/2001 - 02/03/2011	PRUCO SECURITIES, LLC.	CRD# 5685	LIVINGSTON, NJ
B	02/22/2001 - 10/10/2001	PRUDENTIAL SECURITIES INCORPORATED	CRD# 7471	NEW YORK, NY
B	08/31/1994 - 03/22/2001	PRUCO SECURITIES CORPORATION	CRD# 5685	NEWARK, NJ

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
01/2025 - Present	OSAIC WEALTH, INC.	Mass Transfer	Y	LIVINGSTON, NJ, United States
01/2011 - 01/2025	LINCOLN FINANCIAL ADVISORS	REGISTERED REPRESENTATIVE	Y	LIVINGSTON, NJ, 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.

1) ALEX PRITSKER DBA MASTERS INSURANCE AND FINANCIAL SERVICES

513 WEST MOUNT PLEASANT AVENUE, SUITE 209

LIVINGSTON, NJ 07039

CATEGORY: INSURANCE

INVESTMENT RELATED: YES

TITLE: AGENT

DUTIES: OFFERING DISABILITY INSURANCE, FIXED ANNUITIES, LONG TERM CARE INSURANCE, AND TRADITIONAL

FIXED LIFE INSURANCE

START DATE: 09/08/2017

HOURS PER MONTH: 240

HOURS PER MONTH DURING TRADING HOURS: 200

2) ALEX PRITSKER

513 WEST MOUNT PLEASANT AVENUE, SUITE 209



Registration & Employment History



OTHER BUSINESS ACTIVITIES

LIVINGSTON, NJ 07039

CATEGORY: INSURANCE

INVESTMENT-RELATED: YES

TITLE: AGENT

DUTIES: OFFERING ACCIDENT/HEALTH, DISABILITY, LTC, INDEX ANNUITIES, FIXED ANNUITIES, INSURANCE PORTION OF HSAS AND TRADITIONAL LIFE INSURANCE.

START DATE: 01/01/2009

HOURS PER MONTH: 10

HOURS PER MONTH DURING TRADING HOURS: 10



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	2
Termination	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 2

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	LINCOLN FINANCIAL ADVISORS CORPORATION
Allegations:	The client alleges the registered representative recommended an unsuitable variable annuity exchange in November 2018.
Product Type:	Annuity-Variable
Alleged Damages:	\$250,000.00
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:	08/30/2022
Complaint Pending?	No
Status:	Evolved into Arbitration/CFTC reparation (the individual is a named party)
Status Date:	10/30/2024
Settlement Amount:	
Individual Contribution Amount:	



Arbitration Information

Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.): FINRA

Docket/Case #: 24-02339

Date Notice/Process Served: 10/30/2024

Arbitration Pending? Yes

Disclosure 2 of 2

Reporting Source: Firm

Employing firm when activities occurred which led to the complaint: PRUCO SECURITIES, LLC.

Allegations: ADDITIONAL INFORMATION RECEIVED 01/26/2011-DURING THE COURSE OF COMPLAINT HANDLING-THE CLIENT ALLEGED THAT THE REGISTERED REPRESENTATIVE PROVIDED A CLIENT WITH AN EMAIL HE RECEIVED FROM A COMPANY REPRESENTATIVE THAT WAS ALTERED TO CONTAIN INACCURATE INFORMATION CONCERNING INCOME WITHDRAWAL OPTIONS UNDER AN OPTIONAL CONTRACT FEATURE OF A VARIABLE ANNUITY.

Product Type: Annuity-Variable

Alleged Damages: \$0.00

Alleged Damages Amount Explanation (if amount not exact): NO DAMAGE AMOUNT IS ALLEGED

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: 01/26/2011

Complaint Pending? No

Status: Settled

Status Date: 05/17/2012

Settlement Amount: \$178,494.12

Individual Contribution Amount: \$0.00

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: PRUCO SECURITIES, LLC.

Allegations: ADDITIONAL INFORMATION RECEIVED 01/26/2011-DURING THE COURSE OF



COMPLAINT HANDLING-THE CLIENT ALLEGED THAT THE REGISTERED REPRESENTATIVE PROVIDED A CLIENT WITH AN EMAIL HE RECEIVED FROM A COMPANY REPRESENTATIVE THAT WAS ALTERED TO CONTAIN INACCURATE INFORMATION CONCERNING INCOME WITHDRAWAL OPTIONS UNDER AN OPTIONAL CONTRACT FEATURE OF A VARIABLE ANNUITY.

Product Type: Annuity-Variable
Alleged Damages: \$0.00
Alleged Damages Amount Explanation (if amount not exact): NO DAMAGE AMOUNT ALLEGED
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: 01/26/2011
Complaint Pending? No
Status: Settled
Status Date: 05/17/2012
Settlement Amount: \$178,494.12
Individual Contribution Amount: \$0.00

Broker Statement

THIS MATTER IS BEING REPORTED CONSISTENT WITH NASDR RULES PERTAINING TO THE REPORTING OF CERTAIN WRITTEN CUSTOMER COMPLAINTS. THE COMPANY BY THIS FILING MAKES NO ALLEGATIONS REGARDING THE ACTIONS OF THE REPRESENTATIVE.

IN AN AMENDMENT FILING TO THIS COMPLAINT, PRUCO INDICATED AN ADDITIONAL ALLEGATION REGARDING THE IMPROPER USE OF AN EMAIL CONCERNING INACCURATE INFORMATION REGARDING THE PRODUCT IN QUESTION. THESE ALLEGATIONS WERE ULTIMATELY UNSUBSTANTIATED DURING AN INTERNAL REVIEW WHICH WAS CONCLUDED BY PRUCO ON 1/26/2011.



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: PRUCO SECURITIES, LLC
Termination Type: Voluntary Resignation
Termination Date: 01/07/2011
Allegations: THE REGISTERED REPRESENTATIVE PROVIDED A CLIENT WITH AN EMAIL HE RECEIVED FROM A COMPANY REPRESENTATIVE THAT WAS ALTERED TO CONTAIN INACCURATE INFORMATION CONCERNING INCOME WITHDRAWAL OPTIONS UNDER AN OPTIONAL CONTRACT FEATURE OF A VARIABLE ANNUITY. THE COMPANY'S REVIEW DID NOT IDENTIFY THE CREATOR OF THE ALTERED EMAIL.
Product Type: Annuity-Variable

Reporting Source: Individual
Firm Name: PRUCO SECURITIES INC
Termination Type: Voluntary Resignation
Termination Date: 01/07/2011
Allegations: PRUCO HAD ALLEGED THAT THE REPRESENTATIVE PROVIDED A CLIENT WITH AN EMAIL HE RECEIVED FROM ANOTHER COMPANY REPRESENTATIVE THAT WAS ALTERED TO CONTAIN INACCURATE INFORMATION CONCERNING INCOME WITHDRAWL OPTIONS UNDER AN OPTIONAL CONTRACT FEATURE OF A VARIABLE ANNUITY. THE COMPANY'S REVIEW DID NOT IDENTIFY THE CREATOR OF THE ALTERED EMAIL. THE CLIENT HAS DISPUTED THE INFORMATION PROVIDED BY PRUCO AS FALSE INDICATING THAT NO SUCH EMAIL WAS PROVIDE TO HIM BY THE REPRESENTATIVE NOR FROM HIM TO PRUCO.
Product Type: Annuity-Variable

Broker Statement ACCORDING TO THE CLIENT'S ONLY LETTER TO PRUDENTIAL ANNUITIES ON 8/3/2010, THERE IS NO COMPLIANT OR DISPUTE AGAINST THIS REPRESENTATIVE. THE REPRESENTATIVE PROVIDED THE CLIENT WITH INFORMATION ABOUT AN ANNUITY FEATURE AS IT HAD BEEN PRESENTED TO HIM BY THE COMPANY AND THAT THE INFORMATION WAS CONFIRMED BY PRUDENTIAL'S CUSTOMER SERVICE DEPARTMENT. IN ADDITION, THE CLIENT MADE NO ALLEGATIONS OF FRAUD OR THEFT BY THE REPRESENTATIVE. THEREFORE, THE REPRESENTATIVE DISAGREES WITH THE U5 FILED BY PRUCO. IN REVIEWING THE U5 PRUCO FILED, THERE IS NO INDICATION OF FRAUD OR WRONGFUL TAKING OF PRPERTY THAT WOULD SUPPORT A YES ANSWER TO 7F2.



End of Report

This page is intentionally left blank.