



IAPD Report

MICHEAL MASA AKI ONO

CRD# 2519655

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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

MICHEAL MASA AKI ONO (CRD# 2519655)

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 **03/09/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	OSAIC WEALTH, INC.	CRD# 23131	06/22/2023
IA	NWF ADVISORY SERVICES INC	CRD# 110410	06/22/2023

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **9** 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	LPL FINANCIAL LLC	6413	LA MIRADA, CA	09/05/2006 - 07/05/2023
IA	LPL FINANCIAL LLC	6413	LA MIRADA, CA	09/01/2006 - 07/05/2023
IA	WM FINANCIAL SERVICES, INC.	599	LA MIRADA, CA	02/23/2006 - 09/08/2006

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



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

Employment 1 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	06/22/2023
B FINRA	General Securities Representative	Approved	06/22/2023
B Arizona	Agent	Approved	06/22/2023
B California	Agent	Approved	06/22/2023
B Idaho	Agent	Approved	06/22/2023
B Illinois	Agent	Approved	01/29/2025
B Nebraska	Agent	Approved	06/22/2023
B Nevada	Agent	Approved	06/22/2023
B Oregon	Agent	Approved	06/22/2023
B Texas	Agent	Approved	06/22/2023
B Washington	Agent	Approved	07/13/2023

Branch Office Locations

OSAIC WEALTH, INC.
14752 BEACH BOULEVARD



Qualifications

SUITE 133
LA MIRADA, CA 90638

OSAIC WEALTH, INC.
8908 Mission Drive
Rosemead, CA 91770

Employment 2 of 2

Firm Name: **NWF ADVISORY SERVICES INC**
Main Address: 11835 W OLYMPIC BLVD
STE 1155 E.
LOS ANGELES, CA 90064
Firm ID#: 110410

Regulator	Registration	Status	Date
IA California	Investment Adviser Representative	Approved	06/22/2023

Branch Office Locations

NWF ADVISORY SERVICES INC
14752 Beach Blvd. #133
La Mirada, CA 90638






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 Principal Examination (S24)	Series 24	10/04/2006
	General Securities Sales Supervisor Examination (Options Module & General Module) (S8)	Series 8	02/14/1997
	Registered Options Principal Examination (S4)	Series 4	01/17/1997

General Industry/Product Exams

	Exam	Category	Date
	Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
	General Securities Representative Examination (S7)	Series 7	08/17/1994

State Securities Law Exams

	Exam	Category	Date
	Uniform Investment Adviser Law Examination (S65)	Series 65	03/06/1997
	Uniform Securities Agent State Law Examination (S63)	Series 63	08/19/1994

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
B	09/05/2006 - 07/05/2023	LPL FINANCIAL LLC	CRD# 6413	LA MIRADA, CA
IA	09/01/2006 - 07/05/2023	LPL FINANCIAL LLC	CRD# 6413	LA MIRADA, CA
IA	02/23/2006 - 09/08/2006	WM FINANCIAL SERVICES, INC.	CRD# 599	LA MIRADA, CA
B	06/15/1998 - 09/08/2006	WM FINANCIAL SERVICES, INC.	CRD# 599	LA MIRADA, CA
B	02/18/1998 - 06/12/1998	R. H. YORK & COMPANY, INC.	CRD# 30099	COVINGTON, KY
B	12/03/1997 - 03/04/1998	GLOBALINK SECURITIES, INC.	CRD# 29721	PASADENA, CA
B	10/28/1997 - 12/01/1997	CORPORATE SECURITIES GROUP, INC.	CRD# 11025	ST. LOUIS, MO
B	07/14/1997 - 08/18/1997	NATIONAL DISCOUNT BROKERS	CRD# 27501	OMAHA, NE
B	12/03/1996 - 05/12/1997	MURPHEY, MARSEILLES, SMITH & NAMMACK, INC.	CRD# 18032	NEW YORK, NY
B	08/18/1994 - 12/11/1996	J.B. OXFORD & COMPANY	CRD# 14343	SHERMAN OAKS, CA

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	OSAIC WEALTH, INC.	REGISTERED REPRESENTATIVE	Y	La Mirada, CA, United States
09/2006 - 06/2023	LPL Financial, LLC (Formerly: LINSICO/PRIVATE LEDGER CORP.)	Registered Representative	Y	LA MIRADA, 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. 7/10/2017 - Edison Risk - Investment Related - At Reported Business Location(s) - Non-Variable Insurance - Started 06/01/2017 - 5 Hours Per Month/1 Hour During Securities Trading - Life insurance and fixed annuities.

2. ARTISAN CAPITAL PARTNERS DBA

POSITION: Financial Professional NATURE: Artisan Capital Partners is a DBA under/powered by NWF Advisory Group LLC INVESTMENT RELATED: Yes NUMBER OF HOURS: 160 SECURITIES TRADING HOURS: 130 START DATE: 07/24/2025 ADDRESS: 14752 Beach Blvd, Suite 133, La Mirada CA 90638 DESCRIPTION: I am a financial professional marketing myself under the DBA Artisan Capital Partners

3. SOUTH HILLS COUNTRY CLUB

POSITION: Director NATURE: Tax-exempt non-profit social and recreational club under tax code 501(c)(7) INVESTMENT RELATED: No NUMBER OF HOURS: 5 SECURITIES TRADING HOURS: 0 START DATE: 04/30/2024 ADDRESS: 2655 S. Citrus St, West Covina CA 91791, United States DESCRIPTION: The board of directors is volunteer, governance focused, membership representative and strategic planning.

4. MICHEAL M. ONO, CFP INC.

POSITION: President NATURE: This is a corporation set up to be able to pay taxes and bills. It is an S Corp INVESTMENT RELATED: No NUMBER OF HOURS: 0 SECURITIES TRADING HOURS: 0 START DATE: 09/06/2006 ADDRESS: 818 Via Amadeo, San Dimas CA 91773, United States DESCRIPTION: This corporation is just set up to pay taxes and business expenses.

5. NWF ADVISORY SERVICES

POSITION: Wealth Manager NATURE: Affiliated RIA, to do my advisory business INVESTMENT RELATED: Yes NUMBER OF HOURS: 80 SECURITIES TRADING HOURS: 80 START DATE: 06/23/2023 ADDRESS: 14752 Beach Blvd suite 133, la mirada CA 90638, United States DESCRIPTION: I am affiliated with NWF Advisory to transact my 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
Customer Dispute	2

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: Firm

Employing firm when activities occurred which led to the complaint: WM FINANCIAL SERVICES, INC.

Allegations: PLAINTIFF ALLEGES THAT IN FEBRUARY 2004 MR. ONO RECOMMENDED THAT SHE SELL A NUMBER OF VARIABLE ANNUITIES AND MUTUAL FUNDS TO PURCHASE A LIFE INSURANCE POLICY. PLAINTIFF ALLEGES THAT MR. ONO'S ACTIONS CONSTITUTED FRAUD, ELDER ABUSE, CONVERSION AND BREACH OF FIDUCIARY DUTY.

Product Type: Annuity(ies) - Variable

Other Product Type(s): MUTUAL FUNDS

Alleged Damages: \$0.00

Customer Complaint Information

Date Complaint Received: 08/03/2006

Complaint Pending? No

Status: Litigation

Status Date: 03/26/2007

Settlement Amount:

Individual Contribution Amount:

Civil Litigation Information

Court Details: SUPERIOR COURT OF THE STATE OF CALIFORNIA FOR THE COUNTY OF



LOS ANGELES, CASE NO. V0048092

Date Notice/Process Served: 03/26/2007

Litigation Pending? No

Disposition: Settled

Disposition Date: 02/21/2008

Monetary Compensation Amount: \$625,000.00

Individual Contribution Amount: \$0.00

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: WM FINANCIAL SERVICES

Allegations: ALLEGED UNSUITABLE LIFE INSURANCE SALE IN MAY 2004

Product Type: Insurance

Alleged Damages: \$5,000.00

Customer Complaint Information

Date Complaint Received: 08/03/2006

Complaint Pending? No

Status: Litigation

Status Date: 03/26/2007

Settlement Amount:

Individual Contribution Amount:

Civil Litigation Information

Court Details: SUPERIOR COURT OF THE STATE OF CALIFORNIA FOR THE COUNTY OF LOS ANGELES, CASE NO. V0048092

Date Notice/Process Served: 03/26/2007

Litigation Pending? No

Disposition: Settled

Disposition Date: 02/21/2008

Monetary Compensation Amount: \$625,000.00

Individual Contribution Amount: \$0.00

Broker Statement CLIENT HAS CHOSEN TO MAINTAIN THE POLICY. WITHOUT ADMISSION OF LIABILITY OR WRONGDOING THE CLAIM HAS BEEN SETTLED IN MEDIATION TO AVOID THE POTENTIAL COST OF FURTHER LITIGATION AND APPEALS.

Disclosure 2 of 2

Reporting Source: Individual



Employing firm when activities occurred which led to the complaint: WM FINANCIAL SERVICES, INC.

Allegations: CLIENT ALLEGES THE FINANCIAL CONSULTANT MISREPRESENTED THE FLUCTUATION ASSOCIATED WITH THE INVESTMENT SHE PURCHASED ON JANUARY 26, 2001. IN ADDITION, THE CLIENT ALLEGES THE INVESTMENT RECOMMENDATION WAS UNSUITABLE BASED UPON HER AGE AND LIQUIDITY NEEDS.

Product Type: Annuity(ies) - Variable

Other Product Type(s): MUTUAL FUNDS

Alleged Damages: \$14,404.84

Customer Complaint Information

Date Complaint Received: 10/21/2004

Complaint Pending? No

Status: Denied

Status Date: 12/15/2004

Settlement Amount:

Individual Contribution Amount:

Broker Statement AS A RESULT OF AN INVESTIGATION INTO THE CLIENTS CONCERNS IT APPEARS THE INVESTMENT PURCHASES WERE SUITABLE RECOMMENDATIONS AND FULL AND FAIR DISCLOSURE WAS PROVIDED.



End of Report

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