



IAPD Report

KEVIN JOHN BATEMAN

CRD# 2588017

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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

KEVIN JOHN BATEMAN (CRD# 2588017)

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 **11/25/2025**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	OSAIC WEALTH, INC.	CRD# 23131	11/02/2018
IA	OSAIC WEALTH, INC.	CRD# 23131	11/02/2018

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **23** 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	SIGNATOR INVESTORS, INC.	468	MISSOULA, MT	12/28/2015 - 11/02/2018
IA	SIGNATOR INVESTORS, INC.	468	MISSOULA, MT	12/28/2015 - 11/02/2018
IA	SIGNATOR FINANCIAL SERVICES, INC.	19061	Missoula, MT	07/10/2013 - 12/28/2015

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 **23** 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	11/02/2018
B	FINRA	General Securities Representative	Approved	11/02/2018
B	FINRA	Invest. Co and Variable Contracts	Approved	11/02/2018
B	Alabama	Agent	Approved	11/02/2018
B	Arizona	Agent	Approved	08/06/2020
B	California	Agent	Approved	11/02/2018
B	Colorado	Agent	Approved	11/02/2018
B	Florida	Agent	Approved	11/02/2018
B	Georgia	Agent	Approved	11/02/2018
B	Idaho	Agent	Approved	11/02/2018
B	Illinois	Agent	Approved	11/02/2018
B	Michigan	Agent	Approved	11/02/2018
B	Minnesota	Agent	Approved	11/02/2018



Qualifications

Regulator	Registration	Status	Date
B Missouri	Agent	Approved	03/02/2021
B Montana	Agent	Approved	11/02/2018
IA Montana	Investment Adviser Representative	Approved	11/02/2018
B Nevada	Agent	Approved	11/02/2018
B New York	Agent	Approved	11/02/2018
B North Dakota	Agent	Approved	11/02/2018
B Oklahoma	Agent	Approved	11/02/2018
B Oregon	Agent	Approved	11/02/2018
B Pennsylvania	Agent	Approved	01/08/2025
B Tennessee	Agent	Approved	02/02/2026
B Texas	Agent	Approved	11/02/2018
B Utah	Agent	Approved	11/02/2018
B Washington	Agent	Approved	11/02/2018
B Wisconsin	Agent	Approved	11/06/2025

Branch Office Locations

OSAIC WEALTH, INC.
2419 MULLAN ROAD
SUITE C
MISSOULA, MT 59808




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	01/25/2006

General Industry/Product Exams

	Exam	Category	Date
	Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
	General Securities Representative Examination (S7)	Series 7	04/08/2003
	Investment Company Products/Variable Contracts Representative Examination (S6)	Series 6	08/23/2000

State Securities Law Exams

	Exam	Category	Date
	 Uniform Combined State Law Examination (S66)	Series 66	06/20/2013
	Uniform Securities Agent State Law Examination (S63)	Series 63	08/23/2000

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	12/28/2015 - 11/02/2018	SIGNATOR INVESTORS, INC.	CRD# 468	MISSOULA, MT
IA	12/28/2015 - 11/02/2018	SIGNATOR INVESTORS, INC.	CRD# 468	MISSOULA, MT
IA	07/10/2013 - 12/28/2015	SIGNATOR FINANCIAL SERVICES, INC.	CRD# 19061	Missoula, MT
B	01/27/2012 - 12/28/2015	SIGNATOR FINANCIAL SERVICES, INC.	CRD# 19061	Missoula, MT
B	05/23/2011 - 01/30/2012	PACIFIC WEST SECURITIES, INC.	CRD# 6390	MISSOULA, MT
B	06/27/2007 - 05/24/2011	SECURITIES AMERICA, INC.	CRD# 10205	MISSOULA, MT
B	01/15/2002 - 06/27/2007	BROOKSTREET SECURITIES CORPORATION	CRD# 14667	MISSOULA, MT
B	08/24/2000 - 01/04/2002	MCLAUGHLIN, PIVEN, VOGEL SECURITIES, INC.	CRD# 7404	NEW YORK, NY
B	07/18/1996 - 12/31/1996	PFS INVESTMENTS INC.	CRD# 10111	DULUTH, GA
B	02/27/1995 - 11/17/1995	MCLAUGHLIN, PIVEN, VOGEL SECURITIES, INC.	CRD# 7404	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
11/2018 - Present	Osaic Wealth, Inc.	Registered Rep	Y	MISSOULA, MT, United States
12/2015 - 11/2018	SIGNATOR INVESTORS, INC.	Reg Rep	Y	Missoula, MT, 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) TAURUS WEALTH MANAGEMENT

POSITION: President NATURE: LLC INVESTMENT RELATED: Yes NUMBER OF HOURS: 120 SECURITIES TRADING

HOURS: 120 START DATE: 09/27/2012

ADDRESS: 2419 Mullan Rd, Suite C, Missoula MT 59805, United States

DESCRIPTION: Helping clients reach their financial dreams and goals through securities and insurance sales and RIA duties.

2) KEVIN BATEMAN

POSITION: Agent NATURE: Medicare Advantage plans INVESTMENT RELATED: Yes NUMBER OF HOURS: 10 SECURITIES

TRADING HOURS: 0 START DATE: 10/07/2016

ADDRESS: 2419 Mullan Rd, Suite C, Missoula MT 59808, United States

DESCRIPTION: Sales of Medicare Advantage plans

3) BATEMAN WEALTH MANAGEMENT

POSITION: President NATURE: S Corp Tax entity INVESTMENT RELATED: No NUMBER OF HOURS: 0 SECURITIES

TRADING HOURS: 0 START DATE: 02/07/2020

ADDRESS: 2419 Mullan Rd, Suite C, Missoula MT 59808, United States

DESCRIPTION: none

4) KJB WEALTH MANAGEMENT PC

POSITION: President NATURE: S Corporation Tax entity INVESTMENT RELATED: Yes NUMBER OF HOURS: 0 SECURITIES

TRADING HOURS: 0 START DATE: 09/05/2024

ADDRESS: 2419 Mullan Rd, Suite C, Missoula MT 59808, United States

DESCRIPTION: None



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:	Individual
Employing firm when activities occurred which led to the complaint:	BROOKSTREET SECURITIES CORPORATION, INC.
Allegations:	PERIOD FROM 2003 THROUGH NOVEMBER 2007, ALLEGATION INCLUDE UNAUTHORIZED, UNSUITABLE, EXCESSIVE TRADES, FAILURE TO SUPERVISE AND ELDER ABUSE. DAMAGES NOT LESS THAN \$200,000.
Product Type:	Other: CMO'S
Alleged Damages:	\$200,000.00
Is this an oral complaint?	No
Is this a written complaint?	Yes
Is this an arbitration/CFTC reparation or civil litigation?	Yes
Arbitration/Reparation forum or court name and location:	FINRA
Docket/Case #:	08-00402
Filing date of arbitration/CFTC reparation or civil litigation:	02/01/2008

Customer Complaint Information

Date Complaint Received:	03/17/2008
Complaint Pending?	No



Status: Evolved into Arbitration/CFTC reparation (the individual is a named party)

Status Date: 03/17/2008

Settlement Amount:

Individual Contribution Amount:

Arbitration Information

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

Docket/Case #: 08-00402

Date Notice/Process Served: 03/17/2008

Arbitration Pending? No

Disposition: Settled

Disposition Date: 11/16/2009

Monetary Compensation Amount: \$2,500.00

Individual Contribution Amount: \$0.00

Broker Statement

CLIENT WAS AN EXPERIENCED INVESTOR WHO CHOSE TO PARTICIPATE IN ACTIVELY MANAGED CMO BOND PORTFOLIO. POWER OF ATTORNEY WHO TOOK OVER ACCOUNT IN 2005 CHOSE TO CONTINUE WITH THAT STRATEGY AND IS NOW UNWILLING TO ACCEPT RESPONSIBILITY FOR LOSSES THAT OCCURRED FROM 2005 TO PRESENT DUE TO COLLAPSE OF CMO MARKET.

Disclosure 2 of 2

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: BROOKSTREET SECURITIES CORPORATION

Allegations: ALLEGED FAILURE TO FOLLOW INSTRUCTIONS AND POOR CUSTOMER SERVICE

Product Type: Equity - OTC

Alleged Damages: \$7,200.00

Customer Complaint Information

Date Complaint Received: 09/21/2006

Complaint Pending? No

Status: Settled

Status Date: 11/15/2006

Settlement Amount: \$1,980.00

Individual Contribution Amount: \$0.00



End of Report

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