



IAPD Report

EDWARD LEVINE

CRD# 2595745

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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

EDWARD LEVINE (CRD# 2595745)

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 **02/10/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	OSAIC WEALTH, INC.	CRD# 23131	10/11/2024
IA	OSAIC WEALTH, INC.	CRD# 23131	10/11/2024

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **49** 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	AMERICAN PORTFOLIOS ADVISORS, INC	112697	HOLBROOK, NY	03/31/2008 - 10/11/2024
B	AMERICAN PORTFOLIOS FINANCIAL SERVICES, INC.	18487	HAUPPAUGE, NY	03/17/2008 - 10/11/2024
B	ROYAL ALLIANCE ASSOCIATES, INC.	23131	HAUPPAUGE, NY	12/02/2002 - 03/19/2008

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 **49** 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	10/11/2024
B	FINRA	General Securities Representative	Approved	10/11/2024
B	FINRA	Municipal Fund	Approved	10/11/2024
B	Alabama	Agent	Approved	10/11/2024
B	Alaska	Agent	Approved	10/11/2024
B	Arizona	Agent	Approved	10/11/2024
B	Arkansas	Agent	Approved	10/11/2024
B	California	Agent	Approved	10/11/2024
IA	California	Investment Adviser Representative	Approved	10/11/2024
B	Colorado	Agent	Approved	10/11/2024
B	Connecticut	Agent	Approved	10/11/2024
IA	Connecticut	Investment Adviser Representative	Approved	10/11/2024
B	Delaware	Agent	Approved	10/11/2024



Qualifications

Regulator	Registration	Status	Date
B District of Columbia	Agent	Approved	10/11/2024
B Florida	Agent	Approved	10/11/2024
IA Florida	Investment Adviser Representative	Approved	02/20/2025
B Georgia	Agent	Approved	10/11/2024
IA Georgia	Investment Adviser Representative	Approved	10/11/2024
B Hawaii	Agent	Approved	10/11/2024
IA Hawaii	Investment Adviser Representative	Approved	10/11/2024
B Idaho	Agent	Approved	10/11/2024
B Illinois	Agent	Approved	10/11/2024
B Indiana	Agent	Approved	10/11/2024
B Kentucky	Agent	Approved	10/11/2024
B Louisiana	Agent	Approved	10/11/2024
IA Louisiana	Investment Adviser Representative	Approved	10/11/2024
B Maine	Agent	Approved	10/11/2024
B Maryland	Agent	Approved	10/11/2024
B Massachusetts	Agent	Approved	10/11/2024
IA Massachusetts	Investment Adviser Representative	Approved	03/07/2025
B Michigan	Agent	Approved	10/11/2024
B Minnesota	Agent	Approved	10/11/2024



Qualifications

	Regulator	Registration	Status	Date
B	Mississippi	Agent	Approved	10/11/2024
B	Missouri	Agent	Approved	03/10/2025
B	Montana	Agent	Approved	10/11/2024
B	Nebraska	Agent	Approved	10/11/2024
B	Nevada	Agent	Approved	10/11/2024
B	New Hampshire	Agent	Approved	10/11/2024
B	New Jersey	Agent	Approved	10/11/2024
IA	New Jersey	Investment Adviser Representative	Approved	05/08/2025
B	New Mexico	Agent	Approved	10/11/2024
B	New York	Agent	Approved	10/11/2024
IA	New York	Investment Adviser Representative	Approved	10/11/2024
B	North Carolina	Agent	Approved	10/11/2024
IA	North Carolina	Investment Adviser Representative	Approved	10/11/2024
B	North Dakota	Agent	Approved	02/10/2025
B	Ohio	Agent	Approved	10/11/2024
IA	Ohio	Investment Adviser Representative	Approved	05/08/2025
B	Oklahoma	Agent	Approved	10/11/2024
B	Oregon	Agent	Approved	10/11/2024
B	Pennsylvania	Agent	Approved	10/11/2024



Qualifications

Regulator	Registration	Status	Date
IA Pennsylvania	Investment Adviser Representative	Approved	10/11/2024
B Puerto Rico	Agent	Approved	10/11/2024
B Rhode Island	Agent	Approved	10/11/2024
IA Rhode Island	Investment Adviser Representative	Approved	10/11/2024
B South Carolina	Agent	Approved	10/11/2024
IA South Carolina	Investment Adviser Representative	Approved	10/11/2024
B Tennessee	Agent	Approved	10/11/2024
B Texas	Agent	Approved	10/11/2024
IA Texas	Investment Adviser Representative	Restricted Approval	02/20/2025
B Utah	Agent	Approved	10/11/2024
IA Utah	Investment Adviser Representative	Approved	10/11/2024
B Vermont	Agent	Approved	10/11/2024
B Virginia	Agent	Approved	10/11/2024
IA Virginia	Investment Adviser Representative	Approved	10/11/2024
B Washington	Agent	Approved	10/11/2024
B West Virginia	Agent	Approved	10/11/2024
B Wisconsin	Agent	Approved	10/11/2024
B Wyoming	Agent	Approved	10/11/2024



Qualifications

Branch Office Locations

OSAIC WEALTH, INC.
700 VETERANS MEMORIAL HWY
SUITE 307
HAUPPAUGE, NY 11788





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



Principal/Supervisory Exams

Exam	Category	Date
 Municipal Fund Securities Principal Examination (S51)	Series 51	04/16/2003
 General Securities Principal Examination (S24)	Series 24	02/18/2000

General Industry/Product Exams

Exam	Category	Date
 Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
 General Securities Representative Examination (S7)	Series 7	06/12/1995

State Securities Law Exams

Exam	Category	Date
 Uniform Investment Adviser Law Examination (S65)	Series 65	10/26/2000
 Uniform Securities Agent State Law Examination (S63)	Series 63	06/27/1995

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	03/31/2008 - 10/11/2024	AMERICAN PORTFOLIOS ADVISORS, INC	CRD# 112697	HOLBROOK, NY
B	03/17/2008 - 10/11/2024	AMERICAN PORTFOLIOS FINANCIAL SERVICES, INC.	CRD# 18487	HAUPPAUGE, NY
B	12/02/2002 - 03/19/2008	ROYAL ALLIANCE ASSOCIATES, INC.	CRD# 23131	HAUPPAUGE, NY
IA	12/09/2002 - 12/31/2004	PFA/PINNACLE FINANCIAL ADVISORS	CRD# 123235	EAST MEADOW, NY
IA	07/18/2002 - 12/02/2002	ASSET & FINANCIAL PLANNING, LTD	CRD# 110709	JERICO, NY
B	02/22/1999 - 12/02/2002	PRIME CAPITAL SERVICES, INC.	CRD# 18334	POUGHKEEPSIE, NY
B	09/26/1995 - 03/05/1999	DAVID LERNER ASSOCIATES, INC.	CRD# 5397	SYOSSET, NY
B	06/13/1995 - 09/11/1995	STRATTON OAKMONT INC.	CRD# 18692	LAKE SUCCESS, 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
10/2024 - Present	OSAIC WEALTH, INC.	Mass Transfer	Y	SCOTTSDALE, AZ, United States
12/2002 - Present	PINNACLE TAX ADVISORS, LLC	CERTIFIED TAX PREPARER	N	EAST MEADOW, NY, United States
03/2008 - 10/2024	AMERICAN PORTFOLIOS	REGISTERED REP	Y	HAUPPAUGE, NY, 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)INSURANCE - INSURANCE SALES IS NON SECURITIES RELATED STARTED IN OCT 2003. LIFE & LTC SALES DEVOTES



Registration & Employment History



OTHER BUSINESS ACTIVITIES

5 HRS PER MONTH; 2 HRS DURING MARKET HRS.

2) PINNACLE TAX ADVISORS

POSITION: PARTNER NATURE: INCOME TAX & ACCOUNTING SERVICES INVESTMENT RELATED: No NUMBER OF HOURS: 75 SECURITIES TRADING HOURS: 50 START DATE: 03/01/2003
ADDRESS: 700 Veterans Memorial Hwy Suit, Hauppauge NY 11788, United States
DESCRIPTION: INCOME TAX & ACCOUNTING SERVICES

3) SOUND CONSULTANT

POSITION: coach NATURE: BUSINESS AND LIFE COACH INVESTMENT RELATED: No NUMBER OF HOURS: 2
SECURITIES TRADING HOURS: 0 START DATE: 01/01/2018
ADDRESS: 700 Veterans Memorial Hwy Suite 307, HAUPPAUGE NY 11788, United States
DESCRIPTION: Life Coach

4) PREEMO PRODUCTIONS LLC

POSITION: MEMBER NATURE: ROCK CONCERT MUSIC PRODUCTION INVESTMENT RELATED: No NUMBER OF HOURS: 4
SECURITIES TRADING HOURS: 2 START DATE: 08/15/2015
ADDRESS: 700 Veterans Memorial Hwy Suite 307, Hauppauge NY 11788, United States
DESCRIPTION: Tribute Band Promotion and Production

5) CARE DESIGNS NEW YORK- CARE MANAGEMENT SERVICES FOR CHILDREN AND ADULTS WITH IDD INTELLECTUAL OR DEVELOPMENT DISABILITIES.

SECURITIES RELATED NO
START DATE 6/2019
BOARD MEMBER RR'S ACTIVITY POSITION AND % OWNERSHIP
HOURS DEVOTED PER MONTH-3 HOURS EVENINGS
HOURS DEVOTED TO DURING MARKET HOURS-ZERO

6) UCP OF LONG ISLAND

POSITION: Board Chair NATURE: Board Member INVESTMENT RELATED: No NUMBER OF HOURS: 2 SECURITIES TRADING HOURS: 0 START DATE: 05/01/2023
ADDRESS: 250 Marcus Ave, Hauppauge NY 11788, United States
DESCRIPTION: Board member for UCP of LI

7) PINNACLE TAXX ADVISORS

POSITION: Agent NATURE: INSURANCE - INSURANCE SALES INVESTMENT RELATED: No NUMBER OF HOURS: 2
SECURITIES TRADING HOURS: 2 START DATE: 03/01/2003
ADDRESS: 700 Veterans Memorial Hwy Suit, Hauppauge NY 11788, United States
DESCRIPTION: Insurance Sales and Service

8) FIXED INSURANCE

POSITION: Insurance Sales NATURE: Sole Proprietorship INVESTMENT RELATED: Yes NUMBER OF HOURS: 4 SECURITIES TRADING HOURS: 4 START DATE: 01/01/2003
ADDRESS: 700 Veterans Memorial Hwy Suite 307, Hauppauge NY 11788, United States
DESCRIPTION: Insurance Sales



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:	AMERICAN PORTFOLIOS FINANCIAL SERVICES
Allegations:	CLIENT CLAIMS NON-DISCLOSURE OF VA FEES SINCE BOTH CONTRACTS ISSUED ON 12/11/2012.
Product Type:	Annuity-Variable
Alleged Damages:	\$0.00
Alleged Damages Amount Explanation (if amount not exact):	CLIENT DID NOT SPECIFY AMOUNT BUT CONTRACT FEES APPEAR TO EXCEED \$5000.00 FOR BOTH CONTRACTS COMBINED.
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:	10/20/2014
Complaint Pending?	No
Status:	Denied
Status Date:	11/14/2014
Settlement Amount:	



Individual Contribution Amount:

Broker Statement

REPRESENTATIVE ANSWERED CLIENTS ELECTRONIC COMPLIANT. ADDITIONAL RESEARCH BY COMPLIANCE FOUND THAT ALL FEES WERE PROPERLY & TIMELY DISCLOSED AND THE CLIENTS COMPLAINT APPEARS TO HOLD NO MERIT.

Disclosure 2 of 2

Reporting Source:

Firm

Employing firm when activities occurred which led to the complaint:

PRIME CAPITAL SERVICES, INC.

Allegations:

MISREPRESENTATION

Product Type:

Annuity(ies) - Variable

Alleged Damages:

\$250,000.00

Customer Complaint Information

Date Complaint Received:

07/24/2001

Complaint Pending?

No

Status:

Arbitration/Reparation

Status Date:

03/18/2002

Settlement Amount:

Individual Contribution Amount:

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.:

NASD-DR CASE NUMBER 02-01360

Date Notice/Process Served:

03/18/2002

Arbitration Pending?

No

Disposition:

Settled

Disposition Date:

05/06/2003

Monetary Compensation Amount:

\$60,000.00

Individual Contribution Amount:

Reporting Source:

Individual

Employing firm when activities occurred which led to the complaint:

PRIME CAPITAL SERVICES, INC.

Allegations:

MISREPRESENTATION IN THE SALE OF VARIABLE ANNUITIES.

Product Type:

Annuity(ies) - Variable

Alleged Damages:

\$250,000.00



Customer Complaint Information

Date Complaint Received: 07/24/2001
Complaint Pending? No
Status: Arbitration/Reparation
Status Date: 03/18/2002
Settlement Amount:

Individual Contribution Amount:

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: NASD-DR CASE NUMBER 02-01360

Date Notice/Process Served: 03/18/2002

Arbitration Pending? No

Disposition: Settled

Disposition Date: 05/06/2003

Monetary Compensation Amount: \$60,000.00

Individual Contribution Amount: \$0.00

Broker Statement SETTLED IN MEDIATION. ALL CLAIMS AGAINST EDWARD LEVINE WERE WITHDRAWN AND DISMISSED WITH PREJUDICE BY CLIENT.



End of Report

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