



IAPD Report

BRIAN PAUL CONNOR

CRD# 2602637

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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

BRIAN PAUL CONNOR (CRD# 2602637)

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 **10/15/2025**.

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 **7** 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	VENICE, FL	04/09/2013 - 09/01/2023
B	SAGEPOINT FINANCIAL, INC.	133763	VENICE, FL	03/14/2013 - 09/01/2023
IA	ASSET & FINANCIAL PLANNING, LTD	110709	NOKOMIS, FL	06/16/2008 - 04/10/2013

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
Regulatory Event	1
Customer Dispute	3



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 7 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	09/01/2023
B	FINRA	Invest. Co and Variable Contracts	Approved	09/01/2023
B	Connecticut	Agent	Approved	09/01/2023
B	Florida	Agent	Approved	09/01/2023
IA	Florida	Investment Adviser Representative	Approved	09/01/2023
B	Maine	Agent	Approved	09/01/2023
B	Massachusetts	Agent	Approved	09/01/2023
B	Michigan	Agent	Approved	09/01/2023
B	Ohio	Agent	Approved	11/03/2023
B	Virginia	Agent	Approved	09/01/2023

Branch Office Locations

OSAIC WEALTH, INC.
VENICE, FL



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
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No information reported.

General Industry/Product Exams

Exam	Category	Date
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Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
General Securities Representative Examination (S7)	Series 7	10/24/2006
Investment Company Products/Variable Contracts Representative Examination (S6)	Series 6	02/21/2000

State Securities Law Exams

Exam	Category	Date
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Uniform Combined State Law Examination (S66)	Series 66	05/01/2008
Uniform Securities Agent State Law Examination (S63)	Series 63	09/25/2003

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	04/09/2013 - 09/01/2023	SAGEPOINT FINANCIAL, INC.	CRD# 133763	VENICE, FL
B	03/14/2013 - 09/01/2023	SAGEPOINT FINANCIAL, INC.	CRD# 133763	VENICE, FL
IA	06/16/2008 - 04/10/2013	ASSET & FINANCIAL PLANNING, LTD	CRD# 110709	NOKOMIS, FL
B	10/11/2005 - 04/10/2013	PRIME CAPITAL SERVICES, INC.	CRD# 18334	NOKOMIS, FL
IA	02/24/2000 - 08/31/2004	INTERSECURITIES, INC.	CRD# 16164	SARASOTA , FL
B	02/23/2000 - 08/31/2004	INTERSECURITIES, INC.	CRD# 16164	PHILADELPHIA, PA

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	VENICE, FL, United States
03/2013 - 09/2023	SAGEPOINT FINANCIAL	REGISTERED REPRESENTATIVE	N	NORTH PORT, FL, 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.

- ASSET WEALTH MANAGEMENT SERVICES INC.
 POSITION: President NATURE: Corporation INVESTMENT RELATED: Yes NUMBER OF HOURS: 120 SECURITIES TRADING HOURS: 120 START DATE: 12/12/2013
 ADDRESS: 9210 Falcon Ct, Venice FL 34293, United States
 DESCRIPTION: This corporation encompasses my duties as an RIAR and insurance representative and will replace Asset America Insurance Services as my existing corp. as of 1/01/2014



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
Regulatory Event	1
Customer Dispute	3

Regulatory Event

This disclosure event may include a final, formal proceeding initiated by a regulatory authority (e.g., a state securities agency, a federal regulator such as the Securities and Exchange Commission or the Commodities Futures Trading Commission, or a foreign financial regulatory body) for a violation of investment-related rules or regulations. This disclosure event may also include a revocation or suspension of an Investment Adviser Representative's authority to act as an attorney, accountant or federal contractor.

Disclosure 1 of 1

Reporting Source: Regulator

Regulatory Action Initiated By: NASD

Sanction(s) Sought:

Other Sanction(s) Sought:

Date Initiated: 04/29/2005

Docket/Case Number: [04-04166](#)

Employing firm when activity occurred which led to the regulatory action:

Product Type: No Product

Other Product Type(s):

Allegations: BRIAN P. CONNOR FAILED TO COMPLY WITH AN ARBITRATION AWARD OR SETTLEMENT AGREEMENT OR TO SATISFACTORILY RESPOND TO AN NASD REQUEST TO PROVIDE INFORMATION CONCERNING THE STATUS OF COMPLIANCE.

Current Status: Final

Resolution: Order

Resolution Date: 04/29/2005

Sanctions Ordered: Suspension

Other Sanctions Ordered:



Sanction Details: NASD REGISTRATION SUSPENDED APRIL 29, 2005 FOR FAILING TO COMPLY WITH AN ARBITRATION AWARD OR SETTLEMENT AGREEMENT IN ARBITRATION CASE #04-04166 OR TO SATISFACTORILY RESPOND TO AN NASD REQUEST TO PROVIDE INFORMATION CONCERNING THE STATUS OF COMPLIANCE.

Regulator Statement SUSPENSION LIFTED MAY 12, 2005.

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Reporting Source: Individual

Regulatory Action Initiated By: NASD

Sanction(s) Sought: Suspension

Other Sanction(s) Sought:

Date Initiated: 05/01/2005

Docket/Case Number: [04-04166](#)

Employing firm when activity occurred which led to the regulatory action: GLOBAL FINANCIAL ADVISORY

Product Type: Mutual Fund(s)

Other Product Type(s):

Allegations: NASD NEVER NOTIFIED BY COMPLIANCE DEPARTMENT OF GLOBAL FINANCIAL ADVISORY THAT AWARD WAS PAID ON TIME AND PROOF SUBMITTED OF THAT FACT.

Current Status: Final

Resolution: Other

Resolution Date: 07/01/2005

Broker Statement NASD SUSPENSION RESULTED FROM NOT BEING NOTIFIED THAT AWARD WAS PAID. PROOF OF PAYMENT WAS SENT TO NASD AFTER SUSPENSION RESULTING IN SUSPENSION BEING LIFTED.



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 3

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	PRIME CAPITAL SERVICES, INC.
Allegations:	CLIENT CLAIMS THAT THE RECOMMENDATION TO PURCHASE A VARIABLE ANNUITY AND TO INVEST IN A MANAGED BROKERAGE ACCOUNT IN FEBRUARY 2008 WERE UNSUITABLE.
Product Type:	Annuity-Variable Other: MANAGED ACCOUNT
Alleged Damages:	\$176,000.00
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:	02/02/2010
Complaint Pending?	No
Status:	Settled
Status Date:	04/06/2010
Settlement Amount:	\$10,000.00
Individual Contribution Amount:	\$1,861.00
Broker Statement	CLIENT, WITH LONG-TIME INVESTMENT EXPERIENCE, UNDERSTOOD HE WAS INVESTED IN THE SECURITIES MARKETS BUT NEVER THOUGHT HIS INVESTMENTS COULD DECLINE AS MUCH AS THEY DID. ACTIVE MANAGEMENT OF THE ACCOUNTS KEPT THE RESULTS WELL ABOVE INDEX AVERAGES DURING THE WORST ECONOMIC CONDITIONS SINCE THE DEPRESSION.

Disclosure 2 of 3

Reporting Source:	Regulator
Employing firm when activities occurred which led to the complaint:	INTERSECURITIES, INC.
Allegations:	FAILURE TO FOLLOW INSTRUCTIONS BY FAILING TO IMMEDIATELY TRANSFER AN IRA ACCOUNT WHEN REQUESTED, DUE TO LACK OF AUTHORIZATION



Product Type: Mutual Fund(s)

Other Product Type(s): ANNUITY

Alleged Damages: \$11,874.98

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: [NASD - CASE #04-04166](#)

Date Notice/Process Served: 06/10/2004

Arbitration Pending? No

Disposition: Award

Disposition Date: 01/31/2005

Disposition Detail: CONNOR ISLIABLE FOR \$8586.00 PLUS INTEREST

Reporting Source: Firm

Employing firm when activities occurred which led to the complaint: INTERSECURITIES, INC.

Allegations: REGARDING A PROPOSED VARIABLE ANNUITY PURCHASE IN AUGUST 2002, THE CUSTOMER ALLEGES SHE SUFFERED LOSSES TO HER MUTUAL FUNDS DUE TO PROCESSING AND DELAYS INCURRED AS A RESULT OF THE REPRESENTATIVE'S OVERSIGHTS AND/OR OMISSION IN OBTAINING ALL THE NECESSARY REQUIRED AUTHORIZATION.

Product Type: Mutual Fund(s)

Other Product Type(s): VARIABLE ANNUITY

Alleged Damages: \$11,874.00

Customer Complaint Information

Date Complaint Received: 02/04/2003

Complaint Pending? No

Status: Arbitration/Reparation

Status Date: 06/21/2004

Settlement Amount:

Individual Contribution Amount:

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: [NASD ARBITRATION NO. 04-04166](#)

Date Notice/Process Served: 06/21/2004

Arbitration Pending? No

Disposition: Award to Customer

Disposition Date: 02/16/2005



Monetary Compensation Amount: \$12,752.36

Individual Contribution Amount: \$9,564.27

Firm Statement CLIENT WAS AWARDED A TOTAL OF \$11,448 PLUS INTEREST AT 3% PER ANNUM FROM 7/1/02-12/30/04 ALONG WITH THE \$425 IN FILING FEES. THE REPRESENTATIVE WAS RESPONSIBLE FOR \$8,586 PLUS INTEREST AT 3% PER ANNUM FROM 7/1/02-12/30/04 ALONG WITH \$318.75 FOR FILING FEES. ISI WAS LIABLE FOR THE REMAINING AMOUNT.

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Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: INTERSECURITIES, INC.

Allegations: REGARDING A PROPOSED VARIABLE ANNUITY PURCHASE IN AUGUST 2002, THE CUSTOMER ALLEGES SHE SUFFERED LOSSES TO HER MUTUAL FUNDS DUE TO PROCESSING AND DELAYS INCURRED AS A RESULT OF THE REPRESENTATIVE'S OVERSIGHTS AND/OR OMISSION IN OBTAINING ALL THE NECESSARY REQUIRED AUTHORIZATION.

Product Type: Mutual Fund(s)

Other Product Type(s): VARIABLE ANNUITY

Alleged Damages: \$11,874.00

Customer Complaint Information

Date Complaint Received: 02/04/2003

Complaint Pending? No

Status: Arbitration/Reparation

Status Date: 02/16/2005

Settlement Amount:

Individual Contribution Amount:

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: [NASD DISPUTE RESOLUTION ARBITRATION NO. 04-04166](#)

Date Notice/Process Served: 02/16/2005

Arbitration Pending? No

Disposition: Award to Customer

Disposition Date: 02/16/2005

Monetary Compensation Amount: \$11,448.00

Individual Contribution Amount: \$9,382.15



Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: INTERSECURITIES, INC.

Allegations: REGARDING THE PURCHASE OF TWO VARIABLE ANNUITIES IN MAY OF 2002, THE CUSTOMER ALLEGES THE CONTRACTS ARE UNSUITABLE AND DOES NOT NEED THE TAX DEFERRAL AND THE HIGHER COSTS AFFILIATED WITH A VARIABLE ANNUITY.

Product Type: Annuity(ies) - Variable

Alleged Damages: \$413,857.00

Customer Complaint Information

Date Complaint Received: 07/15/2002

Complaint Pending? No

Status: Denied

Status Date: 08/16/2002

Settlement Amount:

Individual Contribution Amount:

Broker Statement AFTER A REVIEW OF THE CLIENT'S FILE, THE REPRESENTATIVE'S RESPONSE AND THE ISSUING INSURANCE COMPANY REGARDING THIS MATTER, IT APPEARS THE POLICIES WERE ACCURATELY AND HONESTLY PRESENTED AND THE CUSTOMER HAD SUFFICIENT INFORMATION TO MAKE AN INFORMED DECISION. COMPLAINT DENIED.



End of Report

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