



IAPD Report

MATTHEW SCOTT STEGMAN

CRD# 2678939

<u>Section Title</u>	<u>Page(s)</u>
Report Summary	1
Qualifications	2 - 5
Registration and Employment History	6 - 7
Disclosure Information	8



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

MATTHEW SCOTT STEGMAN (CRD# 2678939)

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 **04/09/2026**.

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 **33** 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	SPRING HILL, FL	04/12/2012 - 09/01/2023
B	SAGEPOINT FINANCIAL, INC.	133763	SPRING HILL, FL	09/22/2011 - 09/01/2023
B	FSC SECURITIES CORPORATION	7461	ATLANTA, GA	09/22/2011 - 08/04/2014

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
Criminal	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 **33** 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	09/01/2023
B	FINRA	General Securities Representative	Approved	09/01/2023
B	FINRA	General Securities Sales Supervisor	Approved	09/01/2023
B	FINRA	Invest. Co and Variable Contracts	Approved	09/01/2023
B	Alabama	Agent	Approved	03/06/2025
B	Arizona	Agent	Approved	09/01/2023
B	Arkansas	Agent	Approved	10/14/2024
B	California	Agent	Approved	09/01/2023
B	Colorado	Agent	Approved	09/01/2023
B	Florida	Agent	Approved	09/01/2023
IA	Florida	Investment Adviser Representative	Approved	09/01/2023
B	Georgia	Agent	Approved	09/01/2023
B	Illinois	Agent	Approved	09/01/2023



Qualifications

Regulator	Registration	Status	Date
B Indiana	Agent	Approved	10/11/2024
B Iowa	Agent	Approved	09/01/2023
B Kansas	Agent	Approved	09/01/2023
B Kentucky	Agent	Approved	09/01/2023
B Maine	Agent	Approved	09/01/2023
B Maryland	Agent	Approved	09/01/2023
B Mississippi	Agent	Approved	04/24/2025
B Missouri	Agent	Approved	09/01/2023
B New Hampshire	Agent	Approved	09/01/2023
B New Mexico	Agent	Approved	10/15/2024
B New York	Agent	Approved	09/01/2023
B North Carolina	Agent	Approved	09/01/2023
B Ohio	Agent	Approved	09/01/2023
B Oklahoma	Agent	Approved	09/01/2023
B Oregon	Agent	Approved	09/01/2023
B Pennsylvania	Agent	Approved	06/03/2024
B Puerto Rico	Agent	Approved	04/24/2026
B South Carolina	Agent	Approved	09/01/2023
B Tennessee	Agent	Approved	02/12/2026



Qualifications

Regulator	Registration	Status	Date
B Texas	Agent	Approved	09/01/2023
B Vermont	Agent	Approved	04/09/2026
B Virginia	Agent	Approved	09/01/2023
B Washington	Agent	Approved	04/09/2026
B West Virginia	Agent	Approved	09/01/2023
B Wisconsin	Agent	Approved	09/01/2023

Branch Office Locations

OSAIC WEALTH, INC.
17348 NICASIO JAY AVENUE
WEEKI WACHEE, FL 34614-0400






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




Principal/Supervisory Exams

Exam	Category	Date
 General Securities Sales Supervisor - General Module Examination (S10)	Series 10	04/14/2009
 General Securities Sales Supervisor - Options Module Examination (S9)	Series 9	03/06/2009
 General Securities Principal Examination (S24)	Series 24	06/07/2007

General Industry/Product Exams

Exam	Category	Date
 Investment Company Products/Variable Contracts Representative Examination (S6TO)	Series 6TO	01/02/2023
 Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
 General Securities Representative Examination (S7)	Series 7	04/11/2007

State Securities Law Exams

Exam	Category	Date
  Uniform Combined State Law Examination (S66)	Series 66	04/09/2012
 Uniform Securities Agent State Law Examination (S63)	Series 63	03/13/2009

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	04/12/2012 - 09/01/2023	SAGEPOINT FINANCIAL, INC.	CRD# 133763	SPRING HILL, FL
B	09/22/2011 - 09/01/2023	SAGEPOINT FINANCIAL, INC.	CRD# 133763	SPRING HILL, FL
B	09/22/2011 - 08/04/2014	FSC SECURITIES CORPORATION	CRD# 7461	ATLANTA, GA
B	09/22/2011 - 08/04/2014	ROYAL ALLIANCE ASSOCIATES, INC.	CRD# 23131	SCOTTSDALE, AZ
B	02/20/2009 - 08/30/2011	EDWARD JONES	CRD# 250	SAN FRANCISCO, CA
B	04/12/2007 - 02/11/2009	SAGEPOINT FINANCIAL, INC.	CRD# 133763	SCOTTSDALE, AZ
B	04/02/1997 - 12/31/2002	CHARLES SCHWAB & CO., INC.	CRD# 5393	WESTLAKE, TX

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.	OSJ	Y	SPRING HILL, FL, United States
01/2019 - 09/2023	SAGEPOINT FINANCIAL, INC.	OSJ	Y	SPRING HILL, FL, United States
09/2011 - 01/2019	SAGEPOINT FINANCIAL	HOME OFFICE	Y	PHOENIX, AZ, 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. FLORIDAFIN

POSITION: President NATURE: S Corp INVESTMENT RELATED: Yes NUMBER OF HOURS: 10 SECURITIES TRADING HOURS: 8 START DATE: 01/14/2019

ADDRESS: 5327 Commercial Way, Ste D120, Spring Hill FL 34606, United States

DESCRIPTION: When reviewing accounts with my clients, I may review insurance and provide insurance recommendations and/or sell insurance



Registration & Employment History



OTHER BUSINESS ACTIVITIES

2. GLMGA

POSITION: Treasurer NATURE: Non-Profit.

GlenLakes Men's Golf Association INVESTMENT RELATED: No NUMBER OF HOURS: 1 SECURITIES TRADING HOURS: 0

START DATE: 04/15/2025

ADDRESS: 10485 GlenLakes Blvd, Weeki Wachee FL 34613, United States

DESCRIPTION: Consolidate and keep the records for the Account. I explained to the other board members that I cannot have access to or access check writing. The President and Secretary agreed to write checks on the account going forward.



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
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Criminal	1
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Criminal

This disclosure event involves a criminal charge against the Investment Adviser Representative that has resulted in a dismissal, plea, acquittal or conviction. The criminal matter may relate to any felony or certain misdemeanor offenses (e.g., bribery, perjury, forgery, counterfeiting, extortion, fraud, wrongful taking of property).

Disclosure 1 of 1

Reporting Source:	Individual
Formal Charges were brought in:	State Court
Name of Court:	Fifth Circuit Court in the State of Florida
Location of Court:	Hernando County
Docket/Case #:	2020-CF-0006748-A-A
Charge Date:	04/25/2020
Charge(s) 1 of 1	
Formal Charge(s)/Description:	Charged with aggravated assault with a deadly weapon which was dropped immediately after the prosecutor heard the 911 call I made. See further explanation below. All 10 counts are the same charge and the same date.
No of Counts:	10
Felony or Misdemeanor:	Felony
Plea for each charge:	All Charges were dropped
Disposition of charge:	Dismissed
Current Status:	Final
Status Date:	06/09/2020
Disposition Date:	06/09/2020
Sentence/Penalty:	Charges were dropped completely.
Broker Statement	I was on my property with a legally owned gun and confronted trespassers. They cornered me and I called 911. The Sherrif did not believe it was my property and arrested me. Later all 10 of the people accusing me were sited for trespassing and all charges were dropped against me The attorney stated that I could even sue the county; however, I'm not a litigious person. I did not think I need to disclose as I



ultimately was not charged and everything was dropped.



End of Report

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