



## IAPD Report

# THOMAS JOHN SANTUCCI

CRD# 2692668

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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

### THOMAS JOHN SANTUCCI (CRD# 2692668)

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 **04/27/2026**.

### CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
<b>B</b>	OSAIC WEALTH, INC.	CRD# 23131	08/13/2004
<b>IA</b>	OSAIC WEALTH, INC.	CRD# 23131	04/26/2021

### QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **42** 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>B</b>	UBS FINANCIAL SERVICES INC.	8174	WEEHAWKEN, NJ	01/28/2000 - 09/10/2004
<b>B</b>	SALOMON SMITH BARNEY INC.	7059	NEW YORK, NY	01/30/1996 - 02/03/2000

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	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 **42** 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>B</b> FINRA	General Securities Representative	Approved	08/13/2004
<b>B</b> FINRA	General Securities Principal	Approved	06/22/2005
<b>B</b> FINRA	Registered Options Principal	Approved	10/06/2005
<b>B</b> FINRA	Municipal Securities Principal	Approved	03/06/2006
<b>B</b> FINRA	Municipal Securities Representative	Approved	03/06/2006
<b>B</b> Alabama	Agent	Approved	08/10/2006
<b>B</b> Arizona	Agent	Approved	08/10/2006
<b>B</b> California	Agent	Approved	08/13/2004
<b>B</b> Colorado	Agent	Approved	08/13/2004
<b>B</b> Connecticut	Agent	Approved	01/04/2006
<b>B</b> Delaware	Agent	Approved	08/10/2006
<b>B</b> District of Columbia	Agent	Approved	08/13/2004
<b>B</b> Florida	Agent	Approved	08/13/2004



### Qualifications

Regulator	Registration	Status	Date
IA Florida	Investment Adviser Representative	Approved	03/04/2024
B Georgia	Agent	Approved	08/10/2006
B Idaho	Agent	Approved	03/14/2011
B Illinois	Agent	Approved	08/10/2006
B Iowa	Agent	Approved	05/19/2025
B Kansas	Agent	Approved	05/19/2025
B Maine	Agent	Approved	08/10/2006
B Maryland	Agent	Approved	08/13/2004
B Massachusetts	Agent	Approved	08/13/2004
B Michigan	Agent	Approved	08/10/2006
B Minnesota	Agent	Approved	08/10/2006
B Mississippi	Agent	Approved	08/10/2006
B Missouri	Agent	Approved	01/24/2006
B Montana	Agent	Approved	05/19/2025
B Nebraska	Agent	Approved	05/19/2025
B Nevada	Agent	Approved	08/10/2006
B New Hampshire	Agent	Approved	08/10/2006
B New Jersey	Agent	Approved	08/13/2004
IA New Jersey	Investment Adviser Representative	Approved	07/09/2024



### Qualifications

Regulator	Registration	Status	Date
B New Mexico	Agent	Approved	08/10/2006
B New York	Agent	Approved	08/13/2004
IA New York	Investment Adviser Representative	Approved	04/26/2021
B North Carolina	Agent	Approved	08/11/2006
IA North Carolina	Investment Adviser Representative	Approved	12/11/2024
B Ohio	Agent	Approved	08/11/2006
B Oklahoma	Agent	Approved	08/10/2006
B Oregon	Agent	Approved	03/14/2011
B Pennsylvania	Agent	Approved	08/13/2004
IA Pennsylvania	Investment Adviser Representative	Approved	03/04/2024
B Puerto Rico	Agent	Approved	08/10/2006
B Rhode Island	Agent	Approved	08/10/2006
B South Carolina	Agent	Approved	08/10/2006
IA South Carolina	Investment Adviser Representative	Approved	03/14/2024
B Tennessee	Agent	Approved	01/26/2026
B Texas	Agent	Approved	08/10/2006
B Utah	Agent	Approved	07/28/2023
B Vermont	Agent	Approved	05/19/2025
B Virginia	Agent	Approved	03/15/2006



### Qualifications

Regulator	Registration	Status	Date
<b>B</b> Washington	Agent	Approved	01/13/2006
<b>B</b> Wisconsin	Agent	Approved	08/10/2006

### Branch Office Locations

**OSAIC WEALTH, INC.**  
390 OLD COUNTRY ROAD  
2ND FLOOR  
GARDEN CITY, NY 11530

**OSAIC WEALTH, INC.**  
183 Old Tappan Road  
Old Tappan, NJ 07675






## 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
 Municipal Securities Principal Examination (S53)	Series 53	03/05/2006
 Registered Options Principal Examination (S4)	Series 4	10/05/2005
 General Securities Principal Examination (S24)	Series 24	06/21/2005

#### General Industry/Product Exams

Exam	Category	Date
 Municipal Securities Representative Examination (S52TO)	Series 52TO	09/25/2025
 Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
 General Securities Representative Examination (S7)	Series 7	01/29/1996

#### State Securities Law Exams

Exam	Category	Date
 Uniform Investment Adviser Law Examination (S65)	Series 65	02/09/1996
 Uniform Securities Agent State Law Examination (S63)	Series 63	02/02/1996

### 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	01/28/2000 - 09/10/2004	UBS FINANCIAL SERVICES INC.	CRD# 8174	WEEHAWKEN, NJ
B	01/30/1996 - 02/03/2000	SALOMON SMITH BARNEY INC.	CRD# 7059	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
08/2004 - Present	OSAIC WEALTH, INC.	FINANCIAL ADVISOR	Y	GARDEN CITY, 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. THOMAS J SANTUCCI

POSITION: Owner NATURE: Sale of insurance products INVESTMENT RELATED: Yes NUMBER OF HOURS: 50 SECURITIES TRADING HOURS: 50 START DATE: 08/01/2004 ADDRESS: 390 Old Country Rd Fl 2, Garden City NY 11530-1883, United States DESCRIPTION: Insurance products including life insurance and variable annuities

2. INVESTMENT ADVISORY SERVICES, INVESTMENT-RELATED, ROYAL ALLIANCE ASSOC., INC, 390 Old Country Road, 2nd Floor, GARDEN CITY, NY 11530, STATUTORY AGENT, STARTED THIS ACTIVITY: AUGUST 16, 2004, 20 HRS. P/MTH, 20 HRS. P/MTH/TD, OFFER CLIENTS INVESTMENT ADVISORY SERVICES, INCLUDING THE USE OF MONEY MANAGERS.

3. GATEWAY INVESTMENTS, LLC; 390 Old Country Road, 2nd Floor, GARDEN CITY, NEW YORK 11530; MANAGING EXECUTIVE; STARTED AUGUST 2004

4. BOYS & GIRLS CLUB OF METRO QUEENS

POSITION: Board Member - NATURE: Non-Profit - INVESTMENT RELATED: No NUMBER OF HOURS: 5 SECURITIES TRADING HOURS: 0 START DATE: 06/01/2005 ADDRESS: 110-04 Atlantic Ave Richmond Hill, NY 11419, Richmond Hill NY 11419, United States; DESCRIPTION: Member of the Board of Directors. Responsible for oversight of programs and budget process.

5. QUEENS CHAMBER OF COMMERCE

POSITION: Board of Member NATURE: Corporation - INVESTMENT RELATED: No NUMBER OF HOURS: 10 SECURITIES TRADING HOURS: 0 START DATE: 05/01/2018 ADDRESS: 75-20 Astoria Blvd Jackson Heights, NY 11370, Jackson Heights NY 11370, United States DESCRIPTION: As a Board Member, oversee program activities of the organization.



## Registration & Employment History



### OTHER BUSINESS ACTIVITIES

#### 7. GATEWAY UNIVERSAL, LLC

POSITION: President NATURE: Real estate management INVESTMENT RELATED: Yes NUMBER OF HOURS: 1 SECURITIES TRADING HOURS: 0 START DATE: 06/01/2016  
ADDRESS: 51 Nassau Blvd, Garden City NY 11530, United States  
DESCRIPTION: Manage and purchase real estate

#### 8. CLINCO PROPERTIES, LLC

POSITION: President NATURE: Real estate ownership INVESTMENT RELATED: Yes NUMBER OF HOURS: 1 SECURITIES TRADING HOURS: 0 START DATE: 10/01/2020  
ADDRESS: 51 Nassau Blvd, Garden City NY 11530, United States  
DESCRIPTION: Passive real estate investment

#### 9. FINRA HEARING OFFICER

POSITION: Hearing Officer NATURE: I serve as a hearing officer for the Financial Regulatory Authority. INVESTMENT RELATED: Yes NUMBER OF HOURS: 10 SECURITIES TRADING HOURS: 10 START DATE: 07/18/2022  
ADDRESS: 390 Old Country Road, Garden City NY 11530, United States  
DESCRIPTION: Serve as a hearing officer for FINRA disciplinary hearings. This activity is not subject to regular hours, and I generally serve when available.

#### 10. MEDISYS HEALTH NETWORK

POSITION: Director NATURE: Corporation INVESTMENT RELATED: No NUMBER OF HOURS: 10 SECURITIES TRADING HOURS: 4 START DATE: 09/19/2023  
ADDRESS: 8900 Van Wyck Expressway, Jamaica NY 11419, United States  
DESCRIPTION: Member of the Board of Directors of a healthcare institution.



## 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	1

### 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 1

<b>Reporting Source:</b>	Firm
<b>Employing firm when activities occurred which led to the complaint:</b>	SMITH BARNEY
<b>Allegations:</b>	CLIENT ALLEGED THAT A STOCK WAS SOLD IN HER ACCOUNT WITHOUT HER AUTHORIZATION ALLEGED DAMAGES UNSPECIFIED BUT IN EXCESS OF \$5,000 SMITH BARNEY INC.
<b>Product Type:</b>	Other: NONE
<b>Alleged Damages:</b>	\$0.00
<b>Is this an oral complaint?</b>	No
<b>Is this a written complaint?</b>	Yes
<b>Is this an arbitration/CFTC reparation or civil litigation?</b>	No

### Customer Complaint Information

<b>Date Complaint Received:</b>	05/07/1999
<b>Complaint Pending?</b>	No
<b>Status:</b>	Denied
<b>Status Date:</b>	07/08/1999
<b>Settlement Amount:</b>	

**Individual Contribution Amount:**  
.....



**Reporting Source:** Individual

**Employing firm when activities occurred which led to the complaint:** SMITH BARNEY

**Allegations:** CLIENT ALLEGED THAT A STOCK WAS SOLD IN HER ACCOUNT WITHOUT HER AUTHORIZATION ALLEGED DAMAGES UNSPECIFIED BUT IN EXCESS OF \$5,000 SMITH BARNEY INC

**Product Type:**

**Alleged Damages:**

**Customer Complaint Information**

**Date Complaint Received:** 05/07/1999

**Complaint Pending?** Yes

**Settlement Amount:**

**Individual Contribution Amount:**

**Broker Statement** PENDING  
NOT PROVIDED



## End of Report

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