IAPD Report

STEVEN WAYNE STREMICK

CRD# 2737392

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

STEVEN WAYNE STREMICK (CRD# 2737392)

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 **12/18/2025**.

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 1 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	SAGEPOINT FINANCIAL, INC.	133763	FARGO, ND	10/31/2008 - 09/01/2023
IA	SAGEPOINT FINANCIAL, INC.	133763	FARGO, ND	10/31/2008 - 09/01/2023
IA	AMERICAN GENERAL SECURITIES INCORPORATED	13626	FARGO, ND	07/07/1999 - 10/31/2008

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	3
Judgment/Lien	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 **1** 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	North Dakota	Agent	Approved	09/01/2023
IA	North Dakota	Investment Adviser Representative	Approved	09/01/2023

Branch Office Locations

OSAIC WEALTH, INC.
1155 13TH AVENUE SOUTH
FARGO, ND 58103-4135

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

Principal/Supervisory Exams

Exam	Category	Date
No information reported.		

General Industry/Product Exams

	Exam	Category	Date
B	Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
B	General Securities Representative Examination (S7)	Series 7	05/29/1996

State Securities Law Exams

	Exam	Category	Date
IA	Uniform Investment Adviser Law Examination (S65)	Series 65	07/17/1996
B	Uniform Securities Agent State Law Examination (S63)	Series 63	06/05/1996

PROFESSIONAL DESIGNATIONS

This section details that the representative has reported **0** professional designation(s).

No information reported.

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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	10/31/2008 - 09/01/2023	SAGEPOINT FINANCIAL, INC.	CRD# 133763	FARGO, ND
IA	10/31/2008 - 09/01/2023	SAGEPOINT FINANCIAL, INC.	CRD# 133763	FARGO, ND
IA	07/07/1999 - 10/31/2008	AMERICAN GENERAL SECURITIES INCORPORATED	CRD# 13626	FARGO, ND
B	06/15/1999 - 10/31/2008	AMERICAN GENERAL SECURITIES INCORPORATED	CRD# 13626	FARGO, ND
B	12/18/1998 - 06/14/1999	CAMBRIDGE INVESTMENT RESEARCH, INC.	CRD# 39543	FAIRFIELD, IA
B	11/17/1998 - 11/20/1998	WASHINGTON SQUARE SECURITIES, INC.	CRD# 2882	WINDSOR, CT
B	10/14/1996 - 10/07/1998	PAINEWEBBER INCORPORATED	CRD# 8174	WEEHAWKEN, NJ
B	07/10/1996 - 09/17/1996	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	CRD# 7691	NEW YORK, NY
B	05/30/1996 - 06/17/1996	FINANCIAL ADVANTAGE BROKERAGE SERVICES, INC	CRD# 37027	GREENWOOD VILLAGE

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	FARGO, ND, United States
06/1999 - Present	AMERICAN GENERAL SECURITIES INCORPORATED	REGISTERED REPRESENTATIVE	Y	FARGO, ND, United States
09/1998 - Present	SELECT FINANCIAL SERVICES, LTD	OWNER	Y	FARGO, ND, United States
01/2009 - 09/2023	SAGEPOINT FINANCIAL, INC.	REGISTERED REP	Y	PHOENIX, AZ, United States

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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. MAXX MEDIA GROUP, LLC
POSITION: NON NATURE: LLC INVESTMENT RELATED: NO NUMBER OF HOURS: 0 INVESTMENT RELATED HOURS: 0 START DATE: 11/02/2014
ADDRESS: 9532 STATE ROAD, UNIT B, PHILADELPHIA PA 19114
DESCRIPTION: I DO NOTHING. I AM NOT INVOLVED THE MANGEMENT OR DAY TO DAY OPERATIONS OF THE COMPANY.

2. SWISH PROPERTIES, LLC
POSITION: Owner NATURE: LLC INVESTMENT RELATED: Yes NUMBER OF HOURS: 3 SECURITIES TRADING HOURS: 0 START DATE: 09/08/2015
ADDRESS: 1155 13th Ave s, Fargo ND 58103
DESCRIPTION: Rent properties and collect rent

3. STREMICK AND JOHNSON
POSITION: Managing Partner NATURE: Partnership INVESTMENT RELATED: No NUMBER OF HOURS: 5 SECURITIES TRADING HOURS: 0 START DATE: 12/21/2010
ADDRESS: 1155 13th Ave South, Fargo ND 58103, United States
DESCRIPTION: Own and operate farming and ranching operations throughout the US and Canada as well as purchase and disposal of farm and ranch land and mineral leases

4. SELECT FINANCIAL SERVICES, LTD
POSITION: Owner NATURE: Sole Proprietorship INVESTMENT RELATED: Yes NUMBER OF HOURS: 5 SECURITIES TRADING HOURS: 5 START DATE: 12/21/2010
ADDRESS: 1155 13th Ave South, Fargo ND 58103, United States
DESCRIPTION: Insurance services of all types

5. FIVE STAR
POSITION: Partner NATURE: LLC INVESTMENT RELATED: No NUMBER OF HOURS: 0 SECURITIES TRADING HOURS: 0 START DATE: 06/01/2003
ADDRESS:
DESCRIPTION: Owner's duties

6. NORTH DAKOTA EDUCATIONAL SEMINARS
POSITION: Partner NATURE: LLC INVESTMENT RELATED: No NUMBER OF HOURS: 7 SECURITIES TRADING HOURS: 0 START DATE: 05/01/2003
ADDRESS: 1155 13th Ave South, Fargo ND 58103, United States
DESCRIPTION: Teach educational financial seminars for North Dakota State University

7. STEVIN STREMICK
POSITION: Owner NATURE: Sole Proprietorship INVESTMENT RELATED: No NUMBER OF HOURS: 5 SECURITIES TRADING HOURS: 0 START DATE: 05/01/2003
ADDRESS: 1155 13th Ave South, Fargo ND 58103, United States
DESCRIPTION: I analyze pro forma analysis to determine optimal cash flow, assist with manufacturing processes and methodologies.

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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.

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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	3
Judgment/Lien	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 3

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	AMERICAN GENERAL SECURITIES INCORPORATED (N/K/A SAGEPOINT FINANCIAL, INC.)
Allegations:	CUSTOMER ALLEGED INVESTMENT IN REIT IN AUGUST 2005 WAS MISREPRESENTED.
Product Type:	Real Estate Security
Alleged Damages:	$0.00
Alleged Damages Amount Explanation (if amount not exact):	ALLEGED DAMAGES ARE BELIEVED TO EXCEED $5,000.
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:	04/29/2013
Complaint Pending?	No
Status:	Denied
Status Date:	05/30/2013

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Settlement Amount:

Individual Contribution Amount:

Broker Statement THIS CLAIMANT PURCHASED A REIT IN 2005 AND WAS EXTREMELY PLEASED WITH THE PRODUCT. SHE THEN MOVED HER ACCOUNT TO ANOTHER BROKER/DEALER IN 2007. HOWEVER, WITH THE SYSTEMIC COLLAPSE OF THE REAL ESTATE MARKET IN 2008, THIS CLAIMANT NOW SUDDENLY DISLIKED THE PRODUCT AND ASSERTED THAT SHE DID NOT UNDERSTAND THE RISK OF THE REAL ESTATE MARKET. I HAVE VEHEMENTLY DENIED ALL ALLEGATIONS THAT I DID NOT PROPERLY PRESENT THE POTENTIAL RISKS OF REAL ESTATE. ON PAGE 4 OF THE SUBSCRIPTION AGREEMENT THE LANGUAGE CLEARLY STATES THAT THIS WAS A SPECULATIVE INVESTMENT INVOLVING A SUBSTANTIAL DEGREE OF RISK OF LOSS OF THE CLAIMANT'S ENTIRE INVESTMENT. I INTEND TO FIGHT THIS CLAIM UNTIL IT IS DROPPED OR DISMISSED.

Disclosure 2 of 3

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: AMERICAN GENERAL SECURITIES INCORPORATED

Allegations: ALLEGES REGISTERED REPRESENTATIVE SOLD EATON VANCE TAX MANAGED GROWTH CLASS C SHARES ON 02/13/2003 WITHOUT HER AUTHORIZATION RESULTING IN A LOSS OF $6098.67; CLIENT WROTE A CHECK FOR $15000.00 AGAINST HER BROKERAGE ACCOUNT BUT WAS UNAWARE HER MARGIN AGREEMENT WAS NOT IN EFFCT. RR STATES HE WAS UNABLE TO CONTACT THE CLIENT AND SOLD SHARES TO HONOR HER CHECK WHICH THE CLIENT WROTE TO PURCHASE A HOUSE. FIRM LATER REVERSED LIQUIDATION OF $15,000.00 IN SHARES AND IMPLEMENTED MARGIN ON HER ACCOUNT; WILL RESTORE REMAINING 45 SHARES, PENDING SIGNED RELEASE FROM CLIENT.

Product Type: Mutual Fund(s)

Alleged Damages: $6,098.67

Customer Complaint Information

Date Complaint Received: 06/23/2004

Complaint Pending? No

Status: Withdrawn

Status Date: 07/30/2004

Settlement Amount: $0.00

Individual Contribution Amount: $0.00

Broker Statement THE EVENTS THAT LEAD UP TO THE COMPLAINT INVOLVED A B/D BACKOFFICE OPERATIONAL ERROR THAT RESULTED IN THE FIRM'S FAILURE TO SET UP THE ACCOUNT FOR MARGIN DESPITE THE FACT THAT A SIGNED MARGIN AGREEMENT HAD BEEN SUBMITTED ON THREE OCCASIONS.

Disclosure 3 of 3

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Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	PAINEWEBBER INCORPORATED
Allegations:	CLIENT ALLEGES THAT MR. STREMICK GAVE HIM MISINFORMATION REGARDING BSX STOCK. CLIENT FURTHER ALLEGES AN UNAUTHORIZED BY FOR PHILLIP MORRIS. DATE AND DAMAGES NOT SPECIFIED.
Product Type:	
Alleged Damages:	

Customer Complaint Information

Date Complaint Received:	11/07/1997
Complaint Pending?	No
Status:	Settled
Status Date:	12/10/1997
Settlement Amount:	$1,920.00
Individual Contribution Amount:	
Broker Statement	PAINE WEBBER SETTLED THIS CLAIM FOR $1,920.00 NOT PROVIDED

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Judgment/Lien

This disclosure event involves an unsatisfied and outstanding judgment or lien against the Investment Adviser Representative.

Disclosure 1 of 1

Reporting Source:	Individual
Judgment/Lien Holder:	SMALL CLAIMS JUDGMENT - FARGO ND
Judgment/Lien Amount:	$3,739.00
Judgment/Lien Type:	Civil
Date Filed with Court:	11/10/2021
Date Individual Learned:	02/06/2024
Type of Court:	State Court
Name of Court:	EAST CENTRAL JUDICIAL DISTRICT COURT
Location of Court:	NORTH DAKOTA
Docket/Case #:	0024522623923
Judgment/Lien Outstanding?	Yes

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End of Report

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