IAPD Report

MATTHEW ONEAL DAVIS

CRD# 2738222

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 ONEAL DAVIS (CRD# 2738222)

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 **02/09/2026**.

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 **25** 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	PLANO, TX	10/31/2008 - 09/01/2023
IA	SAGEPOINT FINANCIAL, INC.	133763	PLANO, TX	10/31/2008 - 09/01/2023
B	AMERICAN GENERAL SECURITIES INCORPORATED	13626	PLANO, TX	10/01/2002 - 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
Regulatory Event	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 **25** 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	FINRA	Investment Co./Variable Contracts Prin	Approved	09/01/2023
B	Alabama	Agent	Approved	09/01/2023
B	Arizona	Agent	Approved	09/01/2023
B	Arkansas	Agent	Approved	09/01/2023
B	California	Agent	Approved	09/01/2023
B	Colorado	Agent	Approved	09/01/2023
B	Florida	Agent	Approved	09/01/2023
B	Georgia	Agent	Approved	09/01/2023
B	Illinois	Agent	Approved	09/01/2023
B	Indiana	Agent	Approved	09/01/2023
B	Kansas	Agent	Approved	09/01/2023

Qualifications

	Regulator	Registration	Status	Date
B	Louisiana	Agent	Approved	09/01/2023
B	Minnesota	Agent	Approved	09/01/2023
B	Missouri	Agent	Approved	09/01/2023
B	New Hampshire	Agent	Approved	09/01/2023
B	New Mexico	Agent	Approved	09/01/2023
B	New York	Agent	Approved	09/01/2023
B	North Carolina	Agent	Approved	09/01/2023
B	Oklahoma	Agent	Approved	09/01/2023
B	Oregon	Agent	Approved	09/01/2023
B	Pennsylvania	Agent	Approved	09/01/2023
B	South Carolina	Agent	Approved	09/01/2023
B	South Dakota	Agent	Approved	09/01/2023
B	Texas	Agent	Approved	09/01/2023
IA	Texas	Investment Adviser Representative	Approved	09/01/2023
B	Virginia	Agent	Approved	09/01/2023
B	Washington	Agent	Approved	09/01/2023

Branch Office Locations

OSAIC WEALTH, INC.
5465 LEGACY DRIVE
SUITE 650
PLANO, TX 75024

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 1 principal/supervisory exam, 3 general industry/product exams, and 2 state securities law exams.

Principal/Supervisory Exams

	Exam	Category	Date
B	Investment Company Products/Variable Contracts Principal Examination (S26)	Series 26	05/04/2001

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	03/19/2008
B	Investment Company Products/Variable Contracts Representative Examination (S6)	Series 6	04/30/1996

State Securities Law Exams

	Exam	Category	Date
IA	Uniform Investment Adviser Law Examination (S65)	Series 65	11/15/1999
B	Uniform Securities Agent State Law Examination (S63)	Series 63	04/29/1996

PROFESSIONAL DESIGNATIONS

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

No information reported.

Only professional designations listed in Question 8 of the Form U4 will appear in this section if the appropriate box is checked and verified by the issuing organization at the time of the filing. Learn more about eligible designations at IARD and NASAA.

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	PLANO, TX
IA	10/31/2008 - 09/01/2023	SAGEPOINT FINANCIAL, INC.	CRD# 133763	PLANO, TX
B	10/01/2002 - 10/31/2008	AMERICAN GENERAL SECURITIES INCORPORATED	CRD# 13626	PLANO, TX
IA	07/02/2001 - 10/31/2008	AMERICAN GENERAL SECURITIES INCORPORATED	CRD# 13626	PLANO, TX
B	05/01/1996 - 10/01/2002	FRANKLIN FINANCIAL SERVICES CORPORATION	CRD# 5435	HOUSTON, 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.	Reg Rep	Y	PLANO, TX, United States
01/2009 - 09/2023	SAGEPOINT FINANCIAL, INC	REGISTERED REPRESENTATIVE	Y	PLANO, TX, 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. INVESTMENT ADVISORY SERVICES;CORP RIA;YES; SAGEPOINT FINANCIAL; 5136 Village Creek Parkway, Suite 500 PLANO, TX 75024; OWNER; 2003; 150; 6 HOURS PER DAY; PORTFOLIO MONITORING, CLIENT COMMUNICATION, CLIENT REVIEWS, FINANCIAL PLANNING, BUDGETING, INSURANCE PLANNING, COLLEGE PLANNING.

2. REAL ESTATE; MATTHEW O. DAVIS;NO; 5136 Village Creek Parkway, Suite 500 PLANO, TX 75024; SOLE PROPRIETORSHIP; PARTNER; 2002;30;0; PAY MORTGAGE ON THE HOME.

3. MATTHEW O. DAVIS
POSITION: Owner - NATURE: Sole Proprietorship - INVESTMENT RELATED: Yes NUMBER OF HOURS: 2 SECURITIES TRADING HOURS: 0 START DATE: 01/01/1995
ADDRESS: 5465 Legacy Drive, Suite 650, Plano TX 75024, United States
DESCRIPTION: sell life/health/LTC insurance

4. BIG SHOAL RV COUNTRY LLC

Registration & Employment History

OTHER BUSINESS ACTIVITIES

POSITION: Owner NATURE: The Property was purchased in the Name ofThe Davis Family Trust, but has an LLC operating account. Big Shoal RV Country LLC

Prior to closing on the Sale of the property, it was transferred to the LLC. The LLC continues to operate due to the terms of the SALE. The final payout of the sale should happen by year end 2025 and no later than April 2026. INVESTMENT RELATED: No NUMBER OF HOURS: 10 SECURITIES TRADING HOURS: 0 START DATE: 04/18/2019
ADDRESS: 6821 Gateway Drive, Joplin MO 64804, United States
DESCRIPTION: Manage the two managers of the business.

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

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:	Individual
Regulatory Action Initiated By:	Texas State Board of Insurance
Sanction(s) Sought:	Monetary Penalty other than Fines
Date Initiated:	08/09/1996
Docket/Case Number:	C-96-0639
Employing firm when activity occurred which led to the regulatory action:	FRANKLIN FINANCIAL SERVICES CORPORATION
Product Type:	No Product
Allegations:	On June 7 1993, Mr. Davis plead guilty and was sentenced to two (2) years deferred adjudication probation and a $250 fine for a misdemeanor criminal offense. Subsequently on September 17, 1995, Mr. Davis executed an affidavit application for a variable contract agent's license to the State of Texas which asked, "Exclusive of traffic citations and first offense DWI, have you ever been charged (by indictment, information, or any other instrument) or convicted of any crime or offense; or had any charge, crime or offense expunged from your records; or had adjudication deferred on any charge, crime or offense; or served any period of probation for any charge, crime or offense in the state of Texas, any other state or the federal government?". In response, Mr. Davis answered "No" to the question. This constitutes a material misstatement in the application for a license per TEX. INS. CODE ANN. art. 21.07-1 §12(a)(2).
Current Status:	Final
Resolution:	Order

Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct?	Yes
Resolution Date:	08/09/1996
Sanctions Ordered:	Civil and Administrative Penalty(ies)/Fine(s)
Monetary Sanction 1 of 1	
Monetary Related Sanction:	Civil and Administrative Penalty(ies)/Fine(s)
Total Amount:	$500.00
Portion Levied against individual:	$500.00
Payment Plan:	n/a
Is Payment Plan Current:	
Date Paid by individual:	08/09/1996
Was any portion of penalty waived?	No
Amount Waived:	

End of Report

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