



IAPD Report

JULI YVONNE MCNEELY

CRD# 2750265

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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

JULI YVONNE MCNEELY (CRD# 2750265)

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 **02/02/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	OSAIC WEALTH, INC.	CRD# 23131	01/19/2024
IA	OSAIC WEALTH, INC.	CRD# 23131	01/19/2024

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **18** 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	WOODBURY FINANCIAL SERVICES, INC.	421	SPENCER, WI	10/27/2017 - 01/19/2024
IA	WOODBURY FINANCIAL SERVICES, INC.	421	SPENCER, WI	10/27/2017 - 01/19/2024
IA	SII INVESTMENTS, INC.	2225	SPENCER, WI	01/11/2012 - 10/30/2017

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	2



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 **18** 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	01/19/2024
B	Arizona	Agent	Approved	01/19/2024
B	Arkansas	Agent	Approved	01/19/2024
B	California	Agent	Approved	01/19/2024
B	Colorado	Agent	Approved	08/11/2025
B	Delaware	Agent	Approved	02/02/2026
B	Florida	Agent	Approved	01/19/2024
B	Illinois	Agent	Approved	01/19/2024
B	Massachusetts	Agent	Approved	01/19/2024
B	Minnesota	Agent	Approved	01/19/2024
IA	Minnesota	Investment Adviser Representative	Approved	01/19/2024
B	Mississippi	Agent	Approved	01/19/2024
B	Missouri	Agent	Approved	01/19/2024



Qualifications

	Regulator	Registration	Status	Date
B	Montana	Agent	Approved	01/19/2024
B	Nevada	Agent	Approved	01/19/2024
B	New Hampshire	Agent	Approved	10/24/2024
B	New York	Agent	Approved	01/19/2024
B	Utah	Agent	Approved	01/19/2024
B	Virginia	Agent	Approved	01/19/2024
B	Wisconsin	Agent	Approved	01/19/2024
IA	Wisconsin	Investment Adviser Representative	Approved	01/19/2024

Branch Office Locations

OSAIC WEALTH, INC.
702 E WILLOW DRIVE
SPENCER, WI 54479



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 1 state securities law exam.


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
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 General Securities Representative Examination (S7)	Series 7	07/26/1996
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State Securities Law Exams

Exam	Category	Date
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 Uniform Securities Agent State Law Examination (S63)	Series 63	08/02/1996
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PROFESSIONAL DESIGNATIONS

This section details that the representative has reported **1** professional designation(s).

Certified Financial Planner

This representative holds or did hold **1** professional designation(s) that may have been used to qualify as an Investment Advisor representative. Please check with the appropriate designation authority for verification that the designation is still in effect. The contact information for these professional designation authorities can be found on the website for the North American Securities Administrators Association at <http://www.nasaa.org>



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	10/27/2017 - 01/19/2024	WOODBURY FINANCIAL SERVICES, INC.	CRD# 421	SPENCER, WI
IA	10/27/2017 - 01/19/2024	WOODBURY FINANCIAL SERVICES, INC.	CRD# 421	SPENCER, WI
IA	01/11/2012 - 10/30/2017	SII INVESTMENTS, INC.	CRD# 2225	SPENCER, WI
B	11/29/2010 - 10/30/2017	SII INVESTMENTS, INC.	CRD# 2225	SPENCER, WI
B	09/11/1997 - 11/30/2010	CAPITAL FINANCIAL SERVICES, INC.	CRD# 8408	SPENCER, WI
IA	08/30/2005 - 12/31/2009	CAPITAL FINANCIAL SERVICES, INC.	CRD# 8408	SPENCER, WI
B	07/29/1996 - 01/30/1998	TRANSAMERICA FINANCIAL RESOURCES, INC.	CRD# 3600	LOS ANGELES, CA

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
01/2024 - Present	OSAIC WEALTH, INC.	REGISTERED REP	Y	SPENCER, WI, United States
06/1996 - Present	MCNEELY FINANCIAL SERVICES	OTHER - INSURANCE SALES, INVESTMENT RE	Y	SPENCER, WI, United States
10/2017 - 01/2024	WOODBURY FINANCIAL SERVICES INC	REGISTERED REPRESENTATIVE	Y	SPENCER, WI, United States
11/2010 - 10/2017	SII INVESTMENTS	INVESTMENT REP	Y	SPENCER, WI, 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. TAX MANAGEMENT SERVICES POS: info gatherer; NATURE: Corp; INVESTMENT RELATED: No; # OF HRS: 15; SECURITIES TRADING HRS: 15; 1/1/2012; 566 Red Bird Cir, Depere WI 54115; Facilitate gathering of tax records for TMI for clients during tax season only.
2. MCNEELY FAMILY LP POS: Limited Partner/Prop Manager; NATURE: Family Partnership; INVESTMENT RELATED: Yes; # OF HRS: 2; SEC TRADING HRS: 2; 6/1/96; 702 E Willow DR, Spencer WI 54479; DESC: Family Partnership established to hold



Registration & Employment History



OTHER BUSINESS ACTIVITIES

property Manage financials, main rental property.

3. NAIFA POS: Past Pres NATURE: Professional Assoc INVESTMENT RELATED: No # OF HRS: 2 SECURITIES TRADING HRS: 2 START DATE: 9/1/08 ADDY: 2901 Telestar Ct, Falls Church VA 22042: Past Pres of National Assoc of Insurance Financial Advisors. Serve on a couple minor committees now as a Past Pres.

4. JULI MCNEELY CONSULTING LLC POS: Author/Speaker/Coach NATURE: LLC INVESTMENT RELATED: No % OF HRS: 32 SEC TRADING HRS: 32 START DATE: 1/1/2016 ADDY: 702 E Willow DR, Spencer WI 54479 DESC: Author/Speaker

5. TENACITY ADVISOR GROUP, INC POSITION: Affiliated Advisor; NATURE: S Corp; INVESTMENT RELATED: Yes; # OF HRS: 0; SECURITIES TRADING HRS: 0; 6/1/19; 566 Red Bird CIR DePere WI 54115; DESC: Share best practices

6. ASSETMARK FIELD ADVISORY BOARD (FAB) POS: volunteer advisory board member NATURE: serving on field advisory board INVESTMENT RELATED: No # OF HRS: 5 SEC TRADING HRS: 5 START DATE: 11/4/20 ADDRESS: 702 E Willow Dr, Spencer WI 54479 DESC: volunteer field advisory board member

7. CLARITY BY DESIGN LLC POS: Marketing/Sales NATURE: 2 member owners, in partnership with Rebecca Gonzalez and Juli McNeely. INVESTMENT RELATED: No # OF HRS: 20 SECURITIES TRADING HRS: 20 START DATE: 6/19/19 ADDY: 702 E Willow Dr, Spencer WI 54479, DESCRIPT: Market and promote the Legacy Footprint File system

8. MDRT POSITION: TOT Non Member Speaker Committee NATURE: Professional Assoc. INVESTMENT RELATED: No # OF HRS: 5 SECURITIES TRADING HRS: 5 START DATE: 9/1/22 ADDY: 325 W Touhy Avenue, Park Ridge IL 60068 DESC: Serve as a volunteer committee member on TOT Non Member Speaker Committee. No check writing authority.

9. FINANCIAL CLARITY BY DESIGN POSITION: Pres NATURE: Corp - Insurance Agency INVESTMENT RELATED: Yes # OF HRS: 200 SECURITIES TRADING HRS: 200 START DATE: 6/1/96 ADDRESS: 702 E Willow DR, Spencer WI 54479, DESCRIPT: Own/manage independent insurance/investment firm/sales - 200 hours/month - mostly during trading Hrs.

10. FINANCIAL CLARITY BY DESIGN, INC POS: Educational Course Facilitator NATURE: C Corp INVESTMENT RELATED: No # OF HRS: 5 SECURITIES TRADING HRS: 5 START DATE: 7/1/24 ADDY: 702 E Willow DR, Spencer WI 54479 DESCR: The Financial Foundations course was created in our office and has been approved through compliance

11. TMS FINANCIAL POS: information gatherer NATURE: corp INVESTMENT RELATED: No # OF HRS: 15 SECURITIES TRADING HRS: 15 START DATE: 1/1/12

ADDY: 566 Red Bird CIR, Depere WI 54115 DESCRIPT: Facilitate gathering of tax records for TMI to completion of tax returns for clients during tax season only.

12. MDRT POSITION: TOT Non Member Speaker Committee NATURE: Professional Association INVESTMENT RELATED: No NUMBER OF HOURS: 5 SECURITIES TRADING HOURS: 5 START DATE: 09/01/2022

ADDRESS: 325 West Touhy Avenue, Park Ridge IL 60068, United States

DESCRIPTION: Serve as a volunteer committee member on TOT Non Member Speaker Committee. No check writing authority.

13. MDRT FOUNDATION POSITION: Life Insurance Comm & Global Grant Team NATURE: charitable foundation INVESTMENT RELATED: No NUMBER OF HOURS: 2 SECURITIES TRADING HOURS: 2 START DATE: 09/01/2022

ADDRESS: 325 West Touhy Avenue, Park Ridge IL 60068, United States

DESCRIPTION: Foundation for professional association. Work with other committee members to review life insurance cases gifted to Foundation as well as evaluate grant applications.



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	2

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 2

Reporting Source:	Firm
Employing firm when activities occurred which led to the complaint:	CFS
Allegations:	Lawsuit against entities and individuals involved with DBSI investments.
Product Type:	Real Estate Security
Alleged Damages:	\$2,160,495.18
Is this an oral complaint?	No
Is this a written complaint?	Yes
Is this an arbitration/CFTC reparation or civil litigation?	Yes
Arbitration/Reparation forum or court name and location:	FINRA Dispute Resolution Arbitration
Docket/Case #:	15-02775
Filing date of arbitration/CFTC reparation or civil litigation:	10/16/2015

Customer Complaint Information

Date Complaint Received:	11/09/2015
Complaint Pending?	No
Status:	Evolved into Arbitration/CFTC reparation (the individual is a named party)



Status Date: 10/16/2015

Settlement Amount:

Individual Contribution Amount:

Arbitration Information

Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.): FINRA Dispute Resolution Arbitration

Docket/Case #: 15-02775

Date Notice/Process Served: 11/09/2015

Arbitration Pending? No

Disposition: Settled

Disposition Date: 12/23/2016

Monetary Compensation Amount: \$200,000.00

Individual Contribution Amount: \$0.00

Firm Statement This needed to be corrected as this individual is a named respondent.

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: Capital Financial Services, Inc

Allegations: Lawsuit against entities and individuals involved with DBSI Investments.

Product Type: Real Estate Security

Alleged Damages: \$2,160,495.18

Is this an oral complaint? No

Is this a written complaint? Yes

Is this an arbitration/CFTC reparation or civil litigation? Yes

Arbitration/Reparation forum or court name and location: FINRA Dispute Resolution Arbitration

Docket/Case #: 15-02775

Filing date of arbitration/CFTC reparation or civil litigation: 10/16/2015

Customer Complaint Information

Date Complaint Received: 11/09/2015

Complaint Pending? No

Status: Evolved into Arbitration/CFTC reparation (the individual is a named party)

Status Date: 10/16/2015

**Settlement Amount:****Individual Contribution Amount:****Arbitration Information****Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.):** FINRA Dispute Resolution Arbitration**Docket/Case #:** 15-02775**Date Notice/Process Served:** 11/09/2015**Arbitration Pending?** No**Disposition:** Settled**Disposition Date:** 12/23/2016**Monetary Compensation Amount:** \$200,000.00**Individual Contribution Amount:** \$0.00**Broker Statement**

This arbitration was a class action against an investment company that filed for bankruptcy in 2008. I and several other advisors were named as a result of being affiliated with my former broker. I did not participate financially in the settlement."

Disclosure 2 of 2**Reporting Source:** Individual**Employing firm when activities occurred which led to the complaint:** CAPITAL FINANCIAL SERVICES, INC.**Allegations:** CUSTOMER ALLEGES INCORRECT ADVISE REGARDING AN ELECTION FORM FOR THEIR 401(K).**Product Type:** Mutual Fund**Alleged Damages:** \$81,834.29**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:** 03/25/2009**Complaint Pending?** No**Status:** Settled**Status Date:** 08/07/2009**Settlement Amount:** \$30,000.00**Individual Contribution Amount:** \$30,000.00



End of Report

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