IAPD Report

CHRISTOPHER SCOTT MCNEIL

CRD# 2803363

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

CHRISTOPHER SCOTT MCNEIL (CRD# 2803363)

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 **06/30/2026**.

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 **19** 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	WOODBURY FINANCIAL SERVICES, INC.	421	EDMOND, OK	06/01/2023 - 01/19/2024
B	WOODBURY FINANCIAL SERVICES, INC.	421	EDMOND, OK	05/26/2023 - 01/19/2024
B	LPL FINANCIAL LLC	6413	EDMOND, OK	02/08/2012 - 06/14/2023

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 **19** 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	01/19/2024
B	FINRA	General Securities Representative	Approved	01/19/2024
B	California	Agent	Approved	01/19/2024
B	Colorado	Agent	Approved	01/19/2024
B	Georgia	Agent	Approved	05/15/2026
B	Illinois	Agent	Approved	01/19/2024
B	Indiana	Agent	Approved	01/19/2024
B	Iowa	Agent	Approved	01/19/2024
B	Massachusetts	Agent	Approved	06/30/2026
B	Michigan	Agent	Approved	01/19/2024
B	Minnesota	Agent	Approved	01/19/2024
B	Missouri	Agent	Approved	01/19/2024
B	Nevada	Agent	Approved	01/19/2024

Qualifications

	Regulator	Registration	Status	Date
B	New York	Agent	Approved	05/15/2026
B	North Carolina	Agent	Approved	01/19/2024
IA	North Carolina	Investment Adviser Representative	Approved	01/19/2024
B	Ohio	Agent	Approved	01/19/2024
B	Oklahoma	Agent	Approved	01/19/2024
IA	Oklahoma	Investment Adviser Representative	Approved	01/19/2024
B	South Carolina	Agent	Approved	06/17/2025
B	Tennessee	Agent	Approved	01/19/2024
B	Texas	Agent	Approved	01/19/2024
IA	Texas	Investment Adviser Representative	Approved	01/19/2024
B	Wisconsin	Agent	Approved	01/19/2024

Branch Office Locations

OSAIC WEALTH, INC.
30 E CAMPBELL ST
STE 200
EDMOND, OK 73034

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	General Securities Principal Examination (S24)	Series 24	05/17/2007

General Industry/Product Exams

	Exam	Category	Date
B	Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
B	Futures Managed Funds Examination (S31)	Series 31	02/13/1997
B	General Securities Representative Examination (S7)	Series 7	01/24/1997

State Securities Law Exams

	Exam	Category	Date
IA	Uniform Investment Adviser Law Examination (S65)	Series 65	02/10/1997
B	Uniform Securities Agent State Law Examination (S63)	Series 63	02/03/1997

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
IA	06/01/2023 - 01/19/2024	WOODBURY FINANCIAL SERVICES, INC.	CRD# 421	EDMOND, OK
B	05/26/2023 - 01/19/2024	WOODBURY FINANCIAL SERVICES, INC.	CRD# 421	EDMOND, OK
B	02/08/2012 - 06/14/2023	LPL FINANCIAL LLC	CRD# 6413	EDMOND, OK
IA	02/08/2012 - 06/14/2023	LPL FINANCIAL LLC	CRD# 6413	EDMOND, OK
B	02/04/2009 - 02/21/2012	WADDELL & REED, INC.	CRD# 866	EDMOND, OK
IA	02/04/2009 - 02/21/2012	WADDELL & REED, INC.	CRD# 866	EDMOND, OK
B	10/21/2008 - 12/24/2008	CHASE INVESTMENT SERVICES CORP.	CRD# 25574	NAPERVILLE, IL
IA	10/21/2008 - 12/24/2008	CHASE INVESTMENT SERVICES CORP.	CRD# 25574	NAPERVILLE, IL
B	01/05/2007 - 10/20/2008	WACHOVIA SECURITIES FINANCIAL NETWORK, LLC	CRD# 11025	ORLAND PARK, IL
IA	01/05/2007 - 10/20/2008	WACHOVIA SECURITIES FINANCIAL NETWORK, LLC	CRD# 11025	ORLAND PARK, IL
IA	03/24/1998 - 01/08/2007	MORGAN STANLEY	CRD# 7556	CHICAGO, IL
B	01/28/1997 - 01/08/2007	MORGAN STANLEY DW INC.	CRD# 7556	CHICAGO, IL
B	01/28/1997 - 02/26/1997	CHICAGO PARTNERSHIP BOARD, INC.	CRD# 22163	CHICAGO, IL

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 REPRESENTATIVE	Y	EDMOND, OK, United States
11/2011 - Present	NEW YORK SOCIETY OF SECURITY ANALYSTS	OKLAHOMA CHAPTER MEMBER	N	NEW YORK CITY, NY, United States

Registration & Employment History

EMPLOYMENT HISTORY

Employment Dates	Employer Name	Position	Investment Related	Employer Location
05/2023 - 01/2024	WOODBURY FINANCIAL SERVICES INC	REGISTERED REPRESENTATIVE	Y	EDMOND, OK, United States
02/2012 - 05/2023	LPL FINANCIAL	REGISTERED REPRESENTATIVE	Y	EDMOND, OK, United States
02/2009 - 06/2019	MCNEIL WEALTH MANAGEMENT	PRESIDENT	Y	EDMOND, OK, 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.

No information reported.

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

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	WADDELL & REED, INC.
Allegations:	CUSTOMER ALLEGES THAT RR PLACED HER INVESTMENT IN UNSUITABLE FUNDS IN JULY 2011.
Product Type:	Mutual Fund
Alleged Damages:	$0.00
Alleged Damages Amount Explanation (if amount not exact):	FIRM HAS MADE A GOOD FAITH DETERMINATION THAT THE ALLEGED DAMAGES EXCEED $5000.
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:	12/06/2011
Complaint Pending?	No
Status:	Denied
Status Date:	01/30/2012
Settlement Amount:	

Individual Contribution Amount:

Broker Statement

CLIENT CONTACTED ME IN FEBRUARY 2011 SEEKING MY HELP IN ACHIEVING GREATER RETURNS ON HER GROWTH ASSETS AND AN OVERALL IMPROVEMENT IN THE LEVEL OF SERVICE SHE RECEIVED. HER BROKER AT THE TIME HAD ALL OF HER MONEY INVESTED IN A FEE-BASED ARRANGEMENT WHICH SHE COMPLAINED "NEVER CHANGED." AND AFTER YEARS OF UNDERPERFORMING BOTH HER EXPECTATIONS FOR INVESTMENT RETURN AS WELL AS COSTLINESS OF FEES, SHE SOUGHT MY HELP.

I MET WITH THE CLIENT SEVERAL TIMES FROM FEBRUARY THROUGH THE SPRING, AND AT EACH MEETING REVIEWED WITH HER MY SUGGESTIONS FOR CHANGES WITHIN HER PORTFOLIO. WE REMOVED THE FEE-BASED ARRANGEMENT FOR THE MAJORITY OF HER ASSETS, THUS SAVING HER THOUSANDS OF DOLLARS PER YEAR IN FEES. WE THEN ALLOCATED HER RETIREMENT ACCOUNT INTO A WELL-DIVERSIFIED PORTFOLIO WHICH INCLUDED BOND FUNDS, STOCKS, STOCK FUNDS, GOLD, AND OTHER INVESTMENT SELECTIONS. THE CLIENT APPROVED THE USE OF THESE ITEMS BEFORE WE INVESTED A SINGLE DOLLAR OF HER MONEY, AND WAS MADE WELL AWARE OF EACH INVESTMENT I PROPOSED MONTHS AND MONTHS PRIOR TO OUR EVER AGREEING TO WORK WITH ONE ANOTHER. IN FACT, IN E-MAILS SENT TO ME, SHE SPOKE OF HER REVIEWING THE INVESTMENTS ONLINE AND EVEN GOING TO MUTUAL FUND COMPANY WEBSITES TO REVIEW FEES AND EXPENSES AND RETURNS, ETC. THIS CLIENT IS VERY SHARP AND KNEW EXACTLY EVERY FACET OF HER SOON-TO-BE PORTFOLIO. SHE APPROVED THE INVESTMENT OF HER IRA INTO THIS PORTFOLIO.

AFTER THE INVESTMENTS WERE MADE, WE REVIEWED THE PORTFOLIO IN PERSON AT HER KITCHEN TABLE APPROXIMATELY ONE WEEK LATER. CLIENT WAS ALWAYS EXTREMELY WELL AWARE OF ALL ITEMS SHE OWNED AND NEVER VOICED ANY CONCERNS OF ANY KIND. WE CONTINUED TO SPEAK ABOUT HER INVESTMENTS ALL THROUGH THE SUMMER.

SOMETIME IN AUGUST, AS THE MARKETS BECAME QUITE VOLATILE, WE MADE SEVERAL CHANGES TO THE PORTFOLIO, NAMELY, TRANSITIONING SOME INVESTMENTS INTO CASH FOR SAFETY, UNTIL MARKET CONDITIONS IMPROVED. AS THE MARKET CONTINUED TO DETERIORATE, THE CLIENT'S MOOD CHANGED AND HER INVESTMENT-OBJECTIVE SEEMED TO CHANGE QUITE FREQUENTLY. AFTER SPEAKING WITH HER VERBALLY AND VIA E-MAIL, IT SOON BECAME CLEAR TO ME THAT OUR RELATIONSHIP WOULD NO LONGER WORK FOR EITHER OF US AND THAT SHE MIGHT BE BETTER SUITED TO WORK WITH SOMEONE CLOSER TO HER HOME AND MORE ABLE TO CHANGE THE DIRECTION OF THE ACCOUNT AS OFTEN AS THE CLIENT NOW SOUGHT.

IN RETALIATION FOR MY SUGGESTION THAT SHE CHANGE FIRMS AND CHANGE ADVISORS, CLIENT HAS FILED THIS COMPLAINT. CLIENT HAS FOR YEARS OWNED STOCK RELATED MUTUAL FUNDS AND HAS GAINED AND LOST MONEY BEFORE. FOR HER TO NOW CLAIM THAT SHE SHOULDN'T HAVE OWNED STOCK FUNDS IS PREPOSTEROUS. TO THIS DAY, CLIENT STILL OWNS STOCK FUNDS AND STILL KEEPS A NEARLY 20% OF HER NET WORTH IN AN UNINSURED BOND THROUGH A LOCAL CHURCH, WHICH IS EXTREMELY RISKY. HER INCONSISTENCY IN THIS AREA SHOWS ME THAT SHE WAS HURT BY MY SUGGESTION AND WISHES TO CAUSE ME AND MY FAMILY HARM, WHICH SHE HAS CERTAINLY DONE WITH THIS COMPLAINT. CLIENT WAS AWARE THAT I HAD NEVER HAD A COMPLAINT AGAINST MY RECORD AND WAS QUITE PROUD OF THAT. WITH THIS COMPLAINT SHE HAS FOREVER TARNISHED MY RECORD, WHICH I BELIEVE IS HER ONLY OBJECTIVE.

End of Report

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