IAPD Report

BRENDA ROSE ASLYN

CRD# 2855617

Section Title	**Page(s)**

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

BRENDA ROSE ASLYN (CRD# 2855617)

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 **07/08/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	OSAIC INSTITUTIONS, INC.	CRD# 35371	04/28/2026
IA	OSAIC INSTITUTIONS, INC.	CRD# 35371	04/28/2026

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **3** 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	WELLS FARGO ADVISORS	19616	EDINA, MN	02/15/2024 - 04/29/2026
B	WELLS FARGO CLEARING SERVICES, LLC	19616	EDINA, MN	01/08/2024 - 04/29/2026
IA	SECURITIES AMERICA ADVISORS, INC.	110518	WOODBURY, MN	12/03/2016 - 05/20/2019

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
Financial	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 **3** jurisdiction(s) and 1 SRO(s) through his or her employer(s).

Employment 1 of 1

Firm Name: **OSAIC INSTITUTIONS, INC.**

Main Address: 538 PRESTON AVENUE
MERIDEN, CT 06450-4858

Firm ID#: 35371

	Regulator	Registration	Status	Date
B	FINRA	General Securities Representative	Approved	04/28/2026
B	FINRA	Invest. Co and Variable Contracts	Approved	04/28/2026
B	Florida	Agent	Approved	07/09/2026
IA	Minnesota	Investment Adviser Representative	Approved	04/28/2026
B	Minnesota	Agent	Approved	04/29/2026
B	Texas	Agent	Approved	07/09/2026

Branch Office Locations

OSAIC INSTITUTIONS, INC.
1515 CENTRAL PARKWAY SUITE 180
EAGAN, MN 55121

OSAIC INSTITUTIONS, INC.
1515 Central Parkway, Suite 180
Eagan, MN 55121

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, 4 general industry/product exams, and 3 state securities law exams.

Principal/Supervisory Exams

	Exam	Category	Date
B	General Securities Principal Examination (S24)	Series 24	11/09/2001

General Industry/Product Exams

	Exam	Category	Date
B	General Securities Representative Examination (S7TO)	Series 7TO	06/29/2024
B	Investment Company Products/Variable Contracts Representative Examination (S6TO)	Series 6TO	01/05/2024
B	Securities Industry Essentials Examination (SIE)	SIE	12/08/2023
B	General Securities Representative Examination (S7)	Series 7	03/18/1997

State Securities Law Exams

	Exam	Category	Date
IA	Uniform Investment Adviser Law Examination (S65)	Series 65	02/12/2024
B	Uniform Securities Agent State Law Examination (S63)	Series 63	01/22/2024
IA B	Uniform Combined State Law Examination (S66)	Series 66	10/10/2003

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.

 Report about BRENDA ROSE ASLYN.

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	02/15/2024 - 04/29/2026	WELLS FARGO ADVISORS	CRD# 19616	EDINA, MN
B	01/08/2024 - 04/29/2026	WELLS FARGO CLEARING SERVICES, LLC	CRD# 19616	EDINA, MN
IA	12/03/2016 - 05/20/2019	SECURITIES AMERICA ADVISORS, INC.	CRD# 110518	WOODBURY, MN
B	02/05/2010 - 05/20/2019	SECURITIES AMERICA, INC.	CRD# 10205	WOODBURY, MN
IA	04/01/2016 - 12/01/2016	USADVISORS WEALTH MANAGEMENT, LLC	CRD# 158108	TWO HARBORS, MN
IA	01/31/2014 - 04/28/2016	SECURITIES AMERICA ADVISORS, INC.	CRD# 110518	TWO HARBORS, MN
B	01/16/2009 - 02/16/2010	LPL FINANCIAL CORPORATION	CRD# 6413	DULUTH, MN
B	02/10/2009 - 12/31/2009	WEALTH ENHANCEMENT BROKERAGE SERVICES, LLC	CRD# 130139	PLYMOUTH, MN
B	01/01/2008 - 01/29/2009	WACHOVIA SECURITIES, LLC	CRD# 19616	DULUTH, MN
B	07/08/2004 - 01/03/2008	A. G. EDWARDS & SONS, INC.	CRD# 4	DULUTH, MN
B	07/05/2001 - 08/10/2004	SUNAMERICA SECURITIES, INC.	CRD# 20068	PHOENIX, AZ
B	10/27/2000 - 07/05/2001	U.S. BANCORP PIPER JAFFRAY INC.	CRD# 665	MINNEAPOLIS, MN
B	11/05/1999 - 11/02/2000	DAIN RAUSCHER INCORPORATED	CRD# 31194	NEW YORK, NY
B	03/19/1997 - 11/17/1999	EDWARD JONES	CRD# 250	ST. LOUIS, MO

Registration & Employment History

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
04/2026 - Present	ALERUS	REGISTERED REPRESENTATIVE	Y	EAGAN, MN, United States
04/2026 - Present	OSAIC INSTITUTIONS	REGISTERED REPRESENTATIVE	Y	EAGAN, MN, United States
10/2023 - 04/2026	WELLS FARGO BANK, NA	BANKER	Y	EDINA, MN, United States
10/2023 - 04/2026	WELLS FARGO CLEARING SERVICES, LLC	REGISTERED REP	Y	EDINA, MN, United States
01/2020 - 10/2023	Realty Group	Real Estate Agent	N	Woodbury, MN, United States
05/2019 - 01/2020	Unemployed	unemployed	N	Woodbury, MN, United States
11/2016 - 05/2019	SECURITIES AMERICA ADVISORS	IAR	Y	WOODBURY, MN, United States
02/2010 - 05/2019	SECURITIES AMERICA, INC.	REGISTERED REPRESENTATIVE	Y	WOODBURY, MN, United States
03/2016 - 11/2016	USADVISORS WEALTH MANAGEMENT, LLC	IAR	Y	TWO HARBORS, MN, 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	3
Financial	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:	Firm
Employing firm when activities occurred which led to the complaint:	WACHOVIA SECURITIES, LLC
Allegations:	CLIENTS STATE THEIR ACCOUNT COULD HAVE BEEN SET UP "FREE AND CLEAR" OF MOST COMMSSIONS FEES. THEY ALSO INDICATE THAT NO TAX-FREE INVESTMENTS WERE MADE FOR INCOME WHEN THEY RETIRE AND THE FA DID NOTHING TO REALLOCATE THER FUNDS TO PROTECT THEM FROM LOSSES. LOSS AMOUNT NOT SPECIFIED BUT BELIEVED TO EXCEED $5,000. (01/25/2008)
Product Type:	Annuity-Variable
Alleged Damages:	$0.00
Alleged Damages Amount Explanation (if amount not exact):	LOSS AMOUNT NOT SPECIFIED BUT 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:	03/04/2009

Complaint Pending?	No
Status:	Denied
Status Date:	05/13/2009
Settlement Amount:	
Individual Contribution Amount:	
Firm Statement	THE RIDER THE CLIENT REFERS TO IN HER COMPLAINT WOULD HAVE FORCED HER TO TAKE IMMEDIATE INCOME THAT SHE DID NOT NEED. THE RIDER THAT WAS PURCHASED IN 2008 WAS NOT AVAILABLE WHEN THE CONTRACT WAS PURCHASED GUARANTEES FUTURE INCOME. HOWEVER, THE NEW RIDER BASES THAT INCOME ON THE VALUE OF THE ACCOUNT WHEN IT WAS ADDED, NOT FROM THE ORIGINAL PURCHASE DATE. ADDITIONALLY, AT THE TIME OF THE PURCHASE, THE CLIENT'S OBJECTIVE WAS TO PRESERVE HER ESTATE WHICH WAS DONE WITH A GUARANTEED DEATH BENEFIT.

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	WACHOVIA SECURITIES, LLC
Allegations:	CLIENTS STATE THEIR ACCOUNT COULD HAVE BEEN SET UP "FREE AND CLEAR" OF MOST COMMISSIONS FEES. THEY ALSO INDICATE THAT NO TAX-FREE INVESTMENTS WERE MADE FOR INCOME WHEN THEY RETIRE AND THE FA DID NOTHING TO REALLOCATE THEIR FUNDS TO PROTECT THEM FROM LOSSES. LOSS AMOUNT NOT SPECIFIED BUT BELIEVED TO EXCEED $5,000. (01/25/2008)
Product Type:	Annuity-Variable
Alleged Damages:	$0.00
Alleged Damages Amount Explanation (if amount not exact):	LOSS AMOUNT NOT SPECIFIED BUT 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:	03/04/2009
Complaint Pending?	No
Status:	Denied
Status Date:	05/13/2009
Settlement Amount:	
Individual Contribution Amount:	
Broker Statement	REP STATES THAT SHE UNDERTOOK SUBSTANTIAL AND GOOD FAITH

EFFORTS TO UNDERSTAND THE CLIENTS' INVESTMENT OBJECTIVES, RISK TOLERANCE AND TIME HORIZON, MADE RECOMMENDATIONS THAT SHE REASONABLY BELIEVED WOULD INCREASE THE POTENTIAL OF ACHIEVING THE CLIENTS' OBJECTIVES, AND REVIEWED HER RECOMMENDATIONS IN DETAIL WITH THE CLIENTS.

Disclosure 2 of 3

Reporting Source:	Firm
Employing firm when activities occurred which led to the complaint:	WACHOVIA SECURITIES, LLC
Allegations:	CLIENT ALLEGES THE FA'S RECOMENDATION AND SUBSEQUENT PURCHASE OF AN ANNUITY WERE INAPPROPRIATE BASED UPON HIS OBJECTIVES. (10/04/2004)
Product Type:	Annuity(ies) - Variable
Alleged Damages:	$87,833.47

Customer Complaint Information

Date Complaint Received:	03/04/2009
Complaint Pending?	No
Status:	Denied
Status Date:	03/25/2009
Settlement Amount:	
Individual Contribution Amount:	

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	WACHOVIA SECURITIES, LLC
Allegations:	CLIENT ALLEGES THE FA'S RECOMENDATION AND SUBSEQUENT PURCHASE OF AN ANNUITY WERE INAPPROPRIATE BASED UPON HI OBJECTIVES.(10/04/2004)
Product Type:	Annuity(ies) - Variable
Alleged Damages:	$87,833.47

Customer Complaint Information

Date Complaint Received:	03/04/2009
Complaint Pending?	No
Status:	Denied
Status Date:	03/25/2009
Settlement Amount:	
Individual Contribution Amount:	
Broker Statement	REPRESENTATIVE DENIES ANY SALES PRACTICE VIOLATION AND STATES

	THAT THE CLIENT'S INVESTMENT OBJECTIVES, RISK TOLERANCE AND TIME HORIZON WERE DISCUSSED IN DETAIL WITH THE CLIENT AND THE ANNUITY ALONG WITH OTHER PRODUCTS WERE DISCUSSED AND EXPLAINED AS WELL IN FULL DETAIL PRIOR TO THE CLIENT DECIDING TO PURCHASE THE ANNUITY AND THE OTHER PRODUCTS.

Disclosure 3 of 3

Reporting Source:	Firm
Employing firm when activities occurred which led to the complaint:	WACHOVIA SECURITIES, LLC
Allegations:	ALLEGES FA MISLED AND MISREPRESENTED REGARDING PORTFOLIO. ALLEGES DAMAGES, UNSPECIFIED, BELIEVED TO EXCEED $5,000. (NO DATES SPECIFIED)
Product Type:	Annuity(ies) - Variable
Alleged Damages:	$0.00

Customer Complaint Information

Date Complaint Received:	03/06/2009
Complaint Pending?	No
Status:	Denied
Status Date:	04/06/2009
Settlement Amount:	
Individual Contribution Amount:	

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	WACHOVIA SECURITIES, LLC
Allegations:	ALLEGES FA MISLED AND MISREPRESENTED REGARDING PORTFOLIO. ALLEGES DAMAGES, UNSPECIFIED, BELIEVED TO EXCEED $5,000.
Product Type:	Annuity(ies) - Variable
Alleged Damages:	$0.00

Customer Complaint Information

Date Complaint Received:	03/06/2009
Complaint Pending?	No
Status:	Denied
Status Date:	04/06/2009
Settlement Amount:	
Individual Contribution Amount:	
Broker Statement	REP STATES THAT SHE UNDERTOOK SUBSTANTIAL AND GOOD FAITH EFFORTS TO UNDERSTAND THE CLIENT'S INVESTMENT OBJECITIVES,

RISK TOLERANCE AND TIME HORIZON, MADE RECOMMENDATIONS THAT SHE REASONABLY BELIEVED WOULD INCREASE THE POTENTIAL OF ACHIEVING THE CLIENT'S OBJECTIVES, AND REVIEWED HER RECOMMENDATIONS IN DETAIL WITH THE CLIENT.

Financial

This disclosure event involves a final bankruptcy, compromise with one or more creditors, or Securities Investor Protection Corporation liquidation that occurred within the last 10 years and that involved the Investment Adviser Representative or an organization/investment adviser that the Investment Adviser Representative controlled that occurred within the last 10 years.

Disclosure 1 of 1

Reporting Source:	Individual
Action Type:	Compromise
Action Date:	12/20/2023
Organization Investment-Related?	
Action Pending?	No
Disposition:	Satisfied/Released
Disposition Date:	12/20/2023
If a compromise with creditor, provide:	
Name of Creditor:	Ollo credit card / Midland Credit
Original Amount Owed:	$2,460.00
Terms Reached with Creditor:	I repeatedly disputed some of the charges on this account and asked for copies of statements as I felt I some of the charges I did not make. The company eventually sent me the statements and I agreed to pay the charges I felt were mine which was $1200.00.
Broker Statement	I repeatedly disputed some of the charges on this account and asked for copies of statements as I felt I some of the charges I did not make. The company eventually sent me the statements and I agreed to pay the charges I felt were mine which was $1200.00.

End of Report

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