User Guidance

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IAPD Report

Joseph Uradnik

CRD# 2949407

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

Joseph Uradnik (CRD# 2949407)

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 **06/16/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
IA	AE WEALTH MANAGEMENT, LLC	CRD# 282580	04/12/2021
B	AE FINANCIAL SERVICES, LLC	CRD# 298608	05/13/2021

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	CCO INVESTMENT SERVICES CORP.	39550	NORWOOD, MA	09/08/2008 - 07/15/2014
IA	CCO INVESTMENT SERVICES CORP.	39550	NORWOOD, MA	09/08/2008 - 07/15/2014
B	LPL FINANCIAL CORPORATION	6413	HARTFORD, CT	05/27/2008 - 10/03/2008

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
Customer Dispute	1
Termination	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 2

Firm Name: **AE FINANCIAL SERVICES, LLC**

Main Address: 2950 SW MCCLURE ROAD
SUITE B
TOPEKA, KS 66614

Firm ID#: 298608

	Regulator	Registration	Status	Date
B	FINRA	General Securities Representative	Approved	05/13/2021
B	Kansas	Agent	Approved	04/29/2022

Branch Office Locations

Fuquay Varina, NC

Employment 2 of 2

Firm Name: **AE WEALTH MANAGEMENT, LLC**

Main Address: 2950 SW MCCLURE ROAD
SUITE B
TOPEKA, KS 66614

Firm ID#: 282580

	Regulator	Registration	Status	Date
IA	Kansas	Investment Adviser Representative	Approved	04/12/2021

Branch Office Locations

AE WEALTH MANAGEMENT, LLC
Fuquay Varina, NC

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

Principal/Supervisory Exams

	Exam	Category	Date
B	General Securities Sales Supervisor - General Module Examination (S10)	Series 10	11/13/1999
B	General Securities Sales Supervisor - Options Module Examination (S9)	Series 9	11/02/1999

General Industry/Product Exams

	Exam	Category	Date
B	General Securities Representative Examination (S7)	Series 7	10/15/1997

State Securities Law Exams

	Exam	Category	Date
IA	Uniform Investment Adviser Law Examination (S65)	Series 65	11/10/1997
B	Uniform Securities Agent State Law Examination (S63)	Series 63	10/24/1997

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
B	09/08/2008 - 07/15/2014	CCO INVESTMENT SERVICES CORP.	CRD# 39550	NORWOOD, MA
IA	09/08/2008 - 07/15/2014	CCO INVESTMENT SERVICES CORP.	CRD# 39550	NORWOOD, MA
B	05/27/2008 - 10/03/2008	LPL FINANCIAL CORPORATION	CRD# 6413	HARTFORD, CT
IA	05/27/2008 - 10/03/2008	LPL FINANCIAL CORPORATION	CRD# 6413	HARTFORD, CT
IA	04/02/2007 - 05/27/2008	IFMG SECURITIES, INC.	CRD# 14416	PLAINVILLE, CT
B	03/30/2007 - 05/27/2008	IFMG SECURITIES, INC.	CRD# 14416	PLAINVILLE, CT
B	10/20/2004 - 03/23/2007	BANC OF AMERICA INVESTMENT SERVICES, INC.	CRD# 16361	ROCKY HILL, CT
IA	10/20/2004 - 03/23/2007	BANC OF AMERICA INVESTMENT SERVICES, INC.	CRD# 16361	ROCKY HILL, CT
B	09/10/2003 - 10/20/2004	QUICK & REILLY, INC.	CRD# 11217	NEW YORK, NY
IA	09/10/2003 - 10/20/2004	QUICK & REILLY, INC.	CRD# 11217	MIDDLETOWN, CT
IA	02/01/2002 - 05/19/2003	ADVEST, INC.	CRD# 10	MIDDLETOWN, CT
B	10/16/1997 - 05/19/2003	ADVEST, INC.	CRD# 10	HARTFORD, CT

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
02/2021 - Present	AE Financial Services, LLC	Compliance Examiner	Y	Topeka, KS, United States
02/2021 - Present	AE Wealth Management	Compliance Examiner	Y	Topeka, KS, United States

Registration & Employment History

EMPLOYMENT HISTORY

Employment Dates	Employer Name	Position	Investment Related	Employer Location
09/2020 - 02/2021	JDU Consulting	Consultant	Y	Boston, MA, United States
08/2014 - 09/2020	Federal Reserve Bank of Boston	Senior Associate Examiner	Y	Boston, MA, 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.

AE Wealth Management LLC POSITION: Associated Person NATURE: Investment Advice for fee INVESTMENT RELATED: Yes NUMBER OF HOURS: 160 SECURITIES TRADING HOURS: 120 START DATE 02/2021 ADDRESS: 137 N. Honey Springs Avenue Fuquay-Varina, NC 27526

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
Customer Dispute	1
Termination	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:	State of Connecticut Judicial Branch
Sanction(s) Sought:	Suspension
Date Initiated:	12/18/2000
Docket/Case Number:	409061
Employing firm when activity occurred which led to the regulatory action:	Advest Inc
Product Type:	Other: N/A
Allegations:	Mr. Uradnik failed to complete the continuing legal education requirements and paying attorney registration and continuing legal education fees. Mr. Uradnik began working at Advest Inc and was no longer working as an attorney and therefore did not complete the requirements.
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?	No

Resolution Date:	12/18/2000
Sanctions Ordered:	Suspension Other: Administrative Suspension for failure to pay the Client Security Fund fee in accordance with Practice Book Section 2-70
Sanction 1 of 1	
Sanction Type:	Suspension
Capacities Affected:	No registration capacities are affected by this suspension.
Duration:	12/18/2000
Start Date:	12/18/2000
End Date:	

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:	Firm
Employing firm when activities occurred which led to the complaint:	IFMG SECURITIES, INC.
Allegations:	CUSTOMERS ALLEGED THAT INVESTMENTS IN VARIABLE ANNUITIES IN JANUARY 2008 WERE UNSUITABLE AND REQUESTED RETURN OF INITIAL INVESTMENTS.
Product Type:	Annuity-Variable
Alleged Damages:	$5,000.00
Alleged Damages Amount Explanation (if amount not exact):	COMPENSATORY DAMAGES NOT SPECIFIED BUT REASONABLY BELIEVED TO BE OVER $5000.00
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:	05/14/2009
Complaint Pending?	No
Status:	Denied
Status Date:	06/17/2009
Settlement Amount:	
Individual Contribution Amount:	

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	IFMG SECURITIES
Allegations:	CUSTOMERS ALLEGED THAT INVESTMENTS IN VARIABLE ANNUITIES IN JANUARY 2008 WERE UNSUITABLE AND REQUESTED RETURN OF INITIAL INVESTMENTS.
Product Type:	Annuity-Variable
Alleged Damages:	$5,000.00
Alleged Damages Amount	COMPENSATORY DAMAGES NOT SPECIFIED BUT REASONABLY BELIEVED

Explanation (if amount not exact):	TO BE OVER $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:	05/14/2009
Complaint Pending?	No
Status:	Denied
Status Date:	06/17/2009
Settlement Amount:	
Individual Contribution Amount:	

Termination

This disclosure event involves a situation where the Investment Adviser Representative voluntarily resigned, was discharged or was permitted to resign after allegations were made that accused the Investment Adviser Representative of violating investment-related statutes, regulations, rules or industry standards of conduct; fraud or the wrongful taking of property; or failure to supervise in connection with investment-related statutes, regulations, rules or industry standards of conduct.

Disclosure 1 of 1

Reporting Source:	Firm
Firm Name:	CCO INVESTMENT SERVICES COPR.
Termination Type:	Permitted to Resign
Termination Date:	06/16/2014
Allegations:	MR. URADNIK WAS PERMITTED TO RESIGN UPON DISCOVERY OF UN-REPORTED PAYROLL OVERPAYMENTS TO MR. URADNIK. THE OVERPAYMENT, WHICH WAS NON-INVESTMENT AND NON-CLIENT RELATED, HAS BEEN RESOLVED BY MUTUAL AGREEMENT BETWEEN CCO AND MR. URADNIK.
Product Type:	No Product

Reporting Source:	Individual
Firm Name:	CCO INVESTMENT SERVICES CORP.
Termination Type:	Permitted to Resign
Termination Date:	06/16/2014
Allegations:	MR. URADNIK WAS PERMITTED TO RESIGN UPON DISCOVERY OF UN-REPORTED PAYROLL OVERPAYMENTS TO MR. URADNIK. THE OVERPAYMENT, WHICH WAS NON-INVESTMENT AND NON-CLIENT RELATED, HAS BEEN RESOLVED BY MUTUAL AGREEMENT BETWEEN CCO AND MR. URADNIK.
Product Type:	Other: Not Available
Broker Statement	Payroll Overpayments.

End of Report

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