IAPD Report

SHAWN MATHEW WARREN

CRD# 2958818

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

SHAWN MATHEW WARREN (CRD# 2958818)

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 **06/11/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	OSAIC WEALTH, INC.	CRD# 23131	06/14/2024
IA	OSAIC WEALTH, INC.	CRD# 23131	06/14/2024
IA	OSAIC ADVISORY SERVICES, LLC	CRD# 171070	11/08/2024

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **22** 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	ARBOR POINT ADVISORS	165127	FLOWER MOUND, TX	04/26/2016 - 11/08/2024
IA	SECURITIES AMERICA ADVISORS, INC.	110518	FLOWER MOUND, TX	04/26/2016 - 06/14/2024
B	SECURITIES AMERICA, INC.	10205	FORT WORTH, TX	04/26/2016 - 06/14/2024

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

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

Employment 1 of 2

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	06/14/2024
B	FINRA	Invest. Co and Variable Contracts	Approved	06/14/2024
B	Alabama	Agent	Approved	06/14/2024
B	Alaska	Agent	Approved	06/17/2026
B	Arizona	Agent	Approved	06/14/2024
B	California	Agent	Approved	06/14/2024
IA	California	Investment Adviser Representative	Approved	06/14/2024
B	Colorado	Agent	Approved	06/14/2024
B	Florida	Agent	Approved	06/14/2024
IA	Florida	Investment Adviser Representative	Approved	06/14/2024
B	Idaho	Agent	Approved	06/14/2024
B	Illinois	Agent	Approved	06/14/2024
B	Louisiana	Agent	Approved	06/14/2024

Qualifications

	Regulator	Registration	Status	Date
B	Missouri	Agent	Approved	06/14/2024
B	Montana	Agent	Approved	06/14/2024
B	Nevada	Agent	Approved	06/14/2024
B	New Mexico	Agent	Approved	06/14/2024
B	New York	Agent	Approved	06/14/2024
B	North Carolina	Agent	Approved	06/14/2024
B	Oregon	Agent	Approved	06/14/2024
B	Tennessee	Agent	Approved	06/14/2024
B	Texas	Agent	Approved	06/14/2024
IA	Texas	Investment Adviser Representative	Restricted Approval	06/14/2024
B	Utah	Agent	Approved	06/14/2024
B	Virginia	Agent	Approved	06/14/2024
B	Washington	Agent	Approved	06/14/2024
B	Wisconsin	Agent	Approved	06/14/2024

Branch Office Locations

OSAIC WEALTH, INC.
2829 TOWNSGATE RD
SUITE 315
WESTLAKE VILLAGE, CA 91361

OSAIC WEALTH, INC.
5049 EDWARDS RANCH ROAD
FLOOR 4
FORT WORTH, TX 76109

OSAIC WEALTH, INC.
2201 SPINKS RD #242
FLOWER MOUND, TX 75022

Qualifications

Employment 2 of 2

Firm Name: **OSAIC ADVISORY SERVICES, LLC**

Main Address: 2300 WINDY RIDGE PARKWAY
SUITE 750
ATLANTA, GA 30339

Firm ID#: 171070

	Regulator	Registration	Status	Date
IA	California	Investment Adviser Representative	Approved	11/08/2024
IA	Florida	Investment Adviser Representative	Approved	11/08/2024
IA	Texas	Investment Adviser Representative	Restricted Approval	11/08/2024

Branch Office Locations

OSAIC ADVISORY SERVICES, LLC
2201 Spinks Road #242
Flower Mound, TX 75022

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, 3 general industry/product exams, and 2 state securities law exams.

Principal/Supervisory Exams

Exam	Category	Date
No information reported.		

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	05/02/2000
B	Investment Company Products/Variable Contracts Representative Examination (S6)	Series 6	11/11/1997

State Securities Law Exams

	Exam	Category	Date
IA B	Uniform Combined State Law Examination (S66)	Series 66	10/30/2000
B	Uniform Securities Agent State Law Examination (S63)	Series 63	02/19/1998

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	04/26/2016 - 11/08/2024	ARBOR POINT ADVISORS	CRD# 165127	FLOWER MOUND, TX
IA	04/26/2016 - 06/14/2024	SECURITIES AMERICA ADVISORS, INC.	CRD# 110518	FLOWER MOUND, TX
B	04/26/2016 - 06/14/2024	SECURITIES AMERICA, INC.	CRD# 10205	FORT WORTH, TX
IA	04/23/2013 - 04/26/2016	AMERICAN FINANCIAL NETWORK ADVISORY SERVICES, LLC	CRD# 160322	CALABASAS, CA
B	09/22/2014 - 04/25/2016	UNITED PLANNERS' FINANCIAL SERVICES OF AMERICA A LIMITED PARTNER	CRD# 20804	CALABASAS, CA
IA	10/25/2004 - 09/23/2014	SECURITIES AMERICA ADVISORS, INC.	CRD# 110518	CALABASAS, CA
B	10/23/2004 - 09/23/2014	SECURITIES AMERICA, INC.	CRD# 10205	CALABASAS, CA
IA	03/25/2002 - 10/22/2004	NATIONAL PLANNING CORPORATION ("NPC OF AMERICA" IN FL & NY)	CRD# 29604	WEST LAKE VILLAGE, C
B	11/19/1999 - 10/22/2004	NATIONAL PLANNING CORPORATION	CRD# 29604	LOS ANGELES, CA
B	11/12/1997 - 11/24/1999	ROYAL ALLIANCE ASSOCIATES, INC.	CRD# 23131	SCOTTSDALE, AZ

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
11/2024 - Present	OSAIC ADVISORY SERVICES, LLC	IAR	Y	ATLANTA, GA, United States
06/2024 - Present	OSAIC WEALTH, INC.	Registered Rep	Y	FORT WORTH, TX, United States
12/2014 - Present	AFN Risk Management LLC.	Memeber	N	Calabasas, CA, United States
04/2013 - Present	AMERICAN FINANCIAL NETWORK ADVISORY SERVICES, LLC	ADVISOR	Y	CALABASAS, CA, United States

Registration & Employment History

EMPLOYMENT HISTORY

Employment Dates	Employer Name	Position	Investment Related	Employer Location
01/1997 - Present	AMERICAN FINANCIAL NETWORK	SR. PORTFOLIO STRATEGIST	Y	CALABASAS, CA, United States
04/2016 - 11/2024	ARBOR POINT ADVISORS	Investment Advisor Rep	Y	FLOWER MOUND, TX, United States
04/2016 - 06/2024	SECURITIES AMERICA ADVISORS	Investment Advisor Rep	Y	FLOWER MOUND, TX, United States
04/2016 - 06/2024	SECURITIES AMERICA INC	Registered Rep	Y	FLOWER MOUND, 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. SABRES FINANCIAL SERVICES
POSITION: Investment Registered Advisor
NATURE: Doing business as (DBA)
INVESTMENT RELATED: Yes
NUMBER OF HOURS: 200
SECURITIES TRADING HOURS: 50
START DATE: 04/25/2016
ADDRESS: 22201 SPINKS RD #242, FLOWER MOUND, TX 75022
DESCRIPTION: Financial Planning & Wealth Mgmt

2. SABRE FINANCIAL SERVICES
POSITION: Tenant/Member
NATURE: SABRE Financial Services is an LLC.
INVESTMENT RELATED: No
NUMBER OF HOURS: 2
SECURITIES TRADING HOURS: 0
START DATE: 05/01/2025
ADDRESS: 2829 Townsgate Rd # 315, Westlake Village CA 91361
DESCRIPTION: SABRE will be moving locations to the address mentioned above on 5/1/25. We will be sub-leasing to (2) tenants named Law Office of Mike Magassain & Laengel Corp. We submitted a signed LOU for Office sharing with OSAIC. It was approved 10/31/24. Both tenants will be submitting checks for their portion of the rent. Law office of Mike Magassin to pay $ 2116.36 and Lanegal Corp to pay $ 1386.24. Checks will be deposited in SABRE Wells Fargo Corp acct xxxxx2121. SABRE to make gross rental payment of $ 9138 to the landlord.

3. ACTING AS A TRUSTEE
POSITION: Trustee/FA
NATURE: Trustee on my wife's Grandmother's Trust. She passed away in April 2016, but Trust remains to take care of her son, who has Special Needs.
INVESTMENT RELATED: Yes
NUMBER OF HOURS: 4
SECURITIES TRADING HOURS: 1

Registration & Employment History

OTHER BUSINESS ACTIVITIES

START DATE: 04/01/2016
ADDRESS: 6849 Blue Ridge Way, Moorpark CA 93021
DESCRIPTION: Will act as Trustee and Financial Advisor. The estate has 500k of liquid Assets.

4. SDUBS GUITAR GEAR & MORE
POSITION: Owner/Operator
NATURE: Buying and selling Music gear via eBay & Reverb.com
INVESTMENT RELATED: No
NUMBER OF HOURS: 10
SECURITIES TRADING HOURS: 0
START DATE: 04/01/2019
ADDRESS: 2224 Rickenbacker Dr. FLOWER MOUND TX 75028
DESCRIPTION: I will find music gear, mainly guitars, modify them, and resell them.

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

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:	Individual
Employing firm when activities occurred which led to the complaint:	SECURITIES AMERICA, INC.
Allegations:	CLIENT SENT E-MAIL MAKING ALLEGATIONS OF LOSSES OF $100,000.
Product Type:	Annuity-Variable Equity Listed (Common & Preferred Stock)
Alleged Damages:	$100,000.00
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:	10/20/2011
Complaint Pending?	No
Status:	Denied
Status Date:	11/18/2011
Settlement Amount:	
Individual Contribution Amount:	

Disclosure 2 of 3

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: SECURITIES AMERICA, INC.

Allegations: CLIENT SENT E-MAIL TO REPRESENTATIVE'S OFFICE MAKING ALLEGATIONS THAT STOP LOSSES WERE TO BE PLACED ON HIS ACCOUNT RESULTING IN A LOSS OF ABOUT $40,000

Product Type: Equity Listed (Common & Preferred Stock)

Alleged Damages: $40,000.00

Alleged Damages Amount Explanation (if amount not exact): CLIENT MAKES ALLEGATIONS OF 'ABOUT' $40,000 LOSS WITHIN HIS E-MAIL.

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: 09/07/2011

Complaint Pending? No

Status: Denied

Status Date: 10/07/2011

Settlement Amount:

Individual Contribution Amount:

Disclosure 3 of 3

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: SECURITIES AMERICA, INC.

Allegations: ALLEGATIONS AGAINST THE REPRESENTATIVE INCLUDE THE FOLLOWING: NEGLIGENCE, BREACH OF FIDUCIARY DUTY, FRAUD, MISREPRESENTATION, VIOLATIONS OF SECURITIES LAW, PROHIBITORY INJUNCTION, UNLAWFUL BUSINESS PRACTICES AND CONVERSION.

Product Type: Equity Listed (Common & Preferred Stock)

Alleged Damages: $5,000.00

Alleged Damages Amount Explanation (if amount not exact): THIS IS BASED ON A GOOD FAITH DETERMINATION THAT DAMAGES FROM THE ALLEGED CONDUCT WOULD BE GREATER THAN $5,000.

Civil Litigation Information

Type of Court: State Court

Name of Court: SUPERIOR COURT OF CALIFORNIA,

Location of Court:	ORANGE COUNTY, CALIFORNIA
Docket/Case #:	00282057
Date Notice/Process Served:	07/09/2009
Litigation Pending?	No
Disposition:	Settled
Disposition Date:	04/25/2012
Monetary Compensation Amount:	$250,000.00
Individual Contribution Amount:	$0.00
Broker Statement	[CUSTOMER] WAS AN EXTREMELY WEALTHY AND SOPHISTICATED INVESTOR WHO UNDERSTOOD THE RISKS ASSOCIATED WITH THE SECURITIES IN HIS ACCOUNTS. MANAGEMENT INTENDS TO VIGOROUSLY DEFEND THIS ACTION, FIRST BY COMPELLING THE ACTION TO THE APPROPRIATE VENUE, FINRA, PURSUANT TO A BINDING ARBITRATION AGREEMENT BETWEEN THE PARTIES.

End of Report

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