



## IAPD Report

# CYNTHIA SUSAN PELOSI

CRD# 3060831

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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

### CYNTHIA SUSAN PELOSI (CRD# 3060831)

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 **03/06/2023**.

### CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
<b>B</b>	OSAIC WEALTH, INC.	CRD# 23131	11/03/2023
<b>IA</b>	OSAIC WEALTH, INC.	CRD# 23131	11/03/2023

### QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **2** 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>IA</b>	FSC SECURITIES CORPORATION	7461	HUDSON, FL	01/11/2022 - 11/03/2023
<b>B</b>	FSC SECURITIES CORPORATION	7461	ATLANTA, GA	01/10/2022 - 11/03/2023
<b>B</b>	MML INVESTORS SERVICES, LLC	10409	TAMPA, FL	09/23/2021 - 01/06/2022

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
Criminal	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 2 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>B</b>	FINRA	General Securities Representative	Approved	11/03/2023
<b>B</b>	Florida	Agent	Approved	11/03/2023
<b>IA</b>	Florida	Investment Adviser Representative	Approved	11/03/2023
<b>B</b>	Georgia	Agent	Approved	11/03/2023

### Branch Office Locations

**OSAIC WEALTH, INC.**  
18700 N. HAYDEN ROAD  
SUITE 255  
SCOTTSDALE, AZ 85255



## 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 2 state securities law exams.**

#### 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	07/18/2001
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#### State Securities Law Exams

Exam	Category	Date
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 Uniform Investment Adviser Law Examination (S65)	Series 65	07/07/2006
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 Uniform Securities Agent State Law Examination (S63)	Series 63	04/15/2002
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### PROFESSIONAL DESIGNATIONS

This section details that the representative has reported **0** professional designation(s).

No information reported.



### 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	01/11/2022 - 11/03/2023	FSC SECURITIES CORPORATION	CRD# 7461	HUDSON, FL
B	01/10/2022 - 11/03/2023	FSC SECURITIES CORPORATION	CRD# 7461	ATLANTA, GA
B	09/23/2021 - 01/06/2022	MML INVESTORS SERVICES, LLC	CRD# 10409	TAMPA, FL
IA	09/22/2021 - 01/06/2022	MML INVESTORS SERVICES, LLC	CRD# 10409	TAMPA, FL
IA	11/14/2017 - 10/04/2019	SWAN GLOBAL INVESTMENTS, LLC	CRD# 114669	TAMPA, FL
B	07/17/2017 - 10/01/2019	NORTHERN LIGHTS DISTRIBUTORS, LLC	CRD# 126159	ELKHORN, NE
IA	06/02/2016 - 02/22/2017	INVEST FINANCIAL CORPORATION	CRD# 12984	TAMPA, FL
B	05/10/2016 - 02/22/2017	INVEST FINANCIAL CORPORATION	CRD# 12984	TAMPA, FL
B	05/10/2016 - 02/22/2017	INVESTMENT CENTERS OF AMERICA, INC.	CRD# 16443	APPLETON, WI
B	05/10/2016 - 02/22/2017	NATIONAL PLANNING CORPORATION	CRD# 29604	LOS ANGELES, CA
B	05/10/2016 - 02/22/2017	SII INVESTMENTS, INC.	CRD# 2225	APPLETON, WI
B	02/11/2016 - 05/10/2016	INVEST FINANCIAL CORPORATION	CRD# 12984	TAMPA, FL
B	02/11/2016 - 05/09/2016	INVESTMENT CENTERS OF AMERICA, INC.	CRD# 16443	APPLETON, WI
B	02/11/2016 - 05/09/2016	NATIONAL PLANNING CORPORATION	CRD# 29604	LOS ANGELES, CA
B	02/11/2016 - 05/09/2016	SII INVESTMENTS, INC.	CRD# 2225	APPLETON, WI
IA	01/29/2014 - 01/30/2015	METLIFE SECURITIES INC.	CRD# 14251	NEW PORT RITCHEY, F



## 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	10/08/2013 - 01/30/2015	METLIFE SECURITIES INC.	CRD# 14251	SPRINGFIELD, MA
IA	10/22/2013 - 01/02/2014	METLIFE SECURITIES INC.	CRD# 14251	NEW PORT RITCHEY, F
B	06/22/2007 - 11/05/2012	LPL FINANCIAL LLC	CRD# 6413	SAN DIEGO, CA
IA	06/22/2007 - 11/05/2012	LPL FINANCIAL LLC	CRD# 6413	SAN DIEGO, CA
IA	07/11/2006 - 12/31/2006	KELMOORE INVESTMENT CO INC	CRD# 22509	PALO ALTO, CA
B	07/02/2003 - 12/31/2006	KELMOORE INVESTMENT COMPANY, INC.	CRD# 22509	PALO ALTO, CA
B	09/12/2001 - 03/17/2003	WILLIAM R. HOUGH & CO.	CRD# 2235	ST. PETERSBURG, FL
IA	09/12/2001 - 03/17/2003	WILLIAM R. HOUGH & CO., INC	CRD# 2235	ST.PETERSBURG, FL
B	07/19/2001 - 08/30/2001	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
11/2023 - Present	OSAIC WEALTH, INC.	Mass Transfer	Y	JERSEY CITY, NJ, United States
01/2022 - Present	FSC SECURITIES CORPORATION	RECRUITING	Y	ATLANTA, GA, United States
09/2021 - 01/2022	MML Investors Services	Registered Rep	Y	Tampa, FL, United States
09/2021 - 01/2022	MassMutual Life Insurance Co.	Sales Assistant	Y	Tampa, FL, United States
04/2021 - 09/2021	Unemployed	Unemployed	N	New Port Richey, FL, United States
04/2020 - 04/2021	Grow Financial Credit Union	Assistant	Y	Tampa, FL, United States
10/2019 - 04/2020	Pelosi Chiropractic	Assistant	N	New Port Richey, FL, United States



## Registration & Employment History

### EMPLOYMENT HISTORY

Employment Dates	Employer Name	Position	Investment Related	Employer Location
07/2017 - 09/2019	NORTHERN LIGHTS DISTRIBUTORS, LLC	REGISTERED REPRESENTATIVE	Y	Elkhorn, NE, United States
06/2017 - 09/2019	SWAN GLOBAL INVESTMENTS, LLC	REGIONAL INVESTMENT CONSULTANT	Y	DURANGO, CO, United States
02/2017 - 06/2017	UNEMPLOYED	UNEMPLOYED	N	NEW PORT RICHEY, FL, United States
01/2016 - 02/2017	INVEST FINANCIAL CORPORATION, INC.	VICE PRESIDENT OF BUSINESS DEVELOPMENT/Financial Advisor	Y	TAMPA, FL, 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) Name: Prodigy Event Planning, Inv Rel:N Address: @ Residential Address on file, Nature: Wedding & Event Planning, Position: Owner, Start: 05/10/2021, No Hr/Mo:10 No Hr/Mo Dur Trading:0 Duties: Wedding & event planning consultations with clients and day of event coordination.

2) PRODIGY EVENT PLANNING  
 POSITION: owner NATURE: Wedding & Event Planning INVESTMENT RELATED: No NUMBER OF HOURS: 10 SECURITIES TRADING HOURS: 0 START DATE: 05/10/2021  
 ADDRESS: 2659 Brinley Dr, Trinity FL 34655, United States  
 DESCRIPTION: coordinating vendors and building timelines



## 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
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Criminal	2
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### Criminal

This disclosure event involves a criminal charge against the Investment Adviser Representative that has resulted in a dismissal, plea, acquittal or conviction. The criminal matter may relate to any felony or certain misdemeanor offenses (e.g., bribery, perjury, forgery, counterfeiting, extortion, fraud, wrongful taking of property).

#### Disclosure 1 of 2

<b>Reporting Source:</b>	Individual
<b>Formal Charges were brought in:</b>	County Court
<b>Name of Court:</b>	Levy 52C-County Court
<b>Location of Court:</b>	Levy County FL
<b>Docket/Case #:</b>	0213089MMANOA
<b>Charge Date:</b>	09/04/2002
<b>Charge(s) 1 of 1</b>	
<b>Formal Charge(s)/Description:</b>	Misdemeanor First Degree statute: 0832.05.04 giving worthless checks, drafts and debit card orders
<b>No of Counts:</b>	1
<b>Felony or Misdemeanor:</b>	Misdemeanor
<b>Plea for each charge:</b>	nolo-contendere
<b>Disposition of charge:</b>	Adjudication Withheld
<b>Current Status:</b>	Final
<b>Status Date:</b>	08/06/2001
<b>Disposition Date:</b>	09/26/2002
<b>Sentence/Penalty:</b>	fee \$190

#### Disclosure 2 of 2

<b>Reporting Source:</b>	Individual
<b>Formal Charges were brought in:</b>	County Court



<b>Name of Court:</b>	Pasco County Clerk of Circuit Court and County Comptroller
<b>Location of Court:</b>	Pasco County FL
<b>Docket/Case #:</b>	CTC0408473MMAW
<b>Charge Date:</b>	12/02/2004
<b>Charge(s) 1 of 1</b>	
<b>Formal Charge(s)/Description:</b>	statute 832.041 stop pay wit defraud less than 150 dols
<b>No of Counts:</b>	1
<b>Felony or Misdemeanor:</b>	Misdemeanor
<b>Plea for each charge:</b>	No Plea entered
<b>Disposition of charge:</b>	Nolle Prosequi
<b>Current Status:</b>	Final
<b>Status Date:</b>	08/23/2005
<b>Disposition Date:</b>	08/23/2005
<b>Sentence/Penalty:</b>	case closed



## End of Report

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