



IAPD Report

DALE RICHARD AUSTIN

CRD# 3112756

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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

DALE RICHARD AUSTIN (CRD# 3112756)

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 **11/18/2025**.

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 **17** 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	IRWIN, PA	01/12/2012 - 01/19/2024
B	WOODBURY FINANCIAL SERVICES, INC.	421	IRWIN, PA	12/14/2011 - 01/19/2024
IA	AXA ADVISORS, LLC	6627	SEVEN FIELDS, PA	06/27/2007 - 12/08/2011

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	1
Judgment/Lien	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 **17** 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 Representative	Approved	01/19/2024
B	Arizona	Agent	Approved	01/19/2024
B	California	Agent	Approved	01/19/2024
IA	California	Investment Adviser Representative	Approved	01/19/2024
B	District of Columbia	Agent	Approved	01/19/2024
IA	District of Columbia	Investment Adviser Representative	Approved	01/19/2024
B	Florida	Agent	Approved	03/11/2024
B	Georgia	Agent	Approved	07/30/2024
B	Illinois	Agent	Approved	01/19/2024
B	Indiana	Agent	Approved	01/23/2024
B	Maryland	Agent	Approved	01/19/2024
B	Michigan	Agent	Approved	01/26/2024
B	New Jersey	Agent	Approved	01/19/2024



Qualifications

Regulator	Registration	Status	Date
B New York	Agent	Approved	01/19/2024
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 Pennsylvania	Agent	Approved	01/19/2024
IA Pennsylvania	Investment Adviser Representative	Approved	01/19/2024
B South Carolina	Agent	Approved	03/07/2025
B Virginia	Agent	Approved	01/19/2024
B West Virginia	Agent	Approved	01/19/2024

Branch Office Locations

OSAIC WEALTH, INC.
901 7TH STREET
TRAFFORD, PA 15085

OSAIC WEALTH, INC.
381 MANSFIELD AVENUE
SUITE 300
PITTSBURGH, PA 15220



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
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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
 General Securities Representative Examination (S7)	Series 7	08/11/2006
 Investment Company Products/Variable Contracts Representative Examination (S6)	Series 6	08/24/1998

State Securities Law Exams

Exam	Category	Date
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 Uniform Investment Adviser Law Examination (S65)	Series 65	03/14/2007
 Uniform Securities Agent State Law Examination (S63)	Series 63	09/22/2006

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	01/12/2012 - 01/19/2024	WOODBURY FINANCIAL SERVICES, INC.	CRD# 421	IRWIN, PA
B	12/14/2011 - 01/19/2024	WOODBURY FINANCIAL SERVICES, INC.	CRD# 421	IRWIN, PA
IA	06/27/2007 - 12/08/2011	AXA ADVISORS, LLC	CRD# 6627	SEVEN FIELDS, PA
B	08/14/2006 - 12/08/2011	AXA ADVISORS, LLC	CRD# 6627	SEVEN FIELDS, PA
B	08/26/1998 - 06/22/1999	MONY SECURITIES CORPORATION	CRD# 4386	NEW YORK, NY

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.	Mass Transfer	Y	IRWIN, PA, United States
12/2011 - 01/2024	WOODBURY FINANCIAL SERVICES, INC.	REGISTRATION REQUIREMENTS	Y	IRWIN, PA, 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) GBU FINANCIAL: NON INV REL; 4254 CAIRTONK BLVD PITTSBURGH, PA 15227; FIXED ANNUITIES SALES; GENERAL AGENT; 2/1/2008; 10HR/MO; 10HR/MO; SALE OF FIXED AND IMMEDIATE ANNUITIES.

2) SERVICE WEALTH MANAGEMENT

POSITION: Financial Advisor/CEO NATURE: This is the DBA we use to transact business and advise clients related to our relationship with Woodbury Financial. INVESTMENT RELATED: Yes NUMBER OF HOURS: 160 SECURITIES TRADING HOURS: 130 START DATE: 02/01/2012

ADDRESS: 4020 Route 130, Irwin PA 15642, United States

DESCRIPTION: SERVICE WEALTH MANAGEMENT; INV REL; 4020 ROUT 130 IRWIN, PA 15342; SALES AND SERVICE RELATED TO ASSISTING INDIVIDUALS AND BUSINESSES MAKE DECISIONS REGARDING THEIR FINANCIAL CIRCUMSTANCES. OFFER VARIOUS DIFFERENT INVESTMENT VEHICLES, LIFE INSURANCE, AND ANNUITIES; CEO/FINANCIAL CONSULTANT; 10/1/2012; 175HR/MO; 160HR/MO; SALES AND SERVICE OF INVESTMENT PRODUCTS, LIFE INSURANCE, AND ANNUITIES. ADMINISTER THE DAY TO DAY OPERATIONS OF THE BUSINESS.

3) SERVICE FINANCIAL GROUP

POSITION: Agent NATURE: Fixed annuities and fixed term or permanent insurance through Ohio National and GBU Financial as agent. INVESTMENT RELATED: Yes NUMBER OF HOURS: 10 SECURITIES TRADING HOURS: 10 START DATE: 11/06/2017



Registration & Employment History



OTHER BUSINESS ACTIVITIES

ADDRESS: 4020 Route 130, Irwin PA 15642, United States

DESCRIPTION: Marketing and soliciting fixed annuities and term or permanent fixed insurance products.

4) SERVICE FINANCIAL GROUP

POSITION: Insurance Agent NATURE: Appointment to offer Axonic MYGA Fixed Annuities INVESTMENT RELATED: No

NUMBER OF HOURS: 5 SECURITIES TRADING HOURS: 5 START DATE: 08/28/2024

ADDRESS: Pennsylvania 130, Irwin PA 15642, United States

DESCRIPTION: Licensed and appointed to offer Axonic MYGA Annuities to clients.

5) SERVICE WEALTH MANAGEMENT

POSITION: Financial Advisor/CEO NATURE: This is the DBA we use to transact business and advise clients related to our relationship with Osaic Wealth, Inc.. INVESTMENT RELATED: Yes NUMBER OF HOURS: 160 SECURITIES TRADING HOURS: 130 START DATE: 02/01/2012

ADDRESS: 901 Seventh Street Extension, Trafford PA 15085, United States

DESCRIPTION: SERVICE WEALTH MANAGEMENT; INV REL; 901 Seventh Street Extension, Trafford PA 15085; SALES AND SERVICE RELATED TO ASSISTING INDIVIDUALS AND BUSINESSES MAKE DECISIONS REGARDING THEIR FINANCIAL CIRCUMSTANCES. OFFER VARIOUS DIFFERENT INVESTMENT VEHICLES, LIFE INSURANCE, AND ANNUITIES; CEO/FINANCIAL CONSULTANT; 10/1/2012; 175HR/MO; 160HR/MO; SALES AND SERVICE OF INVESTMENT PRODUCTS, LIFE INSURANCE, AND ANNUITIES. ADMINISTER THE DAY TO DAY OPERATIONS OF THE BUSINESS.

6) AXIAS WEALTH ADVISORS LLC

POSITION: Independent Partner Advisor NATURE: The entity is an LLC

I have no direct position or ownership in the entity INVESTMENT RELATED: Yes NUMBER OF HOURS: 10 SECURITIES TRADING HOURS: 10 START DATE: 11/10/2025

ADDRESS: 381 Mansfield Avenue, Suite 300, Pittsburgh PA 15220, United States

DESCRIPTION: Interaction with the staff and attend staff meetings for the purpose of aiding the Axias team in the administration of my insurance and securities business. Leveraging Axias advisors in a coadvisory agreement to provide more robust service for my clients. Joint work with Axias advisors as an Independent Partner Advisor. I have no ownership in Axias Wealth Advisors LLC. I do not have an official title or position in Axias Wealth Advisors LLC. I still market my insurance and securities business under Service Financial Group and Service Wealth Management respectively. I pay Axias Wealth Advisors LLC a monthly fee for the administrative work they do on my behalf. The fee also includes the costs of software, office space, and supplies that I use in the regular operation of my insurance and securities business.



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:

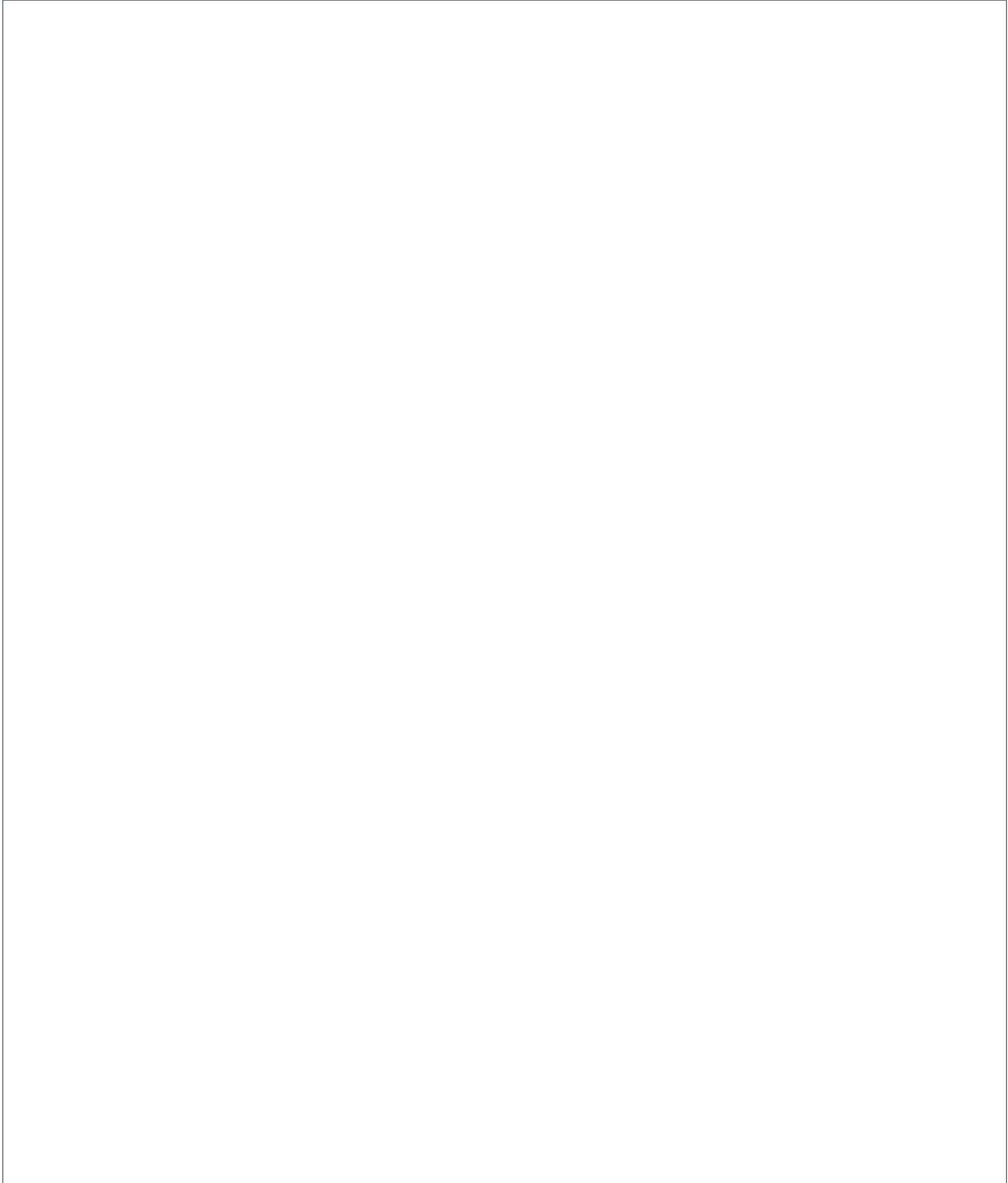
Type	Count
Criminal	1
Judgment/Lien	1

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 1

Reporting Source:	Individual
Formal Charges were brought in:	State Court
Name of Court:	COMMONWEALTH OF PENNSYLVANIA-MAGISTERIAL DISTRICT COURT 36-1-01
Location of Court:	BEAVER COUNTY, PA
Docket/Case #:	MJ-36101-CR-0000384-2010
Charge Date:	12/10/2010
Charge(s) 1 of 1	
Formal Charge(s)/Description:	CRIMINAL TRESPASS SECTION 3503(A)(1)(II) OF PA CRIMES CODE, ACT OF DECEMBER 6, 1972, AS AMENDED, 18 PA. C.S. 3503(A)(1)(II)
No of Counts:	1
Felony or Misdemeanor:	Felony
Plea for each charge:	NOT GUILTY
Disposition of charge:	Dismissed
Current Status:	Final
Status Date:	01/07/2011
Disposition Date:	01/07/2011
Sentence/Penalty:	DISMISSED
Broker Statement	DIVORCE RELATED. SPOUSE VIOLATED STATUS QUO NESTING AGREEMENT AND FILED A FALSE POLICE REPORT WHICH INCLUDED INFORMATION SUGGESTING DALE AUSTIN HAD ABANDONED PROPERTY FOR TWO YEARS.





Judgment/Lien

This disclosure event involves an unsatisfied and outstanding judgment or lien against the Investment Adviser Representative.

Disclosure 1 of 1

Reporting Source:	Individual
Judgment/Lien Holder:	BANK OF AMERICA, N.A.
Judgment/Lien Amount:	\$102,159.20
Judgment/Lien Type:	Civil
Date Filed:	10/03/2011
Type of Court:	State Court
Name of Court:	COURT OF COMMON PLEAS
Location of Court:	BEAVER, PENNSYLVANNIA
Docket/Case #:	10905-2011
Judgment/Lien Outstanding?	Yes
Broker Statement	THE REPRESENTATIVE RECEIVED NOTICE OF THE JUDGEMENT ON 11/07/12



End of Report

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