



IAPD Report

GREGORY PAUL POLEON

CRD# 3116276

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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

GREGORY PAUL POLEON (CRD# 3116276)

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 **04/27/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	OSAIC WEALTH, INC.	CRD# 23131	06/14/2024
IA	OSAIC WEALTH, INC.	CRD# 23131	06/14/2024

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **19** 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	SECURITIES AMERICA ADVISORS, INC.	110518	WILLIAMSVILLE, NY	08/22/2021 - 06/14/2024
B	SECURITIES AMERICA, INC.	10205	WILLIAMSVILLE, NY	03/28/2002 - 06/14/2024
B	SALOMON SMITH BARNEY INC.	7059	NEW YORK, NY	11/02/1998 - 04/09/2002

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	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 **19** 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	06/14/2024
B	California	Agent	Approved	06/14/2024
B	Florida	Agent	Approved	06/14/2024
IA	Florida	Investment Adviser Representative	Approved	01/08/2025
B	Georgia	Agent	Approved	06/14/2024
B	Illinois	Agent	Approved	06/14/2024
B	Massachusetts	Agent	Approved	06/14/2024
B	Michigan	Agent	Approved	06/14/2024
B	Mississippi	Agent	Approved	06/14/2024
B	Missouri	Agent	Approved	06/14/2024
B	Nevada	Agent	Approved	10/17/2025
B	New Jersey	Agent	Approved	06/14/2024
B	New York	Agent	Approved	06/14/2024



Qualifications

Regulator	Registration	Status	Date
IA New York	Investment Adviser Representative	Approved	06/14/2024
B North Carolina	Agent	Approved	06/14/2024
B Pennsylvania	Agent	Approved	06/14/2024
B South Carolina	Agent	Approved	06/14/2024
B Tennessee	Agent	Approved	06/14/2024
B Texas	Agent	Approved	07/01/2024
IA Texas	Investment Adviser Representative	Restricted Approval	07/02/2024
B Vermont	Agent	Approved	12/02/2025
B Virginia	Agent	Approved	06/14/2024
B West Virginia	Agent	Approved	04/27/2026

Branch Office Locations

OSAIC WEALTH, INC.
6024 MAIN ST
WILLIAMSVILLE, NY 14221



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	10/19/1998
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State Securities Law Exams

Exam	Category	Date
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Uniform Investment Adviser Law Examination (S65)	Series 65	11/19/1998
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Uniform Securities Agent State Law Examination (S63)	Series 63	11/09/1998
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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	08/22/2021 - 06/14/2024	SECURITIES AMERICA ADVISORS, INC.	CRD# 110518	WILLIAMSVILLE, NY
B	03/28/2002 - 06/14/2024	SECURITIES AMERICA, INC.	CRD# 10205	WILLIAMSVILLE, NY
B	11/02/1998 - 04/09/2002	SALOMON SMITH BARNEY INC.	CRD# 7059	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
06/2024 - Present	OSAIC WEALTH, INC.	REGISTERED REP	Y	WILLIAMSVILLE, NY, United States
03/2002 - Present	GREGORY POLEON	INSURANCE AGENT / SOLE PROPRIETOR	Y	AMHERST, NY, United States
04/2002 - 06/2024	SECURITIES AMERICA ADVISORS, INC.	INVESTMENT ADVISOR REP	Y	WILLIAMSVILLE, NY, United States
03/2002 - 06/2024	SECURITIES AMERICA, INC.	REGISTERED REPRESENTATIVE	Y	WILLIAMSVILLE, NY, 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. GREG POLEON

POSITION: owner, none, wife manages NATURE: rental property INVESTMENT RELATED: No NUMBER OF HOURS: 4 SECURITIES TRADING HOURS: 0 START DATE: 06/01/2013 ADDRESS: 15 delham, buffalo NY 14215 DESCRIPTION: own, manage property, repairs, rent collections

2. POLEON COMPREHENSIVE WEALTH MANAGEMENT LLC

POSITION: owner NATURE: Poleon Comprehensive Wealth Management LLC Asset management company to run my financial practice and property management businesses. INVESTMENT RELATED: Yes NUMBER OF HOURS: 5 SECURITIES TRADING HOURS: 5 START DATE: 07/01/2022 ADDRESS: 6024 Main St, Williamsville NY 14221 DESCRIPTION: i will run payroll, benefits for employees out of this LLC

3. 6024 MAIN STREET WILLIAMSVILLE NY 14221

POSITION: owner NATURE: WNY Pharmacy Specialsit LLC This is my old consulting corporation. In 2021 I changed purpose to own property. 6024 Main st Williamsvile NT 14221 is an office building I purchased under this corporation. It will be used for my new office in 8/1/22 and also has rental space for other professionals. INVESTMENT RELATED: Yes NUMBER OF HOURS: 5



Registration & Employment History



OTHER BUSINESS ACTIVITIES

SECURITIES TRADING HOURS: 0 START DATE: 08/01/2022 ADDRESS: 6024 Main St, Williamsville NY 14221 DESCRIPTION: 12 persons multii floor office building. I will use 5 offices and 1 conferance room for my office. Will rent out 6 other offices.

4. NOTARY

POSITION: supervisor NATURE: Notary for staff Donna Stuber and Kelly Brennan INVESTMENT RELATED: No NUMBER OF HOURS: 1 SECURITIES TRADING HOURS: 1 START DATE: 08/01/2022 ADDRESS: 6024 main st, Williamsville NY 14221 DESCRIPTION: notary

5. LE3 INC

POSITION: board member, advice NATURE: le3 inc a non for profit before and after education program i started for my daughter INVESTMENT RELATED: No NUMBER OF HOURS: 10 SECURITIES TRADING HOURS: 4 START DATE: 11/01/2016 ADDRESS: 6024 Main St, williamsville NY 14221 DESCRIPTION: helped my daughter start a before and after school program for public and private schools. Also 4 day centers

6. LE3

POSITION: board member, cfo NATURE: LE3 inc is a non for profit before and after education program and prek school that i helped my daughter start INVESTMENT RELATED: No NUMBER OF HOURS: 15 SECURITIES TRADING HOURS: 0 START DATE: 09/01/2015 ADDRESS: 6024 main st, williamsville dr NY 14221 DESCRIPTION: cares for children before and after school starts at the schools locations. includes all day camps for vacation, holiday, school days off

7. BROKER

POSITION: broker NATURE: sECURITIES aMERICA aDVISOR INC - INVESTMENT ADVISOR independent advisor representative - investment related - start date 4-2002 located at 25 california dr williamsville ny 14221 INVESTMENT RELATED: Yes NUMBER OF HOURS: 150 SECURITIES TRADING HOURS: 8 START DATE: 04/01/2002 ADDRESS: 6024 main st, williamsville NY 14221 DESCRIPTION: stockbroker financial advisor

8. 855 ENGLEWOOD INC

POSITION: owner NATURE: property owner INVESTMENT RELATED: No NUMBER OF HOURS: 5 SECURITIES TRADING HOURS: 0 START DATE: 12/30/2022 ADDRESS: 855 englewood ave, tonawanda NY 14213 DESCRIPTION: commercial building rent to daycare company

9. POLEON2285 CENTER RD LLC

POSITION: owner NATURE: Property purchase for rental INVESTMENT RELATED: No NUMBER OF HOURS: 0 SECURITIES TRADING HOURS: 0 START DATE: 01/06/2025 ADDRESS: 160 koster row, amherst NY 14226, United States DESCRIPTION: rental property, wife manages

10. POLEON PROPERTY SOLUTIONS LLC

POSITION: president NATURE: Management, repair, plowing, landscaping and general maintained on my building INVESTMENT RELATED: No NUMBER OF HOURS: 5 SECURITIES TRADING HOURS: 0 START DATE: 10/31/2025 ADDRESS: 160 koster row, amherst NY 14226, United States DESCRIPTION: Opened a new company for property management, mostly my properties. My son Marc Poleon is the only full time employee



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	2

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 2

Reporting Source:	Firm
Employing firm when activities occurred which led to the complaint:	SALOMON SMITH BARNEY
Allegations:	PURCHASE OF UNSUITABLE TELECOMMUNICATIONS TECHNOLOGY STOCKS FROM APRIL 2000 THROUGH MARCH 2002.
Product Type:	Equity - OTC
Alleged Damages:	\$40,000.00

Customer Complaint Information

Date Complaint Received:	06/24/2004
Complaint Pending?	No
Status:	Arbitration/Reparation
Status Date:	06/24/2004

Settlement Amount:

Individual Contribution Amount:

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.:	NASD CASE NUMBER: 04-03802
Date Notice/Process Served:	06/24/2004



Arbitration Pending? No
Disposition: Settled
Disposition Date: 04/08/2005
Monetary Compensation Amount: \$8,500.00
Individual Contribution Amount: \$0.00
Firm Statement MR. POLEON WAS DISMISSED AS PART OF THE SETTLEMENT.

Reporting Source: Individual
Employing firm when activities occurred which led to the complaint: SALOMON SMITH BARNEY
Allegations: ACTIVITY DATES APRIL 2000-MARCH 2002. NASD STATEMENT OF CLAIM ALLEGES NEGLIGENCE, MISREPRESENTATION AND UNSUITABLE INVESTMENT RECOMMENDATIONS.
Product Type: Equity Listed (Common & Preferred Stock)
Alleged Damages: \$40,000.00

Customer Complaint Information

Date Complaint Received: 07/09/2004
Complaint Pending? No
Status: Arbitration/Reparation
Status Date: 07/09/2004
Settlement Amount:

Individual Contribution Amount:

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: NASD CASE NUMBER 04-03802
Date Notice/Process Served: 07/09/2004
Arbitration Pending? No
Disposition: Settled
Disposition Date: 04/08/2005
Monetary Compensation Amount: \$8,500.00
Individual Contribution Amount: \$0.00
Broker Statement MR. POLEON WAS DISMISSED AS PART OF THE SETTLEMENT.

Disclosure 2 of 2

Reporting Source: Firm



Employing firm when activities occurred which led to the complaint: SALOMON SMITH BARNEY

Allegations: THE CLIENT ALLEGED UNSUITABLE AND UNAUTHORIZED TRADING - 3/11/00 THROUGH 3/28/02. DAMAGES UNSPECIFIED.

DAMAGES UNSPECIFIED.

Product Type: Equity Listed (Common & Preferred Stock)

Alleged Damages:

Customer Complaint Information

Date Complaint Received: 06/20/2002

Complaint Pending? No

Status: Denied

Status Date: 08/08/2002

Settlement Amount:

Individual Contribution Amount:

Firm Statement THE CLAIM WAS DENIED.

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: SALOMON SMITH BARNEY

Allegations: CLIENT ALLEGES UNSUITABLE INVESTMENTS

Product Type: Equity Listed (Common & Preferred Stock)

Alleged Damages: \$5,000.00

Customer Complaint Information

Date Complaint Received: 06/20/2002

Complaint Pending? No

Status: Denied

Status Date: 08/08/2002

Settlement Amount:

Individual Contribution Amount:



End of Report

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