IAPD Report

DAVID CHARLES MEYER

CRD# 3140931

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

DAVID CHARLES MEYER (CRD# 3140931)

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 **01/06/2026**.

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 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
IA	SECURITIES AMERICA ADVISORS, INC.	110518	OMAHA, NE	07/25/2012 - 06/14/2024
B	SECURITIES AMERICA, INC.	10205	LAVISTA, NE	06/07/2012 - 06/14/2024
B	QA3 FINANCIAL CORP.	14754	OMAHA, NE	07/24/2002 - 06/24/2010

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
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 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	Nebraska	Agent	Approved	06/14/2024
IA	Nebraska	Investment Adviser Representative	Approved	06/14/2024

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 3 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	01/16/1999

State Securities Law Exams

	Exam	Category	Date
IA B	Uniform Combined State Law Examination (S66)	Series 66	06/28/2001
IA	Uniform Investment Adviser Law Examination (S65)	Series 65	10/27/1998
B	Uniform Securities Agent State Law Examination (S63)	Series 63	10/26/1998

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	07/25/2012 - 06/14/2024	SECURITIES AMERICA ADVISORS, INC.	CRD# 110518	OMAHA, NE
B	06/07/2012 - 06/14/2024	SECURITIES AMERICA, INC.	CRD# 10205	LAVISTA, NE
B	07/24/2002 - 06/24/2010	QA3 FINANCIAL CORP.	CRD# 14754	OMAHA, NE
IA	06/29/2001 - 06/17/2010	ORIZON INVESTMENT COUNSEL LLC	CRD# 109904	OMAHA, NE
B	05/03/1999 - 07/24/2002	PARK AVENUE SECURITIES LLC	CRD# 46173	NEW YORK, NY
B	01/19/1999 - 05/03/1999	GUARDIAN INVESTOR SERVICES CORPORATION	CRD# 6635	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.	Mass Transfer	Y	JERSEY CITY, NJ, United States
06/2024 - Present	OSAIC WEALTH, INC.	Mass Transfer	Y	JERSEY CITY, NJ, United States
03/2014 - Present	LEGAL SHIELD	GENERAL AGENT	N	ADA, OK, United States
04/2012 - Present	OMAHA CHAMBER OF COMMERCE	MEMBER	N	OMAHA, NE, United States
01/2009 - Present	SOUTHWEST OMAHA ROTARY	CHARTER MEMBER AND CHAPTER FOUNDATION DIRECTOR	N	OMAHA, NE, United States
07/2006 - Present	AAA PREGNANCY COUNSELING	BOARD MEMBER	N	OMAHA, NE, United States
08/2005 - Present	NE PARTNERSHIP FOR PHILANTHROPIC PLANNING	MEMBER	N	OMAHA, NE, United States
06/2002 - Present	CBMC BUSINESS FORUM	MEMBER	N	OMAHA, NE, United States

Registration & Employment History

EMPLOYMENT HISTORY

Employment Dates	Employer Name	Position	Investment Related	Employer Location
09/1999 - Present	NATIONAL ASSOCIATION OF INSURANCE AND FINANCIAL ADVISORS	MEMBER	Y	OMAHA, NE, United States
12/1998 - Present	DAVID MEYER	INSURANCE	N	OMAHA, NE, United States
02/1998 - Present	CHRIST COMMUNITY CHURCH	SPIRITUAL LIFE ELDER	N	OMAHA, NE, United States
06/2012 - 06/2024	SECURITIES AMERICA ADVISORS	INVESTMENT ADVISOR REPRESENTATIVE	Y	OMAHA, NE, United States
06/2012 - 06/2024	SECURITIES AMERICA INC	REGISTERED REPRESENTATIVE	Y	OMAHA, NE, United States
07/2010 - 12/2017	SENTIO EXECUTIVES, LLC	VP	N	OMAHA, NE, United States
06/2009 - 12/2017	ALTERNATIVE BOARD OF THE MIDLANDS	FORUM MEMBER	N	OMAHA, NE, 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. NE PARTNERSHIP FOR PHILANTHROPIC PLANNING, TITLE: MEMBER, BUSINESS NATURE: EDUCATIONAL & NETWORKING WITH PROFESSIONALS IN THE CHARITABLE GIVING AREA.

2. LEGAL SHIELD - INSURANCE COMMISSION APPROVED LEGAL SHIELD PRODUCT LINE - GENERAL AGENT - NOT INVESTMENT RELATED - 4 HRS SPENT INVEST RELATED - BEGINNING 3/2014 - LOCATED AT CORPORATE OFFICES, ONE PRE-PAID WAY, ADA OK 74820

3. CENTERSPHERE
POSITION: member NATURE: CENTERSPHERE BUSINESS DEVELOPMENT NETWORKING MEMBER INVESTMENT RELATED: No #HRS: 4 SECURITIES TRADE HRS: 4 START DATE: 11/10/2016 ADDRESS: 1805 N 169th Plaza, Ste B, Omaha NE 68118 DESCRIPTION: connect with potential prospects and do community service volunteer work

4. NAIFA
POSITION: member NATURE: MEMBER INVESTMENT RELATED: No #HRS: 1 SECURITIES TRADE HRS: 1 START DATE: 11/10/2016 ADDRESS: 1636 Normandy Court Ste A, Lincoln NE 68512 DESCRIPTION: attend insurance industry educational sessions that also apply toward insurance continuing education requirements

5. CBMC BUSINESS FORUM
POSITION: member NATURE: MEMBER INVESTMENT RELATED: No #HRS: 4 SECURITIES TRADE HRS: 3 START DATE: 11/10/2016 ADDRESS: 1065 North 115th Street, Ste 100, Omaha NE 68154 DESCRIPTION: MONTHLY FORUM OF BUSINESS EXECUTIVES AND OWNERS - could be a source for potential clients

Registration & Employment History

OTHER BUSINESS ACTIVITIES

6. SENTIO EXECUTIVES LLC
POSITION: Find clients & facilitate, coordinate collaborative counsel of appropriate professionals, depending on client needs. NATURE: ie Securities America Financial Advisor, CPA, HR Consultant, Retirement Plan TPA, Banker, Attorney, Business Coach, Property Casualty Business insurance agent, etc. INVESTMENT RELATED: No #HRS: 30 SECURITIES TRADE HRS: 10 START DATE: 11/10/2016 ADDRESS: 12020 Shamrock Plaza, Ste 200, Omaha NE 68154 DESCRIPTION: Firm provides business consulting services(non- investment related) to individuals & business owners

7. LICENSED INSURANCE SALES
POSITION: agent NATURE: BUSINESS NAME: LICENSED INSURANCE SALES TITLE: LICENSED INSURANCE PRODUCER BUSINESS NATURE: INSURANCE SALES INVESTMENT RELATED: No NUMBER OF HOURS: 15 SECURITIES TRADING HOURS: 4 START DATE: 11/10/2016 ADDRESS: American Wealth Partners, 14545 West Center Road, Omaha NE 68144 DESCRIPTION: seek insurance policy quotes

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
Termination	1

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:	ORIZON INVESTMENT COUNSEL, LLC
Termination Type:	Discharged
Termination Date:	06/07/2010
Allegations:	AN INTERNAL INVESTIGATION CONFIRMED THAT MR. MEYER VIOLATED SEC AND FINRA RULES AND REGULATIONS, AS WELL AS ORIZON'S COMPLIANCE, CODE OF ETHICS AND OPERATIONAL PROCEDURES. THE FIRM TOOK REMEDIAL ACTIONS TO CORRECT MR. MEYER'S VIOLATIONS. NO OTHER ACTIONS WILL BE TAKEN AT THIS TIME.
Product Type:	Direct Investment-DPP & LP Interests Equity-OTC Equity Listed (Common & Preferred Stock) Insurance Real Estate Security

Reporting Source:	Individual
Firm Name:	ORIZON INVESTMENT COUNSEL, LLC
Termination Type:	Discharged
Termination Date:	06/07/2010
Allegations:	ORIZON INFORMED FINRA THEY WERE CONDUCTING AN INTERNAL INVESTIGATION REGARDING POTENTIAL RULES VIOLATIONS
Product Type:	No Product
Broker Statement	ON DECEMBER 19, 2011, FINRA SENT A LETTER TO MY ATTORNEY STATING THAT BASED ON FURTHER REVIEW, FINRA HAD DETERMINED TO CLOSE

MY FILE AND SUSPEND THEIR INVESTIGATION, RESULTING IN NO ACTION AGAINST MY LICENSES.

End of Report

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