



IAPD Report

PATRICK LEE WILLIAMS

CRD# 3214332

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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

PATRICK LEE WILLIAMS (CRD# 3214332)

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 **07/22/2024**.

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 **7** 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	CARLISLE, PA	01/02/2020 - 06/14/2024
B	SECURITIES AMERICA, INC.	10205	CARLISLE, PA	01/02/2020 - 06/14/2024
IA	SA STONE INVESTMENT ADVISORS INC.	174182	Carlisle, PA	01/30/2015 - 01/02/2020

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?

No



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 7 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	FINRA	Invest. Co and Variable Contracts	Approved	06/14/2024
B	Delaware	Agent	Approved	06/14/2024
B	Florida	Agent	Approved	06/14/2024
B	Georgia	Agent	Approved	06/14/2024
B	Indiana	Agent	Approved	06/14/2024
B	New York	Agent	Approved	06/14/2024
B	Pennsylvania	Agent	Approved	06/14/2024
IA	Pennsylvania	Investment Adviser Representative	Approved	06/14/2024
B	South Carolina	Agent	Approved	07/22/2024

Branch Office Locations

OSAIC WEALTH, INC.
64 S WEST ST
CARLISLE, PA 17013



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
B Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
B General Securities Representative Examination (S7)	Series 7	01/31/2002
B Investment Company Products/Variable Contracts Representative Examination (S6)	Series 6	04/30/1999

State Securities Law Exams

Exam	Category	Date
IA Uniform Investment Adviser Law Examination (S65)	Series 65	01/04/2001
B Uniform Securities Agent State Law Examination (S63)	Series 63	05/18/1999



PROFESSIONAL DESIGNATIONS

This section details that the representative has reported **1** professional designation(s).

Certified Financial Planner

This representative holds or did hold **1** professional designation(s) that may have been used to qualify as an Investment Advisor representative. Please check with the appropriate designation authority for verification that the designation is still in effect. The contact information for these professional designation authorities can be found on the website for the North American Securities Administrators Association at <http://www.nasaa.org>



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	01/02/2020 - 06/14/2024	SECURITIES AMERICA ADVISORS, INC.	CRD# 110518	CARLISLE, PA
B	01/02/2020 - 06/14/2024	SECURITIES AMERICA, INC.	CRD# 10205	CARLISLE, PA
IA	01/30/2015 - 01/02/2020	SA STONE INVESTMENT ADVISORS INC.	CRD# 174182	Carlisle, PA
B	09/12/2014 - 01/02/2020	SA STONE WEALTH MANAGEMENT INC.	CRD# 18456	Carlisle, PA
IA	01/12/2010 - 01/30/2015	STERNE AGEE INVESTMENT ADVISOR SERVICES, INC.	CRD# 7365	Carlisle, PA
B	01/12/2010 - 09/12/2014	WRP INVESTMENTS, INC.	CRD# 7365	Carlisle, PA
IA	11/08/2007 - 01/14/2010	GUARDIAN ASSET ADVISORS, LLC	CRD# 144958	MECHANICSBURG, PA
IA	02/19/2008 - 01/12/2010	NATIONAL PLANNING CORPORATION ("NPC OF AMERICA" IN FL & NY)	CRD# 29604	MECHANICSBURG, PA
B	10/08/2001 - 01/12/2010	NATIONAL PLANNING CORPORATION	CRD# 29604	MECHANICSBURG, PA
B	05/03/1999 - 10/15/2001	WADDELL & REED, INC.	CRD# 866	OVERLAND PARK, KS

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	CARLISLE, PA, United States
06/2024 - Present	OSAIC WEALTH, INC.	Mass Transfer	Y	CARLISLE, PA, United States
01/2020 - 06/2024	SECURITIES AMERICA ADVISORS	INVESTMENT ADVISER REP	Y	CARLISLE, PA, United States
01/2020 - 06/2024	SECURITIES AMERICA, INC.	REGISTERED REPRESENTATIVE	Y	CARLISLE, PA, United States



Registration & Employment History



EMPLOYMENT HISTORY

Employment Dates	Employer Name	Position	Investment Related	Employer Location
01/2015 - 12/2019	STERNE AGEE INVESTMENT ADVISOR SERVICES, INC.	INVESTMENT ADVISER REP	Y	BIRMINGHAM, AL, United States
09/2014 - 12/2019	STERNE AGEE FINANCIAL SERVICES, INC.	REGISTERED REPRESENTATIVE	Y	CARLISLE, 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.

***N/A

POSITION: Tax Preparer NATURE: Tax Preparation INVESTMENT RELATED: No NUMBER OF HOURS: 3 SECURITIES TRADING HOURS: 0 START DATE: 01/01/2016 ADDRESS: 613 Devonshire Dr., Carlisle PA 17013 DESCRIPTION: Tax Preparation for about 10 family and friends

***CARLISLE ALLIANCE CHURCH GOVERNING BOARD/ELDER

POSITION: Elder/Governing Board member NATURE: Church Governing Board/Elder INVESTMENT RELATED: No NUMBER OF HOURS: 10 SECURITIES TRADING HOURS: 0 START DATE: 02/03/2018 ADDRESS: 217 E. North St., Carlisle PA 17013 DESCRIPTION: Church Elder and Governing Board member

***DBA - Cornerstone Wealth Management

***CORNERSTONE WEALTH MANAGEMENT

POSITION: Owner, advisor NATURE: Advisory Services, Securities America Advisors INVESTMENT RELATED: Yes NUMBER OF HOURS: 120 SECURITIES TRADING HOURS: 120 START DATE: 01/02/2020 ADDRESS: 15 State Ave. Suite 103, Carlisle PA 17013 DESCRIPTION: Investment advisory services for clients

***N/A

POSITION: Agent NATURE: Insurance INVESTMENT RELATED: No NUMBER OF HOURS: 30 SECURITIES TRADING HOURS: 30 START DATE: 01/01/2010 ADDRESS: 64 S. West St., Carlisle PA 17013 DESCRIPTION: Facilitate clients obtaining different insurances based on the needs of their individual financial goals and risks.



End of Report

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