



IAPD Report

ANDREW EDWIN BURDSALL

CRD# 4043145

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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

ANDREW EDWIN BURDSALL (CRD# 4043145)

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 **03/23/2026**.

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 **24** 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	JEFFERSONVILLE, IN	12/27/2001 - 06/14/2024
B	SECURITIES AMERICA, INC.	10205	JEFFERSONVILLE, IN	12/12/2001 - 06/14/2024
IA	AMERIPRISE FINANCIAL SERVICES, INC.	6363	NEW ALBANY, IN	12/27/2001 - 08/24/2005

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	5



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 **24** 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 Principal	Approved	06/14/2024
B	FINRA	General Securities Representative	Approved	06/14/2024
B	FINRA	Operations Professional	Approved	06/14/2024
B	Alabama	Agent	Approved	06/14/2024
B	Arizona	Agent	Approved	06/14/2024
B	California	Agent	Approved	06/14/2024
B	Colorado	Agent	Approved	06/14/2024
B	Florida	Agent	Approved	06/14/2024
IA	Florida	Investment Adviser Representative	Approved	06/14/2024
B	Georgia	Agent	Approved	06/14/2024
B	Illinois	Agent	Approved	06/14/2024
B	Indiana	Agent	Approved	06/14/2024
IA	Indiana	Investment Adviser Representative	Approved	06/14/2024



Qualifications

Regulator	Registration	Status	Date
B Kansas	Agent	Approved	06/14/2024
B Kentucky	Agent	Approved	06/14/2024
IA Kentucky	Investment Adviser Representative	Approved	06/14/2024
B Maryland	Agent	Approved	04/04/2025
B Michigan	Agent	Approved	06/14/2024
B Minnesota	Agent	Approved	06/14/2024
B Mississippi	Agent	Approved	06/14/2024
B Missouri	Agent	Approved	06/14/2024
B Nevada	Agent	Approved	09/10/2025
B North Carolina	Agent	Approved	06/14/2024
B Ohio	Agent	Approved	06/14/2024
B Oklahoma	Agent	Approved	06/14/2024
B South Carolina	Agent	Approved	06/14/2024
B Tennessee	Agent	Approved	06/14/2024
B Texas	Agent	Approved	06/14/2024
IA Texas	Investment Adviser Representative	Restricted Approval	06/14/2024
B Virginia	Agent	Approved	06/14/2024
B Washington	Agent	Approved	06/14/2024



Qualifications

Branch Office Locations

OSAIC WEALTH, INC.
605 NORTH SHORE DRIVE
SUITE 104
JEFFERSONVILLE, IN 47130

OSAIC WEALTH, INC.
6006 Brownsboro Park Blvd
Suite D
Louisville, KY 40207



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 1 principal/supervisory exam, 3 general industry/product exams, and 1 state securities law exam.

Principal/Supervisory Exams

Exam	Category	Date
General Securities Principal Examination (S24)	Series 24	12/06/2001

General Industry/Product Exams

Exam	Category	Date
Operations Professional Examination (S99TO)	Series 99TO	01/02/2023
Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
General Securities Representative Examination (S7)	Series 7	11/09/1999

State Securities Law Exams

Exam	Category	Date
Uniform Securities Agent State Law Examination (S63)	Series 63	11/19/1999

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	12/27/2001 - 06/14/2024	SECURITIES AMERICA ADVISORS, INC.	CRD# 110518	JEFFERSONVILLE, IN
B	12/12/2001 - 06/14/2024	SECURITIES AMERICA, INC.	CRD# 10205	JEFFERSONVILLE, IN
IA	12/27/2001 - 08/24/2005	AMERIPRISE FINANCIAL SERVICES, INC.	CRD# 6363	NEW ALBANY, IN
B	12/07/1999 - 08/24/2005	AMERIPRISE FINANCIAL SERVICES, INC.	CRD# 6363	MINNEAPOLIS, MN
B	12/07/1999 - 08/24/2005	IDS LIFE INSURANCE COMPANY	CRD# 6321	MINNEAPOLIS, MN

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	JEFFERSONVILLE, IN, United States
09/2007 - Present	RIVERBEND TAX SERVICES & BOOKKEEPING INC.	PRESIDENT / OWNER OF TAX PREPARATION / BOOKKEEPING FIRM	Y	JEFFERSONVILLE, IN, United States
12/2001 - Present	RIVERBEND FINANCIAL GROUP, LLC	MEMBER	N	JEFFERSONVILLE, IN, United States
12/2001 - 06/2024	SECURITIES AMERICA ADVISORS	INV ADVISOR	Y	NEW ALBANY, IN, United States
12/2001 - 06/2024	SECURITIES AMERICA, INC	REG REP	Y	NEW ALBANY, IN, 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.

- IRONBRIDGE WEALTH COUNSEL, LLC**
 POSITION: Managing Director NATURE: LLC INVESTMENT RELATED: Yes NUMBER OF HOURS: 160 SECURITIES TRADING HOURS: 160 START DATE: 01/01/2026
 ADDRESS: 605 North Shore Dr, Suite 104, Jeffersonville IN 47130, United States
 DESCRIPTION: Meeting with clients, providing financial advice, selecting portfolios. Also using IronBridge as a marketing name



Registration & Employment History

OTHER BUSINESS ACTIVITIES

for securities and insurance business.

2. RIVERBEND FINANCIAL GROUP, LLC

POSITION: President NATURE: LLC INVESTMENT RELATED: Yes NUMBER OF HOURS: 10 SECURITIES TRADING HOURS: 10 START DATE: 07/01/2007

ADDRESS: 605 North Shore Drive, Suite 104, Jeffersonville IN 47130, United States

DESCRIPTION: Entity to pay business expenses including payroll

3. RIVERBEND TAX SERVICES AND BOOKKEEPING, INC

POSITION: Owner NATURE: Tax Prep INVESTMENT RELATED: No NUMBER OF HOURS: 10 SECURITIES TRADING HOURS: 10 START DATE: 09/01/2007

ADDRESS: 605 N Shore Dr Ste 104, Jeffersonville IN 47130, United States

DESCRIPTION: Help clients assemble their taxes & facilitate prep

4. NORTH SHORE OFFICE OWNERS ASSOCIATION

POSITION: Board Member NATURE: Board of Directors condo owners' assoc. INVESTMENT RELATED: No NUMBER OF HOURS: 1 SECURITIES TRADING HOURS: 1 START DATE: 10/05/2011

ADDRESS: 605 N Shore Dr Ste 204, Jeffersonville IN 47130, United States

DESCRIPTION: Making & enforcing policies to protect condo owners

5. CHRISTIAN ACADEMY OF LOUISVILLE SCHOOL SYSTEM

POSITION: Committee member NATURE: Serving on 403(b) advisory committee for school system INVESTMENT RELATED: No NUMBER OF HOURS: 1 SECURITIES TRADING HOURS: 1 START DATE: 08/16/2017

ADDRESS: 700 S English Station Rd, Louisville KY 40245, United States

DESCRIPTION: Oversight on 403(b) retirement plan. Committee works w/plan provider, plan financial advisor & plan third-party admin to ensure plan is working in best interests of employee participants.

6. RIVER OAK PROPERTIES LLC

POSITION: President NATURE: Owning owner-occupied rental property INVESTMENT RELATED: No NUMBER OF HOURS: 1 SECURITIES TRADING HOURS: 1 START DATE: 02/15/2010

ADDRESS: 605 N Shore Dr Ste 204, Jeffersonville IN 47130, United States

DESCRIPTION: Owning office condo

7. TIMECENTRIC INC

POSITION: Founding Director NATURE: Time/attendance/payroll services/software INVESTMENT RELATED: No NUMBER OF HOURS: 2 SECURITIES TRADING HOURS: 1 START DATE: 4/22/2020

ADDRESS: 3650 Rogers Road Suite 359, Wake Forest NC 27587, United States

DESCRIPTION: Serving as Founding Director of Board. Review bus. financials, discuss strategy, set vision. Will not have day-to-day responsibilities for operation or growth of business.

8. MCCARTY HOME IMPROVEMENT LLC

POSITION: Member NATURE: Construction & home remodeling INVESTMENT RELATED: No NUMBER OF HOURS: 3 SECURITIES TRADING HOURS: 0 START DATE: 08/26/2020

ADDRESS: 939 Hazelwood Dr, Clarksville IN 47129, United States

DESCRIPTION: Friends are starting construction & remodeling bus. & wanted bus.-minded partner to help ensure runs well. Not clients & will be more a consultant/coach than anything. I'm part owner but will not be employee & will have little day-to-day involvement. I will probably see bank account but will not be signer.

9. COMMUNITY FOUNDATION OF SOUTHERN INDIANA

POSITION: Director on Board NATURE: Charitable Foundation (501(c)3) INVESTMENT RELATED: No NUMBER OF HOURS: 2



Registration & Employment History



OTHER BUSINESS ACTIVITIES

SECURITIES TRADING HOURS: 2 START DATE: 08/01/2024

ADDRESS: 4108 Charlestown Rd, New Albany IN 47150, United States

DESCRIPTION: Serve on Board of Directors for community foundation. Provide direction, leadership and accountability to President and CEO and staff.



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	5

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 5

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	Securities America, Inc.
Allegations:	Client alleges that after briefly discussing the possibility of generating a monthly income plan, the representative placed unauthorized trades within the client's account which resulted in a loss to his portfolio.
Product Type:	Equity Listed (Common & Preferred Stock) Mutual Fund
Alleged Damages:	\$106,202.16
Is this an oral complaint?	No
Is this a written complaint?	Yes
Is this an arbitration/CFTC reparation or civil litigation?	No

Customer Complaint Information

Date Complaint Received:	01/07/2019
Complaint Pending?	No
Status:	Closed/No Action
Status Date:	08/20/2019
Settlement Amount:	
Individual Contribution Amount:	



Broker Statement The client's allegations are totally without merit. Discussions about the reallocation took place over multiple meetings and the client approved the new portfolio and the transactions. The alleged loss was not \$106,000. The client's calculation included the proceeds of the mutual fund sale and excluded the subsequent purchases. He then moved the account before any discussion or remedy.

Disclosure 2 of 5

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: SECURITIES AMERICA, INC.

Allegations: IN CONNECTION WITH THE RECOMMENDATION AND SALE OF MEDICAL CAPITAL, CLAIMANTS ALLEGE UNSUITABILITY, MISREPRESENTATION, AND VIOLATION OF DUTIES OWED TO CLAIMANTS.

Product Type: Direct Investment-DPP & LP Interests

Alleged Damages: \$70,000.00

Is this an oral complaint? No

Is this a written complaint? Yes

Is this an arbitration/CFTC reparation or civil litigation? Yes

Arbitration/Reparation forum or court name and location: FINRA

Docket/Case #: 10-05435

Filing date of arbitration/CFTC reparation or civil litigation: 12/01/2010

Customer Complaint Information

Date Complaint Received: 12/13/2010

Complaint Pending? No

Status: Settled

Status Date: 09/29/2011

Settlement Amount: \$32,493.58

Individual Contribution Amount: \$0.00

Broker Statement ANDREW BURDSALL IS NOT A NAMED RESPONDENT IN THIS MATTER. 10/11/2011: THIS CLAIM WAS PART OF A GLOBAL SETTLEMENT BY SECURITIES AMERICA, INC.

Disclosure 3 of 5

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: SECURITIES AMERICA, INC.

Allegations: IN CONNECTION WITH THE RECOMMENDATION AND SALE OF PROVIDENT



ROYALTIES, CLAIMANT ALLEGES UNSUITABILITY, MISREPRESENTATION, AND VIOLATION OF DUTIES OWED TO CLAIMANT.

Product Type: Oil & Gas
Alleged Damages: \$45,000.00
Is this an oral complaint? No
Is this a written complaint? Yes
Is this an arbitration/CFTC reparation or civil litigation? Yes
Arbitration/Reparation forum or court name and location: FINRA
Docket/Case #: 10-03539
Filing date of arbitration/CFTC reparation or civil litigation: 08/03/2010

Customer Complaint Information

Date Complaint Received: 08/17/2010
Complaint Pending? No
Status: Settled
Status Date: 09/29/2011
Settlement Amount: \$20,888.73
Individual Contribution Amount: \$0.00

Broker Statement ANDREW BURDSALL IS NOT A NAMED RESPONDENT IN THIS MATTER. 10/11/2011: THIS CLAIM WAS PART OF A GLOBAL SETTLEMENT BY SECURITIES AMERICA, INC.

Disclosure 4 of 5

Reporting Source: Individual
Employing firm when activities occurred which led to the complaint: SECURITIES AMERICA, INC.

Allegations: IN CONNECTION WITH THE RECOMMENDATION AND SALE OF PROVIDENT ROYALTIES, CLAIMANTS ALLEGE UNSUITABILITY, MISREPRESENTATION AND VIOLATION OF DUTIES OWED TO CLAIMANTS.

Product Type: Oil & Gas
Alleged Damages: \$1,350,000.00
Alleged Damages Amount Explanation (if amount not exact): THIS IS A MULTI-CLIENT CLAIM INVOLVING SEVERAL REPRESENTATIVES. ALLEGED DAMAGES FOR THIS REPRESENTATIVE ARE \$75,000.
Is this an oral complaint? No
Is this a written complaint? Yes



**Is this an arbitration/CFTC
reparation or civil litigation?** Yes

**Arbitration/Reparation forum
or court name and location:** FINRA

Docket/Case #: 09-06461

**Filing date of
arbitration/CFTC reparation
or civil litigation:** 11/11/2009

Customer Complaint Information

Date Complaint Received: 07/30/2010

Complaint Pending? No

Status: Settled

Status Date: 09/29/2011

Settlement Amount: \$626,661.98

**Individual Contribution
Amount:** \$0.00

Broker Statement ANDREW BURDSALL IS NOT A NAMED RESPONDENT IN THIS MATTER.
10/11/2011: THIS CLAIM WAS PART OF A GLOBAL SETTLEMENT BY
SECURITIES AMERICA, INC.

Disclosure 5 of 5

Reporting Source: Individual

**Employing firm when
activities occurred which led
to the complaint:** SECURITIES AMERICA, INC.

Allegations: RELATING TO THE SALE OF PROVIDENT SHALE, IMH SECURED LOAN
FUND, AND A VARIABLE ANNUITY, CLAIMANTS ALLEGE
MISREPRESENTATION, UNSUITABILITY, NEGLIGENCE, FRAUD AND BREACH
OF FIDUCIARY DUTY.

Product Type: Annuity-Variable
Other: ALTERNATIVE INVESTMENT PRODUCTS

Alleged Damages: \$135,707.00

Is this an oral complaint? No

Is this a written complaint? Yes

**Is this an arbitration/CFTC
reparation or civil litigation?** Yes

**Arbitration/Reparation forum
or court name and location:** FINRA

Docket/Case #: 09-07010

**Filing date of
arbitration/CFTC reparation
or civil litigation:** 12/17/2009

Customer Complaint Information



Date Complaint Received:	12/30/2009
Complaint Pending?	No
Status:	Settled
Status Date:	12/14/2010
Settlement Amount:	\$31,000.00
Individual Contribution Amount:	\$0.00



End of Report

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