IAPD Report

JEREMY WILMES

CRD# 4049866

Section Title	Page(s)

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

JEREMY WILMES (CRD# 4049866)

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 **07/10/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	OSAIC WEALTH, INC.	CRD# 23131	08/06/2025
IA	OSAIC WEALTH, INC.	CRD# 23131	08/07/2025

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **3** 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	EDWARD JONES	250	PALM BEACH GARDENS, FL	12/09/2024 - 08/07/2025
B	EDWARD JONES	250	PALM BEACH GARDENS, FL	12/06/2024 - 08/07/2025
B	CETERA ADVISORS LLC	10299	GREENWOOD VILLAGE, CO	08/07/2024 - 12/12/2024

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	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 **3** 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	08/06/2025
B	FINRA	General Securities Representative	Approved	08/06/2025
B	FINRA	Invest. Co and Variable Contracts	Approved	08/06/2025
B	FINRA	Municipal Fund	Approved	08/06/2025
B	FINRA	Municipal Securities Representative	Approved	08/06/2025
B	Florida	Agent	Approved	08/06/2025
IA	Florida	Investment Adviser Representative	Approved	08/07/2025
B	Hawaii	Agent	Approved	08/07/2025
B	North Carolina	Agent	Approved	08/08/2025

Branch Office Locations

OSAIC WEALTH, INC.
3801 PGA BLVD
#600
PALM BEACH GARDENS, FL 33410

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 2 principal/supervisory exams, 4 general industry/product exams, and 2 state securities law exams.

Principal/Supervisory Exams

	Exam	Category	Date
B	Municipal Fund Securities Principal Examination (S51)	Series 51	02/08/2017
B	General Securities Principal Examination (S24)	Series 24	08/11/2016

General Industry/Product Exams

	Exam	Category	Date
B	Municipal Securities Representative Examination (S52TO)	Series 52TO	01/02/2023
B	Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
B	General Securities Representative Examination (S7)	Series 7	01/24/2002
B	Investment Company Products/Variable Contracts Representative Examination (S6)	Series 6	10/19/1999

State Securities Law Exams

	Exam	Category	Date
IA	Uniform Investment Adviser Law Examination (S65)	Series 65	02/25/2002
B	Uniform Securities Agent State Law Examination (S63)	Series 63	10/26/1999

PROFESSIONAL DESIGNATIONS

This section details that the representative has reported **2** professional designation(s).

Certified Financial Planner

PROFESSIONAL DESIGNATIONS

This section details that the representative has reported **2** professional designation(s).

Chartered Financial Consultant

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	12/09/2024 - 08/07/2025	EDWARD JONES	CRD# 250	PALM BEACH GARDEN!
B	12/06/2024 - 08/07/2025	EDWARD JONES	CRD# 250	PALM BEACH GARDEN!
B	08/07/2024 - 12/12/2024	CETERA ADVISORS LLC	CRD# 10299	GREENWOOD VILLAGE
IA	05/03/2023 - 12/12/2024	CETERA INVESTMENT ADVISERS LLC	CRD# 105644	EL SEGUNDO, CA
B	11/29/2022 - 12/12/2024	CETERA ADVISOR NETWORKS LLC	CRD# 13572	EL SEGUNDO, CA
IA	11/30/2022 - 06/29/2023	CETERA ADVISOR NETWORKS LLC	CRD# 13572	JUPITER, FL
B	02/17/2022 - 10/13/2022	P.J. ROBB VARIABLE CORPORATION	CRD# 38339	MEMPHIS, TN
IA	03/19/2021 - 11/11/2021	EQUITABLE ADVISORS, LLC	CRD# 6627	TAMPA, FL
B	11/30/2020 - 11/11/2021	EQUITABLE ADVISORS, LLC	CRD# 6627	TAMPA, FL
IA	11/30/2020 - 12/31/2020	EQUITABLE ADVISORS, LLC	CRD# 6627	TAMPA, FL
B	01/15/2020 - 11/29/2020	PRUCO SECURITIES, LLC.	CRD# 5685	BELLEVUE, WA
IA	01/15/2020 - 11/29/2020	PRUDENTIAL FINANCIAL PLANNING SERVICES	CRD# 5685	BELLEVUE, WA
B	11/14/2019 - 01/03/2020	MML INVESTORS SERVICES, LLC	CRD# 10409	BELLEVUE, WA
IA	12/05/2013 - 05/31/2019	ALLSTATE FINANCIAL ADVISORS, LLC	CRD# 109524	Bothell, WA
B	12/05/2013 - 05/31/2019	ALLSTATE FINANCIAL SERVICES, LLC	CRD# 18272	BOTHELL, WA
B	01/23/2015 - 01/03/2017	ALLSTATE DISTRIBUTORS, L.L.C.	CRD# 100460	NORTHBROOK, IL
B	03/02/2011 - 11/12/2013	BANCWEST INVESTMENT SERVICES, INC.	CRD# 29357	KAHULUI, HI

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	03/02/2011 - 11/12/2013	BANCWEST INVESTMENT SERVICES, INC. (BWIS) AND BWIS D/B/A FHIS	CRD# 29357	KAHULUI, HI
IA	11/10/2008 - 02/11/2011	EAGLE STRATEGIES LLC	CRD# 110826	KIHEI, HI
B	01/16/2008 - 02/11/2011	NYLIFE SECURITIES LLC	CRD# 5167	PUKALANI, HI
B	11/20/2006 - 11/01/2007	PAULSON INVESTMENT COMPANY, INC.	CRD# 5670	WAILUKU, HI
IA	11/20/2006 - 11/01/2007	PAULSON INVESTMENT COMPANY, INC.	CRD# 5670	WAILUKU, HI
IA	03/31/2006 - 10/31/2006	ON INVESTMENT MANAGEMENT CO	CRD# 105662	KIHEI, HI
B	06/16/2004 - 10/31/2006	THE O.N. EQUITY SALES COMPANY	CRD# 2936	KIHEI, HI
B	05/23/2003 - 01/05/2004	PAULSON INVESTMENT COMPANY, INC.	CRD# 5670	PORTLAND, OR
IA	05/15/2003 - 01/05/2004	PAULSON INVESTMENT COMPANY, INC.	CRD# 5670	PORTLAND, OR
IA	07/03/2002 - 02/06/2003	AXA ADVISORS, LLC	CRD# 6627	PORTLAND, OR
B	01/16/2002 - 02/06/2003	AXA ADVISORS, LLC	CRD# 6627	NEW YORK, NY
B	10/20/1999 - 05/25/2000	WILLAMETTE SECURITIES, INC.	CRD# 32451	PORTLAND, OR

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
08/2025 - Present	OSAIC WEALTH INC	REGISTERED REPRESENTATIVE	Y	PALM BEACH GARDENS, FL, United States
01/2005 - Present	CAPTAIN	MASTER CAPTAIN	N	DUNEDIN, FL, United States
12/2024 - 08/2025	Edward Jones	Financial Advisor	Y	St. Louis, MO, United States

Registration & Employment History

EMPLOYMENT HISTORY

Employment Dates	Employer Name	Position	Investment Related	Employer Location
03/2023 - 12/2024	CETERA INVESTMENT ADVISERS LLC	INVESTMENT ADVISOR REPRESENTATIVE	Y	SCHAUMBURG, IL, United States
10/2022 - 12/2024	CETERA ADVISER NETWORKS LLC	Sr Recruiter	Y	EL SEGUNDO, CA, United States
01/2022 - 10/2022	Crump Life Insurance Services (Truist)	Business Development Specialist	Y	Charlotte, NC, United States
01/2022 - 10/2022	P.J. Robb Variable Corp.	Registered Representative	Y	Dundedin, FL, United States
11/2020 - 01/2022	Self Employed	Self Employed	N	Tampa, FL, United States
03/2002 - 11/2021	Equitable Advisors LLC	Registered Representative	Y	New York, NY, United States
01/2020 - 11/2020	The Prudential Insurance Company of America	Manager of Financial Services	N	Bellevue, WA, United States
05/2011 - 12/2019	MassMutual	Producer	Y	Bellevue, WA, United States
11/2013 - 05/2019	ALLSTATE INSURANCE CO	AGENT	N	KIHEI, HI, 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. Contract PADI SCUBA Instructor/ USCG 100t Boat Captain
Type of business: Recreation
Jupiter, FL
Start date: 6/1/2005
Sole Proprietor
Hours per week: 5
Hours during trading: 0
Maintain licenses and undertake contract work from time to time to meet minimum requirements. Operate vessels of less than 100 tons for compensation, teach SCUBA certification for compensation

2. Rhode Island Marine Archaeology Project (RIMAP)
POSITION: Board member, Volunteer diver and boat captain NATURE: 501c non-profit organization. INVESTMENT RELATED: No NUMBER OF HOURS: 1 SECURITIES TRADING HOURS: 0 START DATE: 01/12/2017
ADDRESS: PO Box 1492, Newport RI 02840
DESCRIPTION: Volunteer diver and boat captain during field work season (usually one week in August/September) to locate, document, identify and preserve historical shipwrecks in NE waters. Voting board member for maritime engagements and activities. Do not handle money or the business side of the organization.

Registration & Employment History

OTHER BUSINESS ACTIVITIES

3. ENDEAVOUR WEALTH MANAGEMENT & PROTECTION, PLLC
POSITION: Manager NATURE: PLLC, is a dba for my activities with Osaic INVESTMENT RELATED: Yes NUMBER OF HOURS: 200 SECURITIES TRADING HOURS: 160 START DATE: 08/01/2025
ADDRESS: 3801 PGA Blvd. Suite 600, Palm Beach Gardens FL 33410
DESCRIPTION: This is a DBA created for my securities and insurance activities with Osaic. I will be conducting all trading and client-related activities under this business name.

4. ENDEAVOUR WMP
POSITION: Manager NATURE: PLLC INVESTMENT RELATED: Yes NUMBER OF HOURS: 20 SECURITIES TRADING HOURS: 20 START DATE: 08/01/2025
ADDRESS: 3801 PGA Blvd. Suite 600, Palm Beach Gardens FL 33410
DESCRIPTION: Fixed insurance sales. Home/auto/life/disability.

6. CAPTAIN JEREMY WILMES
POSITION: Boat Captain - Diver NATURE: Sole Proprietor INVESTMENT RELATED: No NUMBER OF HOURS: 4 SECURITIES TRADING HOURS: 0 START DATE: 01/01/2010
ADDRESS: 166 W Thatch Palm Cir, Jupiter FL 33458
DESCRIPTION: Operate vessels, provide training and vessel transport as a USCG 100 Merchant Mariner. SCUBA instructor/ diver/ salvage diver for contract.

7. NOURISHING FOOD FOR THOUGHT
POSITION: Board Member NATURE: 501c3 non-profit INVESTMENT RELATED: No NUMBER OF HOURS: 2 SECURITIES TRADING HOURS: 0 START DATE: 10/23/2025
ADDRESS: 18591 131st Trl N, Jupiter FL 33478, United States
DESCRIPTION: Plan events with the board of directors

8. CLARITY OVER COMPLEXITY- BOOK AUTHOR
POSITION: author NATURE: Sole proprietorship. INVESTMENT RELATED: No NUMBER OF HOURS: 1 SECURITIES TRADING HOURS: 0 START DATE: 06/26/2026
ADDRESS: 166 W Thatch Palm Cir, Jupiter FL 33458-7176, United States
DESCRIPTION: I've written a book Clarity Over Complexity, Navigating Financial Planning with Confidence for publishing. There's no requirements to work other than managing sales venues. This is a guide to consider and prioritize financial planning.

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	1

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 1

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	Allstate Financial Services, LLC
Allegations:	Customer alleges that he thought he had purchased an annuity with no risk to his investment. However, the RR had sold him a mutual fund and he incurred losses due to market fluctuation.
Product Type:	Mutual Fund
Alleged Damages:	$100,000.00
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:	10/01/2018
Complaint Pending?	No
Status:	Denied
Status Date:	10/25/2018
Settlement Amount:	$0.00
Individual Contribution Amount:	$0.00

End of Report

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