



## IAPD Report

# SAMMY JOE JOHNSON

CRD# 4109871

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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

### SAMMY JOE JOHNSON (CRD# 4109871)

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 **02/25/2026**.

### CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
<b>B</b>	OSAIC WEALTH, INC.	CRD# 23131	09/01/2023
<b>IA</b>	OSAIC WEALTH, INC.	CRD# 23131	09/01/2023

### QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **4** 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
<b>IA</b>	SAGEPOINT FINANCIAL, INC.	133763	THE WOODLANDS, TX	03/26/2008 - 09/01/2023
<b>B</b>	SAGEPOINT FINANCIAL, INC.	133763	THE WOODLANDS, TX	08/02/2007 - 09/01/2023
<b>B</b>	RAYMOND JAMES FINANCIAL SERVICES, INC.	6694	MAGNOLIA, TX	08/11/2006 - 06/11/2007

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 4 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>B</b>	FINRA	General Securities Representative	Approved	09/01/2023
<b>B</b>	Arizona	Agent	Approved	09/01/2023
<b>B</b>	Colorado	Agent	Approved	09/01/2023
<b>B</b>	North Carolina	Agent	Approved	09/01/2023
<b>B</b>	Texas	Agent	Approved	09/01/2023
<b>IA</b>	Texas	Investment Adviser Representative	Approved	09/01/2023

### Branch Office Locations

**OSAIC WEALTH, INC.**  
1725 HUGHES LANDING BLVD.  
SUITE 1250  
THE WOODLANDS, TX 77380



## 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	02/28/2000
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#### State Securities Law Exams

Exam	Category	Date
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  Uniform Combined State Law Examination (S66)	Series 66	11/21/2007
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 Uniform Securities Agent State Law Examination (S63)	Series 63	03/17/2000
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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	03/26/2008 - 09/01/2023	SAGEPOINT FINANCIAL, INC.	CRD# 133763	THE WOODLANDS, TX
B	08/02/2007 - 09/01/2023	SAGEPOINT FINANCIAL, INC.	CRD# 133763	THE WOODLANDS, TX
B	08/11/2006 - 06/11/2007	RAYMOND JAMES FINANCIAL SERVICES, INC.	CRD# 6694	MAGNOLIA, TX
B	02/29/2000 - 08/18/2006	EDWARD JONES	CRD# 250	THE WOODLANDS, TX

### 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
09/2023 - Present	OSAIC WEALTH, INC.	Mass Transfer	Y	THE WOODLANDS, TX, United States
01/2009 - Present	SAGEPOINT FINANCIAL, INC.	REGISTERED REP	Y	PHOENIX, AZ, 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. HARMAN WEALTH MANAGEMENT

POSITION: Financial Advisor NATURE: Providing Insurance for Clients INVESTMENT RELATED: Yes NUMBER OF HOURS: 20  
SECURITIES TRADING HOURS: 40 START DATE: 08/01/2007  
ADDRESS: 1725 Hughes Landing Blvd., Suite 1250, The Woodlands TX 77380, United States  
DESCRIPTION: Analyzing insurance needs for clients

#### 2. INSURANCE

POSITION: Financial Advisor NATURE: Providing Insurance for Clients INVESTMENT RELATED: Yes NUMBER OF HOURS: 20  
SECURITIES TRADING HOURS: 40 START DATE: 08/01/2007  
ADDRESS: 1725 Hughes Landing Blvd., Suite 1250, The Woodlands TX 77380, United States  
DESCRIPTION: Analyzing insurance needs for clients



## 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:** EDWARD JONES

**Allegations:** CLIENT STATES FORMER FA ADVISED HER THAT HER SON'S PENSION COULD BE ROLLED OVER TO 529 PLANS FOR HER THREE GRANDCHILDREN WITH NO TAX CONSEQUENCES. CLIENT HAS SINCE DISCOVERED THAT THE TRANSACTION WAS TAXABLE AND THE CHILDREN OWE APPROXIMATELY \$6,000.00 IN TAXES PLUS PENALTIES AND INTEREST. CLIENT REQUEST THE FIRM PROVIDE HER WITH A LETTER INDICATING THAT THE FA PROVIDED INCORRECT INFORMATION TO HER SO THAT THE IRS WILL CONSIDER, AT LEAST, A WAIVER OF THE PENALITES AND INTEREST.

**Product Type:** Mutual Fund(s)

**Alleged Damages:** \$5,000.00

### Customer Complaint Information

**Date Complaint Received:** 03/20/2007

**Complaint Pending?** No

**Status:** Denied

**Status Date:** 05/17/2007

**Settlement Amount:**

**Individual Contribution Amount:**

**Firm Statement**

ACCORDING TO THE FA HE, AT NO TIME, INDICATED THE FUNDS FROM THE SON'S PENSION PLAN COULD BE ROLLED OVER TO THE THE GRANDCHILDREN'S 529 PLANS WITH NO TAX CONSEQUENCES. IN ADDITION, HE HAS STATED HE REFERRED THE CLIENT TO HER TAX PROFESSIONAL TO DETERMINE IF THE FUNDS FROM THE PENSION PLAN WOULD BE TAXABLE. TAX REPORTING SHOULD HAVE BEEN COMPLETED BY THE DISTRIBUTOR OF THE FUNDS (THE PENSION PLAN) AS WELL AS THE RECEIVER OF THE FUNDS (AMERICAN FUNDS). BASED ON OUR REVIEW, IT APPEARS THE FA DID DISCLOSE THE POSSIBLE TAX CONSEQUENCES ASSOCIATED WITH THE TRANSACTIONS AND ALSO ADVISED THE CLIENT TO CONSULT WITH A TAX PROFESSIONAL. THEREFORE, WE ARE RESPECTFULLY DENYING YOUR REQUEST FOR THE FIRM TO COMPOSE A LETTER TO PROVIDE TO THE IRS. CLAIM DENIED.

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**Reporting Source:**

Individual

**Employing firm when activities occurred which led to the complaint:**

EDWARD JONES

**Allegations:**

CLIENT STATES FORMER FA ADVISED HER THAT HER SON'S PENSION COULD BE ROLLED OVER TO 529 PLANS FOR HER THREE GRANDCHILDREN WITH NO TAX CONSEQUENCES. CLIENT HAS SINCE DISCOVERED THAT THE TRANSACTION WAS TAXABLE AND THE CHILDREN OWE APPROXIMATELY \$6,000.00 IN TAXES PLUS PENALTIES AND INTEREST. CLIENT REQUEST THE FIRM PROVIDE HER WITH A LETTER INDICATING THAT THE FA PROVIDED INCORRECT INFORMATION TO HER SO THAT THE IRS WILL CONSIDER, AT LEAST, A WAIVER OF THE PENALITES AND INTEREST.

**Product Type:**

Mutual Fund(s)

**Alleged Damages:**

\$5,000.00

**Customer Complaint Information****Date Complaint Received:** 03/20/2007**Complaint Pending?** No**Status:** Denied**Status Date:** 05/17/2007**Settlement Amount:****Individual Contribution Amount:****Disclosure 2 of 2****Reporting Source:**

Individual

**Employing firm when activities occurred which led to the complaint:**

EDWARD JONES

**Allegations:**

CLIENTS STATE JOHNSON SUGGESTED THEY PURCHASE A VARIABLE ANNUITY, INVESTING \$100,000 IN ORDER TO REACH BREAKPOINTS; INVEST APPROXIMATELY \$11,000 IN ROTH IRAS FOR EACH OF THEM; AND PURCHASE SHARES OF FEDERATED FIXED INCOME SECURITIES FUND. CLIENTS FURTHER STATE THEY HAVE LOST APPROXIMATELY \$19,000 AS A RESULT OF FOLLOWING JOHNSON'S SUGGESTIONS. CLIENTS ALLEGE



JOHNSON DID NOT FULFILL HIS DUTIES AS FINANCIAL ADVISOR AND DID NOT CONTACT THEM IN ORDER TO MAKE SUGGESTIONS TO PREVENT LOSSES AND, AS SUCH, REQUEST A RETURN OF THE FULL PRINCIPAL AMOUNT INVESTED.

**Product Type:** Other  
**Alleged Damages:** \$19,000.00

**Customer Complaint Information**

**Date Complaint Received:** 03/10/2003  
**Complaint Pending?** No  
**Status:** Denied  
**Status Date:** 06/26/2003

**Settlement Amount:**

**Individual Contribution Amount:**

**Broker Statement**

ACCORDING TO OUR RECORDS, THE INITIAL PURCHASES IN THE ACCOUNTS CONSISTED OF MUTUAL FUNDS AND A VARIABLE ANNUITY. ACCORDING TO IR, HE HAD SEVERAL DISCUSSIONS WITH CLIENTS REGARDING THE MUTUAL FUNDS INCLUDING THE FUND PORTFOLIOS, MARKET FLUCTUATION, AS WELL AS HISTORICAL PERFORMANCE. IR INDICATED HE EXPLAINED MUTUAL FUNDS AND THE ANNUITY IN DETAIL AS WELL AS PROVIDING CLIENTS WITH THE APPROPRIATE PROSPECTUSES. IN ADDITION, IT DOES APPEAR THE INVESTMENTS PURCHASED AND/OR HELD WITHIN THE ACCOUNTS WERE WITHIN THE SCOPE OF THE INVESTMENT OBJECTIVES OF THE ACCOUNTS. CLAIM DENIED.



## End of Report

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