



IAPD Report

ANN MARIE BROWN

CRD# 4214896

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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

ANN MARIE BROWN (CRD# 4214896)

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 **01/14/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	OSAIC WEALTH, INC.	CRD# 23131	02/03/2021
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
B	TRIAD ADVISORS LLC	25803	ATLANTA, GA	02/03/2021 - 08/23/2024
IA	SECURITIES AMERICA ADVISORS, INC.	110518	La Vista, NE	05/07/2004 - 06/14/2024
B	SECURITIES AMERICA, INC.	10205	Omaha, NE	08/10/2001 - 06/14/2024

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
Financial	16



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 Principal	Approved	02/03/2021
B	FINRA	General Securities Representative	Approved	02/03/2021
B	FINRA	Municipal Securities Principal	Approved	02/03/2021
B	FINRA	Municipal Securities Representative	Approved	02/03/2021
B	FINRA	Registered Options Principal	Approved	02/03/2021
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 3 principal/supervisory exams, 3 general industry/product exams, and 1 state securities law exam.



Principal/Supervisory Exams

Exam	Category	Date
 Registered Options Principal Examination (S4)	Series 4	06/30/2009
 Municipal Securities Principal Examination (S53)	Series 53	06/22/2007
 General Securities Principal Examination (S24)	Series 24	05/27/2005

General Industry/Product Exams

Exam	Category	Date
 Municipal Securities Representative Examination (S52TO)	Series 52TO	01/02/2023
 Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
 General Securities Representative Examination (S7)	Series 7	08/09/2001

State Securities Law Exams

Exam	Category	Date
  Uniform Combined State Law Examination (S66)	Series 66	04/29/2004

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
B	02/03/2021 - 08/23/2024	TRIAD ADVISORS LLC	CRD# 25803	ATLANTA, GA
IA	05/07/2004 - 06/14/2024	SECURITIES AMERICA ADVISORS, INC.	CRD# 110518	La Vista, NE
B	08/10/2001 - 06/14/2024	SECURITIES AMERICA, INC.	CRD# 10205	Omaha, NE
B	02/03/2021 - 01/19/2024	WOODBURY FINANCIAL SERVICES, INC.	CRD# 421	OAKDALE, MN
B	02/03/2021 - 11/03/2023	FSC SECURITIES CORPORATION	CRD# 7461	ATLANTA, GA
B	02/03/2021 - 09/01/2023	SAGEPOINT FINANCIAL, INC.	CRD# 133763	SCOTTSDALE, AZ

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
08/2011 - Present	CABELA'S	RETAIL SALES OF OUTDOOR PRODUCTS	N	LA VISTA, NE, United States
05/2004 - Present	SECURITIES AMERICA ADVISORS, INC.	INVESTMENT ADVISOR REPRESENTATIVE	Y	OMAHA, NE, United States
06/2000 - Present	SECURITIES AMERICA, INC.	REGISTERED REPRESENTATIVE	Y	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.

- ANN BROWN FITNESS INSTRUCTOR



Registration & Employment History



OTHER BUSINESS ACTIVITIES

POSITION: Fitness Instructor

NATURE: Teaching Zumba Fitness classes and Pound fitness classes.

INVESTMENT RELATED: No

NUMBER OF HOURS: 2

SECURITIES TRADING HOURS: 0

START DATE: 03/07/2014

ADDRESS: 10787 Brentwood Dr, Apt 2B, LaVista NE 68128

DESCRIPTION: Teaching Zumba Fitness classes and Pound fitness classes at various locations in Omaha, NE.

2. INDEPENDENT JORDAN ESSENTIALS CONSULTANT

POSITION: Independent Consultant

NATURE: I am an independent consultant for Jordan Essentials.

INVESTMENT RELATED: No

NUMBER OF HOURS: 5

SECURITIES TRADING HOURS: 0

START DATE: 11/22/2024

ADDRESS: 10787 Brentwood Dr, Apt 2B, LaVista NE 68128

DESCRIPTION: I will be selling health and wellness items via online parties and via my website.

3. YOUNG LIVING ESSENTIAL OILS

POSITION: Brand Partner NATURE: I am an independent consultant for Young Living. INVESTMENT RELATED: No NUMBER OF HOURS: 5 SECURITIES TRADING HOURS: 0 START DATE: 06/30/2025

ADDRESS: 12325 Port Grace Blvd, Apt 2B, LaVista NE 68128, United States

DESCRIPTION: I will be selling essential oils and other health and wellness items via online parties and via my share link.

4. PAMPERED CHEF

POSITION: Independent Consultant NATURE: Pampered Chef Independent Consultant INVESTMENT RELATED: No NUMBER OF HOURS: 5 SECURITIES TRADING HOURS: 0 START DATE: 01/08/2026

ADDRESS: 10787 Brentwood Dr, Apt 2b, La Vista NE 68128-4733, United States

DESCRIPTION: I will be selling Pampered Chef via online parties and social media and to someone just searching for a Pampered Chef consultant.

5. BARISTA WITH JAVA MOMMA

POSITION: Barista/Independent Consultant NATURE: I am an independent consultant selling coffee, tea and other similar products for Java Momma. INVESTMENT RELATED: No NUMBER OF HOURS: 5 SECURITIES TRADING HOURS: 0 START DATE: 01/03/2026

ADDRESS: 10787 Brentwood Dr, Apt 2b, LaVista NE 68128, United States

DESCRIPTION: I will be selling coffee, tea and similar products via online parties, my website and social media.

6. INDEPENDENT BEAUTY CONSULTANT WITH MARY KAY

POSITION: Independent Consultant NATURE: I am an independent beauty consultant with Mary Kay. INVESTMENT RELATED: No NUMBER OF HOURS: 5 SECURITIES TRADING HOURS: 0 START DATE: 01/03/2026

ADDRESS: 10787 Brentwood Dr, Apt 2B, LaVista NE 68128, United States

DESCRIPTION: I will be selling beauty products via online parties and my website and social media. I also joined for discounted products to use personally.



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
Financial	16

Financial

This disclosure event involves a final bankruptcy, compromise with one or more creditors, or Securities Investor Protection Corporation liquidation that occurred within the last 10 years and that involved the Investment Adviser Representative or an organization/investment adviser that the Investment Adviser Representative controlled that occurred within the last 10 years.

Disclosure 1 of 16

Reporting Source: Individual

Action Type: Compromise

Action Date: 08/12/2021

Organization Investment-Related?

Action Pending? No

Disposition: Paid as agreed.

Disposition Date: 08/31/2021

If a compromise with creditor, provide:

Name of Creditor: Midland Credit Management/Midland Funding, LLC for Synchrony Bank for Sams Club

Original Amount Owed: \$1,479.30

Terms Reached with Creditor: Creditor agreed to accept one payment of \$665.68 as payment in full.

Disclosure 2 of 16

Reporting Source: Individual

Action Type: Compromise

Action Date: 10/26/2020

Organization Investment-Related?



Action Pending? No

Disposition: Paid as agreed.

Disposition Date: 10/26/2020

If a compromise with creditor, provide:

Name of Creditor: LVNV Funding, LLC

Original Amount Owed: \$1,067.75

Terms Reached with Creditor: Creditor agreed to accept one payment of \$481 as payment in full to be paid on 10/26/2020.

Disclosure 3 of 16

Reporting Source: Individual

Action Type: Compromise

Action Date: 07/13/2020

Organization Investment-Related?

Action Pending? No

Disposition: Paid as agreed.

Disposition Date: 07/21/2020

If a compromise with creditor, provide:

Name of Creditor: First Premier Bank

Original Amount Owed: \$978.42

Terms Reached with Creditor: The creditor has agreed to accept \$489.31 as payment in full. The terms are one payment of \$489.31.

Disclosure 4 of 16

Reporting Source: Individual

Action Type: Compromise

Action Date: 10/17/2019

Organization Investment-Related?

Action Pending? No

Disposition: Paid as agreed.

Disposition Date: 10/21/2019

If a compromise with creditor, provide:

Name of Creditor: LVNV Funding, LLC



Original Amount Owed: \$772.46
Terms Reached with Creditor: The creditor agreed to accept \$309.00 as payment in full.

Disclosure 5 of 16

Reporting Source: Individual
Action Type: Compromise
Action Date: 09/06/2019

Organization Investment-Related?

Action Pending? No

Disposition: Paid as agreed

Disposition Date: 06/29/2020

If a compromise with creditor, provide:

Name of Creditor: Zales

Original Amount Owed: \$3,955.32

Terms Reached with Creditor: The creditor has agreed to accept \$1,586.13 as payment in full according the following terms: Nine payments of \$158.62 and one final payment of \$158.55. First payment to be made in September 2019.

Disclosure 6 of 16

Reporting Source: Individual
Action Type: Compromise
Action Date: 05/14/2019

Organization Investment-Related?

Action Pending? No

Disposition: Paid as agreed

Disposition Date: 06/29/2020

If a compromise with creditor, provide:

Name of Creditor: D&A Services

Original Amount Owed: \$6,854.76

Terms Reached with Creditor: The creditor has agreed to accept \$3,428 as payment in full. The agreement allows for 12 payments. The first 6 payments are \$200 each starting on 5/24/2019. The final 6 payments are \$371 each starting on 11/25/2019 and ending 4/24/2020.

Disclosure 7 of 16

Reporting Source: Individual



Action Type: Compromise
Action Date: 05/31/2019
Organization Investment-Related?
Action Pending? No
Disposition: Paid as Agreed
Disposition Date: 05/31/2019
If a compromise with creditor, provide:
Name of Creditor: Rausch Sturm
Original Amount Owed: \$826.19
Terms Reached with Creditor: The creditor agreed to accept \$619.64 as payment in full which was paid as one payment of \$619.64 on May 31, 2019.

Disclosure 8 of 16

Reporting Source: Individual
Action Type: Compromise
Action Date: 03/11/2019
Organization Investment-Related?
Action Pending? No
Disposition: Paid as agreed.
Disposition Date: 08/20/2019
If a compromise with creditor, provide:
Name of Creditor: Synchrony Bank - Paypal
Original Amount Owed: \$1,305.31
Terms Reached with Creditor: Creditor agreed to accept \$914 as payment in full, to be paid as follows: 1st payment on March 25,2019 for \$154, followed by 5 monthly payments of \$152 each with the final payment due on August 25,2019.

Disclosure 9 of 16

Reporting Source: Individual
Action Type: Compromise
Action Date: 12/07/2018
Organization Investment-Related?
Action Pending? No
Disposition: Paid as Agreed



Disposition Date: 12/27/2018

If a compromise with creditor, provide:

Name of Creditor: Synchrony Bank - Care Credit

Original Amount Owed: \$2,913.53

Terms Reached with Creditor: Creditor agreed to accept \$1,750 as payment in full.

Disclosure 10 of 16

Reporting Source: Individual

Action Type: Compromise

Action Date: 12/07/2018

Organization Investment-Related?

Action Pending? No

Disposition: Paid as Agreed

Disposition Date: 12/27/2018

If a compromise with creditor, provide:

Name of Creditor: Synchrony Bank - JCP

Original Amount Owed: \$1,941.54

Terms Reached with Creditor: Creditor agreed to accept \$1,165 as payment in full.

Disclosure 11 of 16

Reporting Source: Individual

Action Type: Compromise

Action Date: 10/26/2018

Organization Investment-Related?

Action Pending? No

Disposition: Paid as Agreed

Disposition Date: 06/12/2019

If a compromise with creditor, provide:

Name of Creditor: Resurgent Capital Services

Original Amount Owed: \$828.47

Terms Reached with Creditor: The creditor agreed to accept 8 monthly payments of \$10 and a final payment of \$293 for a total settlement of \$373 to resolve this debt. Final payment due June



12, 2019.

Disclosure 12 of 16

Reporting Source: Individual
Action Type: Compromise
Action Date: 09/07/2018
Organization Investment-Related?
Action Pending? No
Disposition: Paid as Agreed
Disposition Date: 09/12/2018
If a compromise with creditor, provide:
Name of Creditor: Improved Data Services for Helzberg Diamonds
Original Amount Owed: \$3,360.55
Terms Reached with Creditor: Creditor agreed to accept \$2,017.00 as payment in full. \$1,343.55 has been forgiven.

Disclosure 13 of 16

Reporting Source: Individual
Action Type: Compromise
Action Date: 07/13/2018
Organization Investment-Related?
Action Pending? No
Disposition: Paid as Agreed
Disposition Date: 05/22/2019
If a compromise with creditor, provide:
Name of Creditor: Crown Asset Management, LLC Comenity Bank
Original Amount Owed: \$3,066.42
Terms Reached with Creditor: The creditor has agreed to accept \$1,226.57 as payment in full. The agreement allows for 8 monthly payment of \$30 each, followed by 3 monthly payments of \$328.86 each. This agreement will be satisfied with the final payment in May 2019.

Disclosure 14 of 16

Reporting Source: Individual
Action Type: Compromise
Action Date: 05/10/2018



Organization Investment-Related?

Action Pending? No
Disposition: Paid as Agreed
Disposition Date: 05/24/2018
If a compromise with creditor, provide:
Name of Creditor: Crown Asset Management LLC
Original Amount Owed: \$1,031.30
Terms Reached with Creditor: Creditor agreed to accept \$372.00 as payment in full.

Disclosure 15 of 16

Reporting Source: Individual
Action Type: Compromise
Action Date: 03/12/2018

Organization Investment-Related?

Action Pending? No
Disposition: Paid as Agreed
Disposition Date: 03/06/2019
If a compromise with creditor, provide:
Name of Creditor: LendingClub Corporation
Original Amount Owed: \$8,679.46
Terms Reached with Creditor: The lender has agreed to accept \$3,906.00 to settle the account. The agreement calls for 12 monthly payments of \$325.50 beginning 3/30/2018 and ending 2/28/2019.

Disclosure 16 of 16

Reporting Source: Individual
Action Type: Compromise
Action Date: 02/05/2018

Organization Investment-Related?

Action Pending? No
Disposition: Paid as Agreed
Disposition Date: 02/05/2018



**If a compromise with creditor,
provide:**

Name of Creditor:	Capital One Bank N.A.
Original Amount Owed:	\$1,169.61
Terms Reached with Creditor:	Capital One agreed to settle the account for \$556.00. The amount of debt forgiven was \$613.61.



End of Report

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