



IAPD Report

DARIN GERARD SVIHOVEC

CRD# 4227219

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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

DARIN GERARD SVIHOVEC (CRD# 4227219)

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 **12/16/2024**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	OSAIC WEALTH, INC.	CRD# 23131	01/19/2024
IA	OSAIC WEALTH, INC.	CRD# 23131	01/19/2024

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **8** 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	WOODBURY FINANCIAL SERVICES, INC.	421	BISMARCK, ND	10/31/2017 - 01/19/2024
IA	WOODBURY FINANCIAL SERVICES, INC.	421	BISMARCK, ND	10/31/2017 - 01/19/2024
B	INVESTMENT CENTERS OF AMERICA, INC.	16443	BISMARCK, ND	11/01/2013 - 11/01/2017

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 **8** 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	01/19/2024
B	FINRA	Invest. Co and Variable Contracts	Approved	01/19/2024
B	Arizona	Agent	Approved	01/19/2024
B	Florida	Agent	Approved	01/19/2024
IA	Florida	Investment Adviser Representative	Approved	01/19/2024
B	Minnesota	Agent	Approved	01/19/2024
IA	Minnesota	Investment Adviser Representative	Approved	01/19/2024
B	Nebraska	Agent	Approved	01/19/2024
IA	Nebraska	Investment Adviser Representative	Approved	01/19/2024
B	North Dakota	Agent	Approved	01/19/2024
IA	North Dakota	Investment Adviser Representative	Approved	01/19/2024
B	South Dakota	Agent	Approved	01/19/2024
IA	South Dakota	Investment Adviser Representative	Approved	01/19/2024



Qualifications

Regulator	Registration	Status	Date
B Wisconsin	Agent	Approved	01/19/2024
B Wyoming	Agent	Approved	01/19/2024

Branch Office Locations

OSAIC WEALTH, INC.
614 West Main Street
Mandan, ND 58554

OSAIC WEALTH, INC.
100 W Main St
Center, ND 58530

OSAIC WEALTH, INC.
3000 N 14TH STREET
BISMARCK, ND 58503

OSAIC WEALTH, INC.
700 Ash Avenue
New Salem, ND 58563



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	05/03/2004
B Investment Company Products/Variable Contracts Representative Examination (S6)	Series 6	08/05/2000

State Securities Law Exams

Exam	Category	Date
IA B Uniform Combined State Law Examination (S66)	Series 66	05/27/2004
B Uniform Securities Agent State Law Examination (S63)	Series 63	08/19/2000



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
B	10/31/2017 - 01/19/2024	WOODBURY FINANCIAL SERVICES, INC.	CRD# 421	BISMARCK, ND
IA	10/31/2017 - 01/19/2024	WOODBURY FINANCIAL SERVICES, INC.	CRD# 421	BISMARCK, ND
B	11/01/2013 - 11/01/2017	INVESTMENT CENTERS OF AMERICA, INC.	CRD# 16443	BISMARCK, ND
IA	11/01/2013 - 11/01/2017	INVESTMENT CENTERS OF AMERICA, INC.	CRD# 16443	BISMARCK, ND
IA	12/03/2012 - 11/18/2013	SECURITIES AMERICA ADVISORS, INC.	CRD# 110518	BISMARCK, ND
B	11/28/2012 - 11/18/2013	SECURITIES AMERICA, INC.	CRD# 10205	BISMARCK, ND
IA	05/29/2007 - 11/30/2012	EAGLE ONE INVESTMENTS, LLC	CRD# 45254	BISMARCK, ND
B	05/22/2007 - 11/30/2012	EAGLE ONE INVESTMENTS, LLC	CRD# 45254	BISMARCK, ND
IA	01/03/2005 - 05/22/2007	RAYMOND JAMES FINANCIAL SERVICES	CRD# 6694	BISMARCK, ND
B	12/14/2004 - 05/22/2007	RAYMOND JAMES FINANCIAL SERVICES, INC.	CRD# 6694	BISMARCK, ND
IA	06/16/2004 - 12/13/2004	WELLS FARGO INVESTMENTS, LLC	CRD# 10582	BISMARCK, ND
B	02/04/2004 - 12/13/2004	WELLS FARGO INVESTMENTS, LLC	CRD# 10582	SAN FRANCISCO, CA
IA	06/07/2004 - 06/07/2004	WELLS FARGO INVESTMENTS, LLC	CRD# 10582	BISMARCK, ND
B	08/07/2000 - 11/26/2003	PFS INVESTMENTS INC.	CRD# 10111	DULUTH, GA



Registration & Employment History

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
01/2024 - Present	OSAIC WEALTH, INC.	Mass Transfer	Y	Center, ND, United States
10/2017 - 01/2024	WOODBURY FINANCIAL SERVICES INC	REGISTERED REPRESENTATIVE	Y	BISMARCK, ND, United States
11/2013 - 10/2017	INVESTMENT CENTERS OF AMERICA	INVESTMENT REP	Y	BISMARCK, ND, United States
11/2013 - 10/2017	SECURITY FIRST WEALTH MANAGEMENT	INVESTMENT REP	Y	BISMARCK, ND, 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. BISMARCK PUBLIC SCHOOLS

POSITION: Head Caoch NATURE: School District INVESTMENT RELATED: No NUMBER OF HOURS: 5 SECURITIES

TRADING HOURS: 0 START DATE: 08/01/2006

ADDRESS: 806 N Washington St., BISMARCK ND 58501, United States

DESCRIPTION: I coach the Horizon Middle School Golf team in the fall for 6 weeks. Mid-August to October 1st.

2. BISCHOF DISTRIBUTING

POSITION: merchandiser NATURE: Corporation in distribution INVESTMENT RELATED: No NUMBER OF HOURS: 16

SECURITIES TRADING HOURS: 0 START DATE: 04/14/2018

ADDRESS: 1965 Far West Drive, Bismarck ND 58504, United States

DESCRIPTION: restocking and straightening products distributed by Bischof in retial stores on the weekends.

3. SELF

POSITION: owner NATURE: Selling some hand-made fishing tackle INVESTMENT RELATED: No NUMBER OF HOURS: 10

SECURITIES TRADING HOURS: 0 START DATE: 11/30/2018

ADDRESS: 1840 N. 23rd St., Bismarck ND 58501, United States

DESCRIPTION: designing and assembling custom walleye rigs

4. SECURITY FIRST WEALTH MANAGEMENT

POSITION: agent NATURE: corporation INVESTMENT RELATED: Yes NUMBER OF HOURS: 2 SECURITIES TRADING HOURS: 2 START DATE: 03/25/2019

ADDRESS: 3000 north 14th Street, Bismarck ND 58503, United States

DESCRIPTION: selling insurance products



End of Report

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