



IAPD Report

RYAN MATTHEW BASSETT

CRD# 4261974

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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

RYAN MATTHEW BASSETT (CRD# 4261974)

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 **06/10/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	OSAIC WEALTH, INC.	CRD# 23131	11/02/2018
IA	OSAIC WEALTH, INC.	CRD# 23131	11/02/2018

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **26** 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	SIGNATOR INVESTORS, INC.	468	GRAND RAPIDS, MI	01/17/2014 - 11/02/2018
B	SIGNATOR INVESTORS, INC.	468	GRAND RAPIDS, MI	02/21/2001 - 11/02/2018
IA	SIGNATOR INVESTORS, INC.	468	GRAND RAPIDS, MI	05/10/2005 - 12/31/2007

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
Regulatory Event	2
Criminal	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 **26** 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	11/02/2018
B	FINRA	Invest. Co and Variable Contracts	Approved	11/02/2018
B	Arizona	Agent	Approved	11/02/2018
B	Arkansas	Agent	Approved	08/31/2022
B	California	Agent	Approved	11/02/2018
B	Colorado	Agent	Approved	11/02/2018
B	Florida	Agent	Approved	11/02/2018
IA	Florida	Investment Adviser Representative	Approved	05/14/2024
B	Georgia	Agent	Approved	11/02/2018
B	Illinois	Agent	Approved	11/02/2018
B	Indiana	Agent	Approved	11/02/2018
B	Iowa	Agent	Approved	11/02/2018
B	Kentucky	Agent	Approved	02/13/2020



Qualifications

	Regulator	Registration	Status	Date
B	Michigan	Agent	Approved	11/02/2018
IA	Michigan	Investment Adviser Representative	Approved	11/02/2018
B	Minnesota	Agent	Approved	11/02/2018
B	Montana	Agent	Approved	11/02/2018
B	Nebraska	Agent	Approved	11/02/2018
B	Nevada	Agent	Approved	11/02/2018
B	New Jersey	Agent	Approved	07/23/2024
B	North Carolina	Agent	Approved	11/02/2018
IA	North Carolina	Investment Adviser Representative	Approved	05/06/2025
B	Ohio	Agent	Approved	11/02/2018
B	Oklahoma	Agent	Approved	01/04/2021
B	South Carolina	Agent	Approved	11/02/2018
B	South Dakota	Agent	Approved	11/02/2018
B	Tennessee	Agent	Approved	11/02/2018
B	Texas	Agent	Approved	02/13/2020
IA	Texas	Investment Adviser Representative	Restricted Approval	04/17/2025
B	Virginia	Agent	Approved	11/02/2018
B	Washington	Agent	Approved	11/02/2018



Qualifications

Regulator	Registration	Status	Date
B Wyoming	Agent	Approved	10/24/2025

Branch Office Locations

OSAIC WEALTH, INC.
4843 CASCADE RD
SUITE 300
GRAND RAPIDS, MI 49546

OSAIC WEALTH, INC.
17360 James E. Court
Unit 14
Spring Lake, MI 49456



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	04/24/2006
B Investment Company Products/Variable Contracts Representative Examination (S6)	Series 6	02/20/2001

State Securities Law Exams

Exam	Category	Date
IA Uniform Investment Adviser Law Examination (S65)	Series 65	05/12/2003
B Uniform Securities Agent State Law Examination (S63)	Series 63	12/20/2001



PROFESSIONAL DESIGNATIONS

This section details that the representative has reported **1** 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	01/17/2014 - 11/02/2018	SIGNATOR INVESTORS, INC.	CRD# 468	GRAND RAPIDS, MI
B	02/21/2001 - 11/02/2018	SIGNATOR INVESTORS, INC.	CRD# 468	GRAND RAPIDS, MI
IA	05/10/2005 - 12/31/2007	SIGNATOR INVESTORS, INC.	CRD# 468	GRAND RAPIDS, MI

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
11/2018 - Present	ROYAL ALLIANCE ASSOCIATES, INC.	Registered Rep	Y	GRAND RAPIDS, MI, United States
03/2000 - 11/2018	JOHN HANCOCK FINANCIAL SERVICES	MARKETING REP	Y	GRANDVILLE, MI, 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) INS. BROKERAGE ALL LINES-POSITION: Agent NATURE: Ins. Sales INVESTMENT RELATED: Yes NUMBER OF HOURS:10 SECURITIES TRADING HOURS:10 START DATE: 01/01/20, 4843 Cascade Rd SE, Suite 300, Grand Rapids MI 49546,DESC Life, Disability, Health, LTC, Fixed Annuity Sales

2) EVOLUTION WEALTH STRATEGIES LLC-POSITION: Pres NATURE: LLC INVESTMENT RELATED: Yes NUMBER OF HOURS 320 SECURITIES TRADING HOURS320 START DATE: 01/01/19, 4843 Cascade Rd SE, Ste 300, Grand Rapids MI 49546

DESCRIPTION: owner of EWS and personally produce which involves the sale of insurance and securities products

3) BASSETT BUNGALOW LLC-POSITION: President NATURE: LLC used for rental property income for cottage and pole barn INVESTMENT RELATED: No NUMBER OF HOURS: SECURITIES TRADING HOURS 0 START DATE: 01/01/12: 5742 Manchester Hills Dr. SE, Grand Rapids MI 49546 DESCRIPTION: used for rental property income for the cottage and pole barn

4) BASSETT BUNGALOW, LLC-POSITION: Pre NATURE: LLC,This is our lake house, which we sometimes rent out to friends, family, and or 3rd parties for income. INVESTMENT RELATED: No NUMBER OF HOURS 0 SECURITIES TRADING HOURS 0 START DATE: 01/01/12,5742 Manchester Hills Dr. SE, Grand Rapids MI 49546,DESCRIPTION: Complete the lease agreement per the agreement with the renters. Collect rent payment for the time the property is rented. Make sure they have all the necessary legal documents that accompany the lease agreement. Check and review the property once they leave the property to make sure no damage occurred. Manage the taxes and check the ledger for income taken in as well as business expenses that exist.

5) BASSETT BUNGALOW, LLC-POSITION: President NATURE: LLC,This is our lake house, which we sometimes rent out to friends, family, and or 3rd parties for income. INVESTMENT RELATED: No NUMBER OF HOURS: 0 SECURITIES TRADING HOURS: 0 START DATE: 01/01/2012,ADDRESS: 19911 North Shore Dr., Spring Lake MI 49456,DESCRIPTION: Complete the lease agreement per the agreement with the renters. Collect rent payment for the time the property is rented. Make sure they have all the necessary legal documents that accompany the lease agreement. Check and review the property once they leave the



Registration & Employment History



OTHER BUSINESS ACTIVITIES

property to make sure no damage occurred. Manage the taxes and check the ledger for income taken in as well as business expenses that exist.

6) CO-SUCCESSOR TTEE -PARENTS' ESTATE-POSITION: Co-Successor TTEE NATURE: I am listed on my parents' estate as the Co-Successor TTEE. Activity will not be engaged in until their death. INVESTMENT RELATED: No NUMBER OF HOURS: 0 SECURITIES TRADING HOURS: 0 START DATE: 10/27/2022-ADDRESS: 5742 Manchester Hills, Grand Rapids MI 49546-DESCRIPTION: If Successor TTEE can not perform duties as outlined by the estate, responsibility would transfer to me

7) CO-SUCCESSOR TTEE -PARENTS' ESTATE-POSITION: Co-Successor TTEE NATURE: I am listed on my parents' estate as the Co-Successor TTEE. Activity will not be engaged in until their death. INVESTMENT RELATED: No NUMBER OF HOURS: 0 SECURITIES TRADING HOURS: 0 START DATE: 10/27/2022,ADDRESS: 19911 North Shore Dr., Spring Lake MI 49456 ,DESCRIPTION: If Successor TTEE can not perform duties as outlined by the estate, responsibility would transfer to me

8) 1811 GLADYS CIRCLE, LLC-POSITION: President NATURE: LLC INVESTMENT RELATED: Yes NUMBER OF HOURS: 1 SECURITIES TRADING HOURS: 0 START DATE: 04/14/2025,ADDRESS: 19911 North Shore Drive, Spring Lake MI 49456 DESCRIPTION: This LLC was created for rental purposes. I find renters who require a place to rent in the confines of the City of Grand Haven. This is a long-term rental, so once I secure a rental, my time associated with this is very minimal.

9 O.R.K PROPERTIES, LLC,POSITION: President NATURE: LLC. INVESTMENT RELATED: Yes NUMBER OF HOURS: 1 SECURITIES TRADING HOURS: 0 START DATE: 10/02/2025,ADDRESS: 17360 James E. Court, Unit # 14, Spring Lake MI 49456, United States

DESCRIPTION: Lease office space out to EWS (Evolution Wealth Strategies)



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
Regulatory Event	2
Criminal	1

Regulatory Event

This disclosure event may include a final, formal proceeding initiated by a regulatory authority (e.g., a state securities agency, a federal regulator such as the Securities and Exchange Commission or the Commodities Futures Trading Commission, or a foreign financial regulatory body) for a violation of investment-related rules or regulations. This disclosure event may also include a revocation or suspension of an Investment Adviser Representative's authority to act as an attorney, accountant or federal contractor.

Disclosure 1 of 2

Reporting Source:	Individual
Regulatory Action Initiated By:	South Dakota Division of Insurance
Sanction(s) Sought:	Monetary Penalty other than Fines
Date Initiated:	05/11/2026
Docket/Case Number:	INS 26-33189
Employing firm when activity occurred which led to the regulatory action:	Osaic Wealth, Inc.
Product Type:	No Product
Allegations:	Ryan Bassett was the subject of a felony prosecution beginning July 30, 2024 and did not report the action until February 6, 2026, a failure to report the felony action to the Division within 30 days, in violation of SDCL 58-30-194.
Current Status:	Final
Resolution:	Order
Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct?	No
Resolution Date:	05/11/2026
Sanctions Ordered:	Monetary Penalty other than Fines

**Monetary Sanction 1 of 1****Monetary Related Sanction:** Monetary Penalty other than Fines**Total Amount:** \$500.00**Portion Levied against individual:** \$500.00**Payment Plan:** n/a**Is Payment Plan Current:****Date Paid by individual:** 05/08/2026**Was any portion of penalty waived?** No**Amount Waived:****Disclosure 2 of 2****Reporting Source:** Individual**Regulatory Action Initiated By:** Indiana Commissioner of Insurance**Sanction(s) Sought:** Civil and Administrative Penalty(ies)/Fine(s)**Date Initiated:** 05/21/2026**Docket/Case Number:** 25012-AG26-0316-037**Employing firm when activity occurred which led to the regulatory action:** Osaic Wealth, Inc.**Product Type:** No Product**Allegations:** From July 30, 2024 to February 6, 2026, Respondent failed to timely report a criminal prosecution initiated against Respondent in another jurisdiction in violation of Indiana Code § 27-1-15.6-17(b).**Current Status:** Final**Resolution:** Order**Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct?** No**Resolution Date:** 05/21/2026**Sanctions Ordered:** Civil and Administrative Penalty(ies)/Fine(s)**Monetary Sanction 1 of 1****Monetary Related Sanction:** Civil and Administrative Penalty(ies)/Fine(s)**Total Amount:** \$250.00**Portion Levied against individual:** \$250.00



Payment Plan:	n/a
Is Payment Plan Current:	
Date Paid by individual:	05/27/2026
Was any portion of penalty waived?	No
Amount Waived:	



Criminal

This disclosure event involves a criminal charge against the Investment Adviser Representative that has resulted in a dismissal, plea, acquittal or conviction. The criminal matter may relate to any felony or certain misdemeanor offenses (e.g., bribery, perjury, forgery, counterfeiting, extortion, fraud, wrongful taking of property).

Disclosure 1 of 1

Reporting Source:	Individual
Formal Charges were brought in:	State Court
Name of Court:	Dedham District Court
Location of Court:	Dedham, Massachusetts
Docket/Case #:	2454CR000815
Charge Date:	07/30/2024
Charge(s) 1 of 1	
Formal Charge(s)/Description:	Indecent A&B on Person 14 or Over c265 §13h
No of Counts:	1
Felony or Misdemeanor:	Felony
Plea for each charge:	Not guilty
Disposition of charge:	Dismissed
Current Status:	Final
Status Date:	04/15/2026
Disposition Date:	04/15/2026
Sentence/Penalty:	Probation for a period of one year beginning 4/16/2025 and ending 4/15/2026. If probation is completed satisfactorily, the case will be dismissed on 4/15/2026. 4/15/2026 Final disposition - dismissed after pretrial probation. All charges disposed, defendant discharged.



End of Report

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