



## IAPD Report

# JONATHAN DAVID ROBSON

CRD# 4384151

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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

### JONATHAN DAVID ROBSON (CRD# 4384151)

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 **03/12/2025**.

### CURRENT EMPLOYERS

|    | Firm               | CRD#       | Registered Since |
|----|--------------------|------------|------------------|
| B  | OSAIC WEALTH, INC. | CRD# 23131 | 11/03/2023       |
| IA | OSAIC WEALTH, INC. | CRD# 23131 | 11/03/2023       |

### QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **12** 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  | FSC SECURITIES CORPORATION   | 7461   | MARIETTA, GA | 09/01/2016 - 11/03/2023 |
| IA | FSC SECURITIES CORPORATION   | 7461   | MARIETTA, GA | 09/01/2016 - 11/03/2023 |
| IA | STRATOS WEALTH PARTNERS, LTD | 153184 | MARIETTA, GA | 11/19/2012 - 09/12/2016 |

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 |
|-------------|-------|
| Termination | 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 **12** 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 | 11/03/2023 |
| <b>B</b>  | FINRA          | Invest. Co and Variable Contracts | Approved | 11/03/2023 |
| <b>B</b>  | Alabama        | Agent                             | Approved | 11/03/2023 |
| <b>IA</b> | Alabama        | Investment Adviser Representative | Approved | 11/03/2023 |
| <b>B</b>  | California     | Agent                             | Approved | 11/03/2023 |
| <b>IA</b> | California     | Investment Adviser Representative | Approved | 11/03/2023 |
| <b>B</b>  | Connecticut    | Agent                             | Approved | 11/03/2023 |
| <b>B</b>  | Florida        | Agent                             | Approved | 11/03/2023 |
| <b>IA</b> | Florida        | Investment Adviser Representative | Approved | 11/03/2023 |
| <b>B</b>  | Georgia        | Agent                             | Approved | 11/03/2023 |
| <b>IA</b> | Georgia        | Investment Adviser Representative | Approved | 11/03/2023 |
| <b>B</b>  | Michigan       | Agent                             | Approved | 03/14/2025 |
| <b>B</b>  | North Carolina | Agent                             | Approved | 11/03/2023 |



## Qualifications

|    | Regulator      | Registration                      | Status              | Date       |
|----|----------------|-----------------------------------|---------------------|------------|
| IA | North Carolina | Investment Adviser Representative | Approved            | 11/03/2023 |
| B  | South Carolina | Agent                             | Approved            | 11/03/2023 |
| B  | Tennessee      | Agent                             | Approved            | 11/03/2023 |
| B  | Texas          | Agent                             | Approved            | 01/10/2025 |
| IA | Texas          | Investment Adviser Representative | Restricted Approval | 11/03/2023 |
| B  | Utah           | Agent                             | Approved            | 11/03/2023 |
| B  | Virginia       | Agent                             | Approved            | 11/03/2023 |

## Branch Office Locations

**OSAIC WEALTH, INC.**  
MARIETTA, GA



## 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 |
|------|----------|------|
|------|----------|------|

No information reported.

#### General Industry/Product Exams

| Exam  | Category | Date       |
|---|----------|------------|
| <b>B</b> Securities Industry Essentials Examination (SIE)                               | SIE      | 10/01/2018 |
| <b>B</b> General Securities Representative Examination (S7)                             | Series 7 | 10/06/2010 |
| <b>B</b> Investment Company Products/Variable Contracts Representative Examination (S6) | Series 6 | 04/14/2001 |

#### State Securities Law Exams

| Exam  | Category  | Date       |
|---|-----------|------------|
| <b>IA</b> Uniform Investment Adviser Law Examination (S65)    | Series 65 | 12/21/2004 |
| <b>B</b> Uniform Securities Agent State Law Examination (S63) | Series 63 | 04/21/2001 |



### 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  | 09/01/2016 - 11/03/2023 | FSC SECURITIES CORPORATION             | CRD# 7461   | MARIETTA, GA    |
| IA | 09/01/2016 - 11/03/2023 | FSC SECURITIES CORPORATION             | CRD# 7461   | MARIETTA, GA    |
| IA | 11/19/2012 - 09/12/2016 | STRATOS WEALTH PARTNERS, LTD           | CRD# 153184 | MARIETTA, GA    |
| B  | 11/15/2012 - 09/09/2016 | LPL FINANCIAL LLC                      | CRD# 6413   | MARIETTA, GA    |
| IA | 06/02/2010 - 11/29/2012 | HORNOR, TOWNSEND & KENT, INC.          | CRD# 4031   | MARIETTA, GA    |
| B  | 05/24/2010 - 11/29/2012 | HORNOR, TOWNSEND & KENT, INC.          | CRD# 4031   | MARIETTA, GA    |
| IA | 05/16/2008 - 05/27/2010 | LINCOLN FINANCIAL ADVISORS CORPORATION | CRD# 3978   | MARIETTA, GA    |
| B  | 05/12/2008 - 05/27/2010 | LINCOLN FINANCIAL ADVISORS CORPORATION | CRD# 3978   | MARIETTA, GA    |
| IA | 01/14/2005 - 05/15/2008 | HORNOR, TOWNSEND & KENT, INC.          | CRD# 4031   | MARIETTA, GA    |
| B  | 04/16/2001 - 05/15/2008 | HORNOR, TOWNSEND & KENT, INC.          | CRD# 4031   | MARIETTA, GA    |

### 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           |
|-------------------|---------------------------|---------------------------|--------------------|-----------------------------|
| 11/2023 - Present | OSAIC WEALTH, INC.        | Mass Transfer             | Y                  | MARIETTA, GA, United States |
| 09/2016 - 11/2023 | FSC SECURITIES CORP       | REGISTERED REPRESENTATIVE | Y                  | ATLANTA, GA, United States  |
| 11/2012 - 09/2016 | LPL FINANCIAL             | REGISTERED REPRESENTATIVE | Y                  | MARIETTA, GA, United States |
| 11/2012 - 09/2016 | STRATOS WEALTH MANAGEMENT | REGISTERED REPRESENTATIVE | Y                  | MARIETTA, GA, United States |



## Registration & Employment History



### 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) THE NICOLA JANE ROBSON 2012 INSURANCE TRUST**

POSITION: Trustee NATURE: Trust for the benefit of Alexander Mohnen INVESTMENT RELATED: Yes NUMBER OF HOURS: 1  
SECURITIES TRADING HOURS: 1 START DATE: 11/24/2012

ADDRESS: 3405 Dallas Highway, Building 800, Suite 820, Marietta GA 30064, United States

DESCRIPTION: Act as trustee for the benefit of my nephew, Alexander Mohnen.

**2) OLD TRACE INVESTORS, LLC**

POSITION: Manager/Member NATURE: Limited Liability Corporation INVESTMENT RELATED: Yes NUMBER OF HOURS: 5  
SECURITIES TRADING HOURS: 5 START DATE: 01/05/2007

ADDRESS: 3405 Dallas Highway, Building 800, Suite 820, Marietta GA 30064, United States

DESCRIPTION: Manager/Member of LLC that owns an 8,000 square foot commercial office building. Duties include accounting, rental and management of the building.

**3) DALLAS VILLAGES, LLC**

POSITION: Manager/Member NATURE: Limited Liability Corporation INVESTMENT RELATED: Yes NUMBER OF HOURS: 5  
SECURITIES TRADING HOURS: 5 START DATE: 12/18/2003

ADDRESS: 3405 Dallas Highway, Building 800, Suite 820, Marietta GA 30064, United States

DESCRIPTION: Manager/Member of LLC that owns two 6,000 square foot office buildings. Duties include accounting, rental and management of the buildings.

**4) ROBSON PROPERTIES, LLC**

POSITION: Manager/Member NATURE: Limited Liability Corporation. Currently only has a checking account with a \$43 balance. No other assets. INVESTMENT RELATED: Yes NUMBER OF HOURS: 0 SECURITIES TRADING HOURS: 0 START DATE: 03/13/2013

ADDRESS: 3405 Dallas Highway, Building 800, Suite 820, Marietta GA 30064, United States

DESCRIPTION: Management.

**5) ROBSON PLANNING GROUP**

POSITION: Owner/President NATURE: Corporation INVESTMENT RELATED: Yes NUMBER OF HOURS: 2 SECURITIES TRADING HOURS: 2 START DATE: 04/01/2001

ADDRESS: 3405 Dallas Highway, Building 800, Suite 820, Marietta GA 30064, United States

DESCRIPTION: Responsible for administration of this corporation

**6) JONATHAN ROBSON**

POSITION: Insurance Agent NATURE: Insurance Agent INVESTMENT RELATED: Yes NUMBER OF HOURS: 15 SECURITIES TRADING HOURS: 15 START DATE: 04/01/2001

ADDRESS: 3405 Dallas Highway, Building 800, Suite 820, Marietta GA 30064, United States

DESCRIPTION: Recommend insurance to client as appropriate





## 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 |
|-------------|-------|
| Termination | 1     |

### Termination

This disclosure event involves a situation where the Investment Adviser Representative voluntarily resigned, was discharged or was permitted to resign after allegations were made that accused the Investment Adviser Representative of violating investment-related statutes, regulations, rules or industry standards of conduct; fraud or the wrongful taking of property; or failure to supervise in connection with investment-related statutes, regulations, rules or industry standards of conduct.

#### Disclosure 1 of 1

**Reporting Source:** Firm  
**Firm Name:** LPL Financial LLC  
**Termination Type:** Discharged  
**Termination Date:** 08/11/2016  
**Allegations:** Violation of Firm policy regarding private securities transactions.  
**Product Type:** Real Estate Security

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**Reporting Source:** Individual  
**Firm Name:** LPL  
**Termination Type:** Discharged  
**Termination Date:** 08/11/2016  
**Allegations:** Violated firm policy regarding private securities transaction.  
**Product Type:** No Product

**Broker Statement**  
In August of 2015, I introduced a client's accountant to another accountant I have had a working relationship with in the past to assist in tax planning. The client had sold a business and was concerned with the tax consequences with the transaction. The two accountants held conference calls to discuss the client's situation during which it was determined he would benefit from the use of conservation easements.  
The client, based upon his accountant's recommendation, decided to move forward with the conservation easements.

In December of 2015, the accountant I introduced requested that I forward information on the easement that he determined was appropriate to the client,



which included subscription documents. I forwarded the information, unaware that by doing so, I could potentially be involved in a non-registered securities transaction. I had no further involvement in the transaction after passing on the information.

In February of 2016, it was brought to my attention during a branch exam, that the information I forwarded was an issue. I explained the situation to the examiner and provided all information requested. In June of 2016, I was contacted by attorneys at LPL Financial to provide further explanation and information, and I again complied.

In August of 2016, I received a phone call from a Manager of Home Office Supervision at LPL Financial. I was informed during this call that my registration was terminated effective the close of that business day. When asked why they felt my registration should be terminated, I was told that Senior Management believed that I was involved in a non-registered securities transaction.

I did not receive any compensation, either from the transaction or through a referral fee, from anyone involved in the conservation easement. I did not assist the client in purchasing any conservation easement or in completing any of the documents. I was not involved in the transfer of any funds for the client for the purchase. I have been a registered representative since 2001 during which time I have a spotless U-4, have never filed an E&O claim, and have never been arrested or declared bankruptcy. My credit score is always in the high 700's.



## End of Report

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