User Guidance

www.adviserinfo.sec.gov

IAPD Report

MICHAEL JAMES WEGGE

CRD# 4418476

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

MICHAEL JAMES WEGGE (CRD# 4418476)

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 **05/21/2026**.

CURRENT EMPLOYERS

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

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **9** 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	SAGEPOINT FINANCIAL, INC.	133763	LOS ANGELES, CA	07/02/2019 - 09/01/2023
IA	SAGEPOINT FINANCIAL, INC.	133763	LOS ANGELES, CA	07/02/2019 - 09/01/2023
IA	ADVICE AND PLANNING SERVICES	20472	LOS ANGELES, CA	11/10/2014 - 05/31/2019

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	1
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 **9** 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	09/01/2023
B	FINRA	Invest. Co and Variable Contracts	Approved	09/01/2023
B	California	Agent	Approved	09/01/2023
IA	California	Investment Adviser Representative	Approved	09/01/2023
B	Colorado	Agent	Approved	05/10/2024
B	Connecticut	Agent	Approved	06/04/2025
B	Illinois	Agent	Approved	09/01/2023
B	Massachusetts	Agent	Approved	01/06/2026
B	New York	Agent	Approved	06/04/2024
B	Oregon	Agent	Approved	11/14/2023
B	Utah	Agent	Approved	09/05/2025
B	Virginia	Agent	Approved	09/01/2023

Branch Office Locations

Qualifications

OSAIC WEALTH, INC.
1925 Century Park E
SUITE #1700
LOS ANGELES, CA 90067

OSAIC WEALTH, INC.
Encino, CA

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	Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
B	General Securities Representative Examination (S7)	Series 7	01/25/2007
B	Investment Company Products/Variable Contracts Representative Examination (S6)	Series 6	09/06/2001

State Securities Law Exams

	Exam	Category	Date
IA B	Uniform Combined State Law Examination (S66)	Series 66	03/03/2007
B	Uniform Securities Agent State Law Examination (S63)	Series 63	10/12/2001

PROFESSIONAL DESIGNATIONS

This section details that the representative has reported **0** professional designation(s).

No information reported.

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
B	07/02/2019 - 09/01/2023	SAGEPOINT FINANCIAL, INC.	CRD# 133763	LOS ANGELES, CA
IA	07/02/2019 - 09/01/2023	SAGEPOINT FINANCIAL, INC.	CRD# 133763	LOS ANGELES, CA
IA	11/10/2014 - 05/31/2019	ADVICE AND PLANNING SERVICES	CRD# 20472	LOS ANGELES, CA
B	11/10/2014 - 05/31/2019	TIAA-CREF INDIVIDUAL & INSTITUTIONAL SERVICES, LLC	CRD# 20472	LOS ANGELES, CA
IA	02/14/2012 - 10/27/2014	MML INVESTORS SERVICES, LLC	CRD# 10409	LOS ANGELES, CA
B	02/13/2012 - 10/27/2014	MML INVESTORS SERVICES, LLC	CRD# 10409	LOS ANGELES, CA
IA	04/12/2007 - 01/20/2012	NORTHWESTERN MUTUAL INVESTMENT SERVICES,LLC	CRD# 2881	LOS ANGELES, CA
B	11/08/2002 - 01/20/2012	NORTHWESTERN MUTUAL INVESTMENT SERVICES, LLC	CRD# 2881	LOS ANGELES, CA
B	04/12/2002 - 10/14/2002	WORLD GROUP SECURITIES, INC.	CRD# 114473	DULUTH, GA
B	09/07/2001 - 04/12/2002	WMA SECURITIES, INC.	CRD# 32625	DULUTH, 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
09/2023 - Present	OSAIC WEALTH, INC.	REGISTERED REP/ INVESTMENT ADVISOR REP	Y	LOS ANGELES, CA, United States
07/2019 - 09/2023	SAGEPOINT FINANCIAL, INC.	REGISTERED REP/ INVESTMENT ADVISOR REP	Y	LOS ANGELES, CA, United States
09/2014 - 05/2019	TIAA	WEALTH MANAGEMENT ADVISOR	Y	LOS ANGELES, CA, United States

Registration & Employment History

EMPLOYMENT HISTORY

Employment Dates	Employer Name	Position	Investment Related	Employer Location
09/2014 - 05/2019	TIAA-CREF INDIVIDUAL & INSTITUTIONAL SERVICES, LLC	REGISTERED REPRESENTATIVE	Y	LOS ANGELES, CA, 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.Los Angeles Church Of Christ POSITION: Board Member NATURE: Corporation, 501c3 INVESTMENT RELATED: No NUMBER OF HOURS: 2 SECURITIES TRADING HOURS: 0 START DATE: 01/01/2025
ADDRESS: 26050 Mureau Road Suite 102 Calabasas, CA 91302
DESCRIPTION: Provide advice for the larger church.

2.Family Rescue Center POSITION: treasurer NATURE: non-profit organization INVESTMENT RELATED: No NUMBER OF HOURS: 2 SECURITIES TRADING HOURS: 0 START DATE: 2/02/2025
ADDRESS: 22103 Vanowen Street Canoga Park,CA 91303, United States
DESCRIPTION: Review the budget and bills. Make recommendations for the board..

3. MICHAEL WEGGE INSURANCE
POSITION: Agent NATURE: Renewals of Life, Disability and Long Term care Insurance INVESTMENT RELATED: No NUMBER OF HOURS: 1 SECURITIES TRADING HOURS: 1 START DATE: 07/01/2002
ADDRESS: 5137 Newcastle Ave, Encino CA 91316, United States
DESCRIPTION: I service existing insurance renewals.

4. TURNING POINT LOS ANGELES
POSITION: Chairman NATURE: Regional Advisory Financial Committee.
INVESTMENT RELATED: No NUMBER OF HOURS: 3 SECURITIES TRADING HOURS: 0 START DATE: 10/01/2019
ADDRESS: 827 N Hollywood Wy, #421, Burbank CA 91505, United States
DESCRIPTION: My role is to watch over the budget of a Christian Church located in the San Fernando Valley. The organization does not currently involve the ownership of any real estate; therefore, it is simply about the prudent use of funds donated by the members, supporting the staff and creating healthy programs for spiritual well-being.

5. INDEPENDENT CAPITAL MANAGEMENT
POSITION: Agent NATURE: Sole Proprietorship INVESTMENT RELATED: Yes NUMBER OF HOURS: 20 SECURITIES TRADING HOURS: 20 START DATE: 10/01/2019
ADDRESS: 6100 Wilshire Blvd, #1560, Los Angeles CA 90048, United States
DESCRIPTION: I provide my clients, who are often Sagepoint Financial clients various forms of protection in the form of Long Term Care, Disability and Life Insurance. Principal, Pac Life, Transamerica,AIG etc.

6. BGA: Position Agent Nature; Insurance Agency Investment Related Yes Number of Hours: 20 Security Trading Hours: 20 Start Date: 7/1/2019
Address: 5776 Lindero Canyon Road, #D449, Westlake Village, California 91362
Description: I provide insurance coverage through BGA Brokerage Representatives.

7. IN HOME SUPPORT SERVICES
POSITION: Provider NATURE: Government entity INVESTMENT RELATED: No NUMBER OF HOURS: 40 SECURITIES TRADING HOURS: 0 START DATE: 01/01/2006

Registration & Employment History

OTHER BUSINESS ACTIVITIES

ADDRESS: 2707 S Grand Ave, Los Angeles CA 90007, United States
DESCRIPTION: I provide transportation, cleaning, maintenance, translation and other services for my wife's parents who do not speak English and do not drive through the state of CA.

8. INDEPENDENT CAPITAL MANAGEMENT
POSITION: Agent NATURE: Sole Proprietership INVESTMENT RELATED: Yes NUMBER OF HOURS: 5 SECURITIES TRADING HOURS: 5 START DATE: 10/01/2019
ADDRESS: 1925 Century Park E, #1700, Los Angeles CA 90067, United States
DESCRIPTION: I provide my clients, who are often Osaic Wealth clients various forms of protection in the form of Long Term Care, Disability and Life Insurance. Principal, Pac Life, Transamerica, AIG etc.

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	1
Termination	1

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 1

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	NORTHWESTERN MUTUAL INVESTMENT SERVICES, LLC
Allegations:	COMPLAINANT ALLEGES THAT THE PRODUCER HAS SHOWN A LACK OF TRANSPARENCY, UNETHICAL BUSINESS PRACTICES AND FAILURE TO FOLLOW HER INVESTMENT CHOICES, WHICH HAS RESULTED IN FINANCIAL LOSSES. NO TIME PERIOD WAS PROVIDED.
Product Type:	Annuity-Variable Other: BROKERAGE ACCOUNT
Alleged Damages:	$0.00
Alleged Damages Amount Explanation (if amount not exact):	NO SPECIFIC DAMAGE AMOUNT WAS ALLEGED AND THE FIRM WAS UNABLE TO MAKE A GOOD FAITH DETERMINATION THAT DAMAGES WOULD BE UNDER $5,000.
Is this an oral complaint?	No
Is this a written complaint?	Yes
Is this an arbitration/CFTC reparation or civil litigation?	No

Customer Complaint Information

Date Complaint Received:	05/27/2012
Complaint Pending?	No

Status:	Closed/No Action
Status Date:	07/08/2012
Settlement Amount:	
Individual Contribution Amount:	
Broker Statement	INTERNAL CASE #201217033.

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:	TIAA-CREF INDIVIDUAL & INSTITUTIONAL SERVICES, LLC
Termination Type:	Discharged
Termination Date:	05/13/2019
Allegations:	Representative communicated to a client that the reason an outbound wire request had not been processed was due to in internal review into the transaction that was being conducted.
Product Type:	No Product

Reporting Source:	Individual
Firm Name:	TIAA
Termination Type:	Discharged
Termination Date:	05/13/2019
Allegations:	Mr. Wegge was terminated for disclosing to a client that his delayed wire was due to an AML inquiry, in violation of firm policy.
Product Type:	Other: Federal Wire
Broker Statement	I was attempting to advise my client on the circumstances surrounding the delay of their wire request and did not realize I was violating firm policy.

End of Report

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