



IAPD Report

MICHAEL D VOGT

CRD# 4425732

<u>Section Title</u>	<u>Page(s)</u>
Report Summary	1
Qualifications	2 - 3
Registration and Employment History	4 - 5
Disclosure Information	6



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 D VOGT (CRD# 4425732)

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 **03/13/2024**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	OSAIC WEALTH, INC.	CRD# 23131	03/13/2024
IA	OSAIC WEALTH, INC.	CRD# 23131	06/14/2024

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **2** 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	SECURITIES AMERICA ADVISORS, INC.	110518	LA VISTA, NE	10/03/2011 - 06/14/2024
B	SECURITIES AMERICA, INC.	10205	LAVISTA, NE	09/30/2011 - 06/14/2024
IA	AMERIVEST INVESTMENT MANAGEMENT, LLC	111514	OMAHA, NE	11/14/2008 - 08/18/2011

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	5



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 2 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	03/13/2024
B	FINRA	General Securities Representative	Approved	03/13/2024
B	FINRA	Municipal Securities Representative	Approved	03/13/2024
B	Nebraska	Agent	Approved	06/14/2024
IA	Nebraska	Investment Adviser Representative	Approved	06/14/2024
B	Utah	Agent	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 1 principal/supervisory exam, 4 general industry/product exams, and 2 state securities law exams.




Principal/Supervisory Exams

	Exam	Category	Date
	General Securities Principal Examination (S24)	Series 24	03/18/2016

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	01/26/2006
	Investment Company Products/Variable Contracts Representative Examination (S6)	Series 6	08/03/2001

State Securities Law Exams

	Exam	Category	Date
	 Uniform Combined State Law Examination (S66)	Series 66	11/06/2008
	Uniform Securities Agent State Law Examination (S63)	Series 63	08/24/2001

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
IA	10/03/2011 - 06/14/2024	SECURITIES AMERICA ADVISORS, INC.	CRD# 110518	LA VISTA, NE
B	09/30/2011 - 06/14/2024	SECURITIES AMERICA, INC.	CRD# 10205	LAVISTA, NE
IA	11/14/2008 - 08/18/2011	AMERIVEST INVESTMENT MANAGEMENT, LLC	CRD# 111514	OMAHA, NE
IA	11/14/2008 - 08/18/2011	TD AMERITRADE, INC.	CRD# 7870	OMAHA, NE
B	10/14/2008 - 08/18/2011	TD AMERITRADE, INC.	CRD# 7870	OMAHA, NE
B	01/24/2008 - 10/06/2008	TD AMERITRADE CLEARING, INC.	CRD# 5633	BELLEVUE, NE
B	04/22/2006 - 01/24/2008	TD AMERITRADE, INC.	CRD# 7870	BELLEVUE, NE
B	01/27/2006 - 04/22/2006	AMERITRADE, INC.	CRD# 5633	BELLEVUE, NE
B	08/07/2001 - 11/13/2001	FIRST INVESTORS CORPORATION	CRD# 305	EDISON, NJ

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
06/2012 - Present	GATHER BOUTIQUE	CO-OWNER	N	ELMWOOD, NE, United States
09/2011 - Present	SECURITIES AMERICA ADVISORS	INVESTMENT ADVISOR REPRESENTATIVE	Y	LA VISTA, NE, United States
09/2011 - Present	SECURITIES AMERICA INC.	REGISTERED REPRESENTATIVE	Y	LA VISTA, NE, 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.

ADVISORY

POSITION: Employee NATURE: SECURITIES AMERICA ADVISORS - INVESTMENT ADVISORY - IAR - INVESTMENT RELATED - START DATE: 09/2011 - LOCATED AT 12325 PORT GRACE BLVD, LAVISTA, NE 68128 INVESTMENT RELATED: Yes NUMBER OF HOURS: 0 SECURITIES TRADING HOURS: 0 START DATE: 09/01/2011
ADDRESS: 12325 Port Grace Blvd, La Vista NE 68128, United States
DESCRIPTION: Reviewing business of SAA advisors.

FOSTER CARE

POSITION: Foster Parent NATURE: Foster Care INVESTMENT RELATED: No NUMBER OF HOURS: 720 SECURITIES TRADING HOURS: 0 START DATE: 09/11/2023
ADDRESS: 33410 Adams St, Elmwood, NE 68349, Elmwood NE 68349, United States
DESCRIPTION: My wife and I are going to be licensed to do Foster Care and provide assistance for children in need thru Cedars. This would be similar to our own children where we are available 24 hours a day to assist them.



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	5

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 5

Reporting Source: Individual

Action Type: Compromise

Action Date: 10/19/2021

Organization Investment-Related?

Action Pending? No

Disposition: Paid as agreed per terms of compromise.

Disposition Date: 10/28/2023

If a compromise with creditor, provide:

Name of Creditor: U.S. National Bank Association

Original Amount Owed: \$11,052.28

Terms Reached with Creditor: The creditor has agreed to accept \$7,183.98 as payment in full. The terms are 16 bi-weekly payments as follows: Commencing 10/29/2021 two payments of \$100; ten payments of \$150; one payment of \$2,150; one payment of \$3,150 and a final payment of \$183.98 due on May 13, 2022

Disclosure 2 of 5

Reporting Source: Individual

Action Type: Compromise

Action Date: 08/26/2021

Organization Investment-Related?



Action Pending? No

Disposition: Paid as agreed per terms of compromise.

Disposition Date: 10/28/2023

If a compromise with creditor, provide:

Name of Creditor: Discover

Original Amount Owed: \$14,392.76

Terms Reached with Creditor: The creditor has agreed to accept \$13,075 as payment in full. Terms of payment are 24 monthly payments: 12 payments of \$200 followed by eleven payments of \$890, with a final payment of \$885.

Broker Statement I am working with a debt resolution specialist to resolve my outstanding debts. The above settlement is part of that plan.

Disclosure 3 of 5

Reporting Source: Individual

Action Type: Compromise

Action Date: 04/05/2021

Organization Investment-Related?

Action Pending? No

Disposition: Paid as agreed per terms of compromise.

Disposition Date: 10/28/2023

If a compromise with creditor, provide:

Name of Creditor: Citi

Original Amount Owed: \$9,352.29

Terms Reached with Creditor: The creditor agreed to accept \$4,209.00 as payment in full to resolve the debt. Agreement terms are 24 payments of \$175.37 with the first payment commencing on April 23, 2021.

Broker Statement I am working with a debt resolution specialist to resolve my outstanding debts. The above settlement is part of that plan.

Disclosure 4 of 5

Reporting Source: Individual

Action Type: Compromise

Action Date: 04/12/2021

Organization Investment-Related?

Action Pending? No

Disposition: Paid as agreed per terms of compromise.



Disposition Date: 05/27/2021

If a compromise with creditor, provide:

Name of Creditor: Citi

Original Amount Owed: \$2,931.71

Terms Reached with Creditor: The creditor agreed to accept \$1,027.00 as payment in full to resolve the debt. Agreement terms were one payment of \$1027.00 to be paid on April 22, 2021.

Broker Statement I am working with a debt resolution specialist to resolve my outstanding debts. The above settlement is part of that plan.

Disclosure 5 of 5

Reporting Source: Individual

Action Type: Compromise

Action Date: 01/09/2021

Organization Investment-Related?

Action Pending? No

Disposition: Paid as agreed.

Disposition Date: 01/11/2022

If a compromise with creditor, provide:

Name of Creditor: The Lending Club

Original Amount Owed: \$4,653.40

Terms Reached with Creditor: The creditor agreed to accept \$2560.00 as payment in full to resolve the debt. Agreement terms are 12 monthly payments of \$213.00 with the first payment commencing on February 11, 2021.

Broker Statement I am working with a debt resolution specialist to resolve my outstanding debts. The above settlement is part of that plan.



End of Report

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