



IAPD Report

MATTHEW RICHARD CLOUTIER

CRD# 4697749

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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

MATTHEW RICHARD CLOUTIER (CRD# 4697749)

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 **08/05/2024**.

CURRENT EMPLOYERS

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

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **6** 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 | LITTLETON, CO | 01/10/2022 - 06/14/2024 |
| B | SECURITIES AMERICA, INC. | 10205 | LITTLETON, CO | 01/10/2022 - 06/14/2024 |
| IA | MUTUAL OF OMAHA INVESTOR SERVICES, INC. | 611 | Lakewood, CO | 04/28/2008 - 02/04/2022 |

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 **6** 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 | Invest. Co and Variable Contracts | Approved | 06/14/2024 |
| B | Colorado | Agent | Approved | 06/14/2024 |
| IA | Colorado | Investment Adviser Representative | Approved | 06/14/2024 |
| B | Florida | Agent | Approved | 06/14/2024 |
| B | Minnesota | Agent | Approved | 06/14/2024 |
| B | Nevada | Agent | Approved | 06/14/2024 |
| B | Oregon | Agent | Approved | 06/14/2024 |
| B | South Dakota | Agent | Approved | 06/14/2024 |

Branch Office Locations

OSAIC WEALTH, INC.
10390 BRADFORD RD SUITE 209
LITTLETON, CO 80127



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, 2 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 Investment Company Products/Variable Contracts Representative Examination (S6) | Series 6 | 09/11/2003 |

State Securities Law Exams

| Exam | Category | Date |
|---|-----------|------------|
| B Uniform Securities Agent State Law Examination (S63) | Series 63 | 04/06/2011 |
| IA Uniform Investment Adviser Law Examination (S65) | Series 65 | 04/25/2008 |



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 | 01/10/2022 - 06/14/2024 | SECURITIES AMERICA ADVISORS, INC. | CRD# 110518 | LITTLETON, CO |
| B | 01/10/2022 - 06/14/2024 | SECURITIES AMERICA, INC. | CRD# 10205 | LITTLETON, CO |
| IA | 04/28/2008 - 02/04/2022 | MUTUAL OF OMAHA INVESTOR SERVICES, INC. | CRD# 611 | Lakewood, CO |
| B | 09/15/2003 - 02/04/2022 | MUTUAL OF OMAHA INVESTOR SERVICES, INC. | CRD# 611 | Lakewood, CO |

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 | LITTLETON, CO, United States |
| 06/2024 - Present | OSAIC WEALTH, INC. | Mass Transfer | Y | LITTLETON, CO, United States |
| 01/2022 - 06/2024 | SECURITIES AMERICA ADVISORS | IAR | Y | LITTLETON, CO, United States |
| 01/2022 - 06/2024 | SECURITIES AMERICA, INC. | REGISTERED REPRESENTATIVE | Y | GOLDEN, CO, United States |
| 06/2003 - 01/2022 | UNITED/MUTUAL OF OMAHA | AGENT | Y | ENGLEWOOD, CO, 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. GOLDEN WEALTH SOLUTIONS

POSITION: Partner NATURE: Insurance Sales INVESTMENT RELATED: No NUMBER OF HOURS: 10 SECURITIES TRADING HOURS: 10 START DATE: 05/01/2003 ADDRESS: 10390 Bradford Rd, Suite 209, Littleton CO 80127 DESCRIPTION: Provide insurance solutions to clients problems on as needed basis working partially with our insurance partners to implement plans and provide protection programs.

2. 9691 PROPERTY MANAGEMENT, LLC

POSITION: Passive NATURE: Rental income property - Owned within LLC 9691 Property Management, LLC, which is holding company owned joint by Matthew R. Cloutier and Maegan R. Cloutier. INVESTMENT RELATED: No NUMBER OF HOURS: 1 SECURITIES TRADING HOURS: 0 START DATE: 10/15/2009 ADDRESS: 9691 Chatfield Ave, B, Littleton CO 80127



Registration & Employment History



OTHER BUSINESS ACTIVITIES

DESCRIPTION: Spouse collects rent from tenant and that is about it. Same tenant for 5 years, no plan on moving, renewal of lease year to year. Upon tenant placement (date unknown) then clean property and have new tenant move in.

3. OSAIC WEALTH, INC.

POSITION: IAR NATURE: Securities America Advisors INVESTMENT RELATED: Yes NUMBER OF HOURS: 140 SECURITIES TRADING HOURS: 120 START DATE: 01/01/2022

ADDRESS: 10390 Bradford Rd, Suite 209, Littleton CO 80127, United States

DESCRIPTION: investment advisory business, managed mutual funds, fee based accounts, investment management services thru third party money managers

4. SELF

POSITION: arbitrator NATURE: FINRA non-public arbitrator INVESTMENT RELATED: No NUMBER OF HOURS: 1 SECURITIES TRADING HOURS: 0 START DATE: 12/01/2023 ADDRESS: 10390 Bradford Rd, Suite 209, Littleton CO 80127 DESCRIPTION: Accepted to be a FINRA arbitrator in cases related to securities business. No current compensation and if and when selected to panel, the minimal honorarium of \$250 / day (4 hour hearing) would be paid along with reasonable expense reimbursement. Likely less than 1 case per year.

5. SELF

POSITION: FINRA Arbitrator NATURE: FINRA Arbitrator, serving on arbitration panels for FINRA. INVESTMENT RELATED: No NUMBER OF HOURS: 4 SECURITIES TRADING HOURS: 0 START DATE: 07/01/2024

ADDRESS: 10390 Bradford Rd, Suite 209, Littleton CO 80127, United States

DESCRIPTION: FINRA arbitrators are highly engaged, dynamic individuals who aid their communities and enhance their professional lives by resolving securities-related disputes. Develop skills, serve the community and supplement your income. No previous arbitration, securities or legal experience is required to apply--just five years of paid work experience and two years of college-level credits.



End of Report

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