



## IAPD Report

# CASEY MICHAEL BROACH

CRD# 4731305

<b><u>Section Title</u></b>	<b><u>Page(s)</u></b>
Report Summary	1
Qualifications	2 - 5
Registration and Employment History	6 - 8
Disclosure Information	9

**i** 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

### CASEY MICHAEL BROACH (CRD# 4731305)

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 **05/15/2026**.

### CURRENT EMPLOYERS

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

### QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **23** 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>B</b>	SAGEPOINT FINANCIAL, INC.	133763	SAN DIEGO, CA	10/27/2017 - 09/01/2023
<b>IA</b>	SAGEPOINT FINANCIAL, INC.	133763	SAN DIEGO, CA	10/27/2017 - 09/01/2023
<b>B</b>	NATIONAL PLANNING CORPORATION	29604	SAN DIEGO, CA	08/08/2012 - 11/01/2017

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 **23** 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	Arizona	Agent	Approved	09/01/2023
B	California	Agent	Approved	09/01/2023
IA	California	Investment Adviser Representative	Approved	09/01/2023
B	Colorado	Agent	Approved	09/01/2023
B	Florida	Agent	Approved	09/01/2023
IA	Florida	Investment Adviser Representative	Approved	09/01/2023
B	Idaho	Agent	Approved	09/01/2023
B	Illinois	Agent	Approved	09/01/2023
B	Indiana	Agent	Approved	03/26/2026
B	Massachusetts	Agent	Approved	01/16/2024
IA	Massachusetts	Investment Adviser Representative	Approved	01/16/2024
B	Michigan	Agent	Approved	09/01/2023



### Qualifications

	Regulator	Registration	Status	Date
B	Missouri	Agent	Approved	09/01/2023
B	Montana	Agent	Approved	09/01/2023
IA	Montana	Investment Adviser Representative	Approved	09/01/2023
B	Nebraska	Agent	Approved	09/01/2023
B	Nevada	Agent	Approved	09/01/2023
B	New Jersey	Agent	Approved	09/01/2023
IA	New Jersey	Investment Adviser Representative	Approved	09/01/2023
B	New Mexico	Agent	Approved	09/01/2023
IA	New Mexico	Investment Adviser Representative	Approved	09/01/2023
B	North Carolina	Agent	Approved	09/01/2023
B	Ohio	Agent	Approved	09/01/2023
IA	Ohio	Investment Adviser Representative	Approved	09/01/2023
B	Oregon	Agent	Approved	07/30/2025
B	South Dakota	Agent	Approved	09/01/2023
B	Texas	Agent	Approved	09/01/2023
IA	Texas	Investment Adviser Representative	Restricted Approval	09/01/2023
B	Virginia	Agent	Approved	09/01/2023
B	Washington	Agent	Approved	09/01/2023



### Qualifications

Regulator	Registration	Status	Date
IA Washington	Investment Adviser Representative	Approved	09/01/2023
B Wyoming	Agent	Approved	09/01/2023
IA Wyoming	Investment Adviser Representative	Approved	09/01/2023

### Branch Office Locations

**OSAIC WEALTH, INC.**  
4542 RUFFNER STREET  
SUITE 110  
SAN DIEGO, CA 92111



## 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 1 state securities law exam.**

#### 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	12/01/2003
---	----------	------------

#### State Securities Law Exams

Exam	Category	Date
------	----------	------

<b>IA</b> <b>B</b> Uniform Combined State Law Examination (S66)	Series 66	01/03/2004
---	-----------	------------

### PROFESSIONAL DESIGNATIONS

This section details that the representative has reported 1 professional designation(s).

Certified Financial Planner

This representative holds or did hold 1 professional designation(s) that may have been used to qualify as an Investment Advisor representative. Please check with the appropriate designation authority for verification that the designation is still in effect. The contact information for these professional designation authorities can be found on the website for the North American Securities Administrators Association at <http://www.nasaa.org>



### 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	10/27/2017 - 09/01/2023	SAGEPOINT FINANCIAL, INC.	CRD# 133763	SAN DIEGO, CA
IA	10/27/2017 - 09/01/2023	SAGEPOINT FINANCIAL, INC.	CRD# 133763	SAN DIEGO, CA
B	08/08/2012 - 11/01/2017	NATIONAL PLANNING CORPORATION	CRD# 29604	SAN DIEGO, CA
IA	08/08/2012 - 11/01/2017	NATIONAL PLANNING CORPORATION ("NPC OF AMERICA" IN FL & NY)	CRD# 29604	SAN DIEGO, CA
B	10/01/2004 - 07/24/2012	LPL FINANCIAL LLC	CRD# 6413	SAN DIEGO, CA
IA	10/01/2004 - 07/24/2012	LPL FINANCIAL LLC	CRD# 6413	SAN DIEGO, CA
B	03/29/2004 - 10/12/2004	WM FINANCIAL SERVICES, INC.	CRD# 599	IRVINE, CA
B	12/02/2003 - 03/24/2004	FIRST ALLIED SECURITIES, INC.	CRD# 32444	SAN DIEGO, CA

#### 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 REPRESENTATIVE	Y	SAN DIEGO, CA, United States
10/2017 - 09/2023	SAGEPOINT FINANCIAL, INC.	REGISTERED REPRESENTATIVE	Y	SAN DIEGO, CA, United States
08/2012 - 10/2017	NATIONAL PLANNING CORP	REGISTERED REP	Y	SANTA MONICA, 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. DACA INVESTMENT SERVICES  
POSITION: Executive VP NATURE: S-Corp INVESTMENT RELATED: Yes NUMBER OF HOURS: 150 SECURITIES TRADING



## Registration & Employment History



### OTHER BUSINESS ACTIVITIES

HOURS: 150 START DATE: 09/01/2004

ADDRESS: 4542 Ruffner St STE 110, San Diego CA 92111, United States

DESCRIPTION: Client investment management and brokerage service for securities related products through broker dealer

#### 2. DACA MORTGAGE & REALTY

POSITION: Vice President NATURE: Corporation INVESTMENT RELATED: No NUMBER OF HOURS: 0 SECURITIES

TRADING HOURS: 0 START DATE: 09/21/2010

ADDRESS: 4542 Ruffner St STE 110, San Diego CA 92111, United States

DESCRIPTION: I am an officer of the corporation and am not licensed in the area. My business partner is a licensed broker for real estate and mortgage.

#### 3. DACA FINANCIAL GROUP

POSITION: Vice President NATURE: Corporation INVESTMENT RELATED: No NUMBER OF HOURS: 160 SECURITIES

TRADING HOURS: 0 START DATE: 10/01/2004

ADDRESS: 4542 Ruffner St STE 110, San Diego CA 92111, United States

DESCRIPTION: DACA Financial Group is the name of our corporation.

#### 4. DACA TAX SERVICES

POSITION: Vice President NATURE: Corporation INVESTMENT RELATED: No NUMBER OF HOURS: 25 SECURITIES

TRADING HOURS: 0 START DATE: 07/24/2008

ADDRESS: 4542 Ruffner St STE 110, San Diego CA 92111, United States

DESCRIPTION: I am a licensed tax preparer and prepare tax returns for individuals

#### 5. BOYS & GIRLS CLUBS OF SOUTH COUNTY

POSITION: Board Member NATURE: Non-Profit 501(c)3 INVESTMENT RELATED: No NUMBER OF HOURS: 5 SECURITIES

TRADING HOURS: 0 START DATE: 06/01/2023

ADDRESS: 847 Encina Ave, Imperial Beach CA 91932, United States

DESCRIPTION: 1. Trusteeship 2. Planning 3. Policy setting 4. Funding/Fundraising

#### 6. 299TRUST.COM

POSITION: Vice President NATURE: LLC STATE OF CA INVESTMENT RELATED: No NUMBER OF HOURS: 0 SECURITIES

TRADING HOURS: 0 START DATE: 01/01/2014

ADDRESS: 4542 Ruffner St STE 110, San Diego CA 92111, United States

DESCRIPTION: I am an officer in the corporation. My business partner David Afzal is a legal document assistant preparer and he is able to assist clients in the self preparation of legal documents. I am not licensed in this area and do not have any involvement.

#### 7. PERSONAL RENTAL

POSITION: Owner NATURE: Personal Rental Property held in trust INVESTMENT RELATED: Yes NUMBER OF HOURS: 2

SECURITIES TRADING HOURS: 0 START DATE: 03/29/2025

ADDRESS: 1781 Hermes St, San Diego CA 92154, United States

DESCRIPTION: I self manage a single family rental property in San Diego

#### 8. RENTAL/SECOND HOME

POSITION: Owner NATURE: Individual owner held in trust INVESTMENT RELATED: Yes NUMBER OF HOURS: 1 SECURITIES

TRADING HOURS: 1 START DATE: 01/09/2026

ADDRESS: 75-6009 Alii Dr, P3, Kona HI 96740, United States

DESCRIPTION: Manage rental property for vacation tenants

#### 9. CORONADO HIGH SCHOOL WATER POLO BOOSTER CLUB

POSITION: Treasurer NATURE: Non-Profit 501(C)3 though high school INVESTMENT RELATED: No NUMBER OF HOURS: 2



## Registration & Employment History



### OTHER BUSINESS ACTIVITIES

SECURITIES TRADING HOURS: 0 START DATE: 05/15/2026

ADDRESS: 650 D Ave, Coronado CA 92118, United States

DESCRIPTION: I coordinate with the school district finance department to coordinate payments for the high school water polo team. I am not involved in bank account transactions merely serving as book keeper and expense coordinator.



## 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:** Regulator

**Employing firm when activities occurred which led to the complaint:** National Planning Corporation and NPC Securities, Inc.

**Allegations:** Respondent Broach was named in a customer complaint that asserted the following causes of action: breach of fiduciary duty; elder financial abuse; misrepresentation/non-disclosures; omission of facts; suitability; breach of contract; failure to supervise; negligence; and mark-ups. The causes of action relate to Claimant's purchase of 10,884 shares in Advisor Disciplined Trust Unit 1564 Calif Muni Closed End Port Ser 2015-2, a municipal bond fund.

**Product Type:** Debt-Municipal

**Alleged Damages:** \$23,950.00

#### Arbitration Information

**Arbitration/Reparation Claim filed with and Docket/Case No.:** FINRA - CASE #18-00160

**Date Notice/Process Served:** 01/12/2018

**Arbitration Pending?** No

**Disposition:** Award

**Disposition Date:** 09/21/2018

**Disposition Detail:** Respondent Broach is jointly and severally liable for and shall pay to Claimant \$14,000.00. Respondent Broach is jointly and severally liable for and shall pay to



Claimant interest on the amount of \$14,000.00 at the California statutory rate of 10% for unpaid judgments from the date of the Award until the amount of \$14,000.00 is paid in full.

**Regulator Statement**

In the Amended Statement of Claim, Claimant removed NPC Securities, Inc. from the case and named National Planning Corporation in its place as a respondent.

---

**Reporting Source:**

Firm

**Employing firm when activities occurred which led to the complaint:**

National Planning Corporation

**Allegations:**

Claimant alleges misrepresentation and unsuitable investment.

**Product Type:**

Unit Investment Trust

**Alleged Damages:**

\$23,950.00

**Arbitration Information**

**Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.):**

FINRA

**Docket/Case #:**

18-00160

**Date Notice/Process Served:**

03/09/2018

**Arbitration Pending?**

Yes

---

**Reporting Source:**

Individual

**Employing firm when activities occurred which led to the complaint:**

National Planning Corporation and NPC Securities, Inc.

**Allegations:**

Respondent Broach was named in a customer complaint that asserted the following causes of action: breach of fiduciary duty; elder financial abuse; misrepresentation/non-disclosures; omission of facts; suitability; breach of contract; failure to supervise; negligence; and mark-ups. The causes of action relate to Claimant's purchase of 10,884 shares in Advisor Disciplined Trust Unit 1564 Calif Muni Closed End Port Ser 2015-2, a municipal bond fund.

**Product Type:**

Debt-Municipal

**Alleged Damages:**

\$23,950.00

**Arbitration Information**

**Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.):**

FINRA

**Docket/Case #:**

16-00160

**Date Notice/Process Served:**

03/09/2018

**Arbitration Pending?**

No

**Disposition:**

Award to Customer

**Disposition Date:**

09/21/2018

**Monetary Compensation**

\$23,950.00



**Amount:**

**Individual Contribution Amount:** \$14,000.00

**Broker Statement**

In the Amended Statement of Claim, Claimant removed NPC Securities, Inc. from the case and named National Planning Corporation in its place as a respondent.

ADVISORS COMMENTS: Mr. Broach categorically denies all claims and allegations filed by the client. The client filed a claim after the initial investment matured 2 years later. The client had prior investment experience in fixed income vehicles before making an investment with my firm. Client's investment was subject to interest rate risk, as her prior investment vehicle was. The award to the client by the arbiter should not be construed as an admission of liability and Mr. Broach firmly disputes the claim.



## 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:** 07/16/2012  
**Allegations:** VIOLATED THE FIRM'S ELECTRONIC COMMUNICATIONS POLICY BY USING AN UNAPPROVED EMAIL ADDRESS.  
**Product Type:** No Product

---

**Reporting Source:** Individual  
**Firm Name:** LPL FINANCIAL  
**Termination Type:** Discharged  
**Termination Date:** 07/16/2012  
**Allegations:** VIOLATED THE FIRM'S ELECTRONIC COMMUNICATIONS POLICY BY USING AN UNAPPROVED EMAIL ADDRESS.  
**Product Type:** No Product

**Broker Statement** AFTER RECEIVING THE RESULTS OF A RECENT INTERNAL AUDIT DATED 07/09/2012 WE ARE PROVIDED A 30 DAY WINDOW TO FIX VARIOUS ITEMS AS LISTED ON REPORT. ONE ITEM WAS TO REGISTER OUR DBA EMAIL ADDRESS WITH A LPL THIRD PARTY VENDOR, IN WHICH I DID TO COMPLY WITH FIRM POLICY. I WAS NEVER GIVEN THE OPPORTUNITY TO PROVE I FIXED OR ADHERE TO ANY RECOMMENDATIONS ON THE 07/09/2012 LPL AUDIT REPORT SINCE LPL MADE THEIR DECISION IN 7 DAYS RATHER THE 30 DAYS I WAS ENTITLED TO.



## End of Report

This page is intentionally left blank.