



IAPD Report

MATTHEW LAWRENCE AGIUS

CRD# 4736296

<u>Section Title</u>	<u>Page(s)</u>
Report Summary	1
Qualifications	2 - 4
Registration and Employment History	5 - 6
Disclosure Information	7

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

MATTHEW LAWRENCE AGIUS (CRD# 4736296)

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 **03/30/2026**.

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 **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
IA	SECURITIES AMERICA ADVISORS, INC.	110518	LOS GATOS, CA	01/16/2018 - 06/14/2024
B	SECURITIES AMERICA, INC.	10205	Belmont, CA	12/08/2016 - 06/14/2024
IA	CUE FINANCIAL GROUP, INC.	21033	SCOTTSDALE, AZ	05/31/2013 - 12/31/2017

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	3



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 Principal	Approved	06/14/2024
B	FINRA	General Securities Representative	Approved	06/14/2024
B	FINRA	Invest. Co and Variable Contracts	Approved	06/14/2024
B	Arizona	Agent	Approved	06/14/2024
B	California	Agent	Approved	06/14/2024
IA	California	Investment Adviser Representative	Approved	06/14/2024
B	Georgia	Agent	Approved	06/14/2024
B	Maryland	Agent	Approved	06/14/2024
B	Nevada	Agent	Approved	01/02/2025
B	New Jersey	Agent	Approved	03/31/2026
B	South Dakota	Agent	Approved	06/14/2024
B	Virginia	Agent	Approved	01/02/2025
B	Washington	Agent	Approved	01/09/2025



Qualifications

Branch Office Locations

OSAIC WEALTH, INC.
15425 LOS GATOS BLVD STE 101
LOS GATOS, CA 95032

OSAIC WEALTH, INC.
1050 El Camino Real Suite C
Belmont, CA 94002

OSAIC WEALTH, INC.
210 REDWOOD SHORES PARKWAY
REDWOOD CITY, CA 94065




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, 3 general industry/product exams, and 2 state securities law exams.



Principal/Supervisory Exams

	Exam	Category	Date
	General Securities Principal Examination (S24)	Series 24	09/24/2009

General Industry/Product Exams

	Exam	Category	Date
	Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
	General Securities Representative Examination (S7)	Series 7	04/18/2006
	Investment Company Products/Variable Contracts Representative Examination (S6)	Series 6	12/12/2003

State Securities Law Exams

	Exam	Category	Date
	Uniform Investment Adviser Law Examination (S65)	Series 65	04/30/2007
	Uniform Securities Agent State Law Examination (S63)	Series 63	12/17/2003

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	01/16/2018 - 06/14/2024	SECURITIES AMERICA ADVISORS, INC.	CRD# 110518	LOS GATOS, CA
B	12/08/2016 - 06/14/2024	SECURITIES AMERICA, INC.	CRD# 10205	Belmont, CA
IA	05/31/2013 - 12/31/2017	CUE FINANCIAL GROUP, INC.	CRD# 21033	SCOTTSDALE, AZ
B	06/27/2011 - 12/08/2016	FOOTHILL SECURITIES, INC.	CRD# 1027	PALO ALTO, CA
IA	05/07/2009 - 07/06/2011	LPL FINANCIAL LLC	CRD# 6413	BURLINGAME, CA
B	05/06/2009 - 07/06/2011	LPL FINANCIAL LLC	CRD# 6413	BURLINGAME, CA
B	05/02/2009 - 05/07/2009	CHASE INVESTMENT SERVICES CORP.	CRD# 25574	SANTA CLARA, CA
IA	05/02/2009 - 05/07/2009	CHASE INVESTMENT SERVICES CORP.	CRD# 25574	SANTA CLARA, CA
B	04/08/2008 - 05/02/2009	WAMU INVESTMENTS, INC.	CRD# 599	SANTA CLARA, CA
IA	04/08/2008 - 05/02/2009	WAMU INVESTMENTS, INC.	CRD# 599	SANTA CLARA, CA
B	07/26/2007 - 04/07/2008	WELLS FARGO INVESTMENTS, LLC	CRD# 10582	LIVERMORE, CA
IA	07/26/2007 - 04/07/2008	WELLS FARGO INVESTMENTS, LLC	CRD# 10582	LIVERMORE, CA
IA	06/13/2007 - 08/04/2007	CITIGROUP GLOBAL MARKETS INC.	CRD# 7059	SAN MATEO, CA
B	05/29/2007 - 08/04/2007	CITIGROUP GLOBAL MARKETS INC.	CRD# 7059	SAN MATEO, CA
B	12/15/2003 - 05/29/2007	CITICORP INVESTMENT SERVICES	CRD# 23988	SAN MATEO, CA



Registration & Employment History

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.	REGISTERED REPRESENTATIVE	Y	Belmont, CA, United States
06/2011 - Present	PROVIDENT CREDIT UNION	EMPLOYEE	Y	LOS GATOS, CA, United States
01/2018 - 06/2024	SECURITIES AMERICA ADVISORS	IAR	Y	LOS GATOS, CA, United States
12/2016 - 06/2024	SECURITIES AMERICA, INC.	REGISTERED REP	Y	LOS GATOS, CA, United States
04/2013 - 12/2017	CUE FINANCIAL GROUP, INC.	IAR	Y	LOS GATOS, CA, United States
06/2011 - 12/2016	FOOTHILL SECURITIES INC	REGISTERED REP	Y	REDWOOD SHORES, 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.

PROVIDENT CREDIT UNION

POSITION: Advisor NATURE: Credit Union INVESTMENT RELATED: No NUMBER OF HOURS: 160 SECURITIES TRADING HOURS: 10 START DATE: 06/01/2011 ADDRESS: 15425 Los Gatos Blvd, Los Gatos CA 95032 DESCRIPTION: Investment advisor working for/in Provident Credit Union

SAA

POSITION: Advisor NATURE: Advisory Business INVESTMENT RELATED: Yes NUMBER OF HOURS: 10 SECURITIES TRADING HOURS: 10 START DATE: 01/01/2018 ADDRESS: 15425 Los Gatos Blvd, Los Gatos CA 95032, United States DESCRIPTION: Offering advisory accounts to clients.



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	3

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 3

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	FOOTHILL SECURITIES, INC.
Allegations:	THE HEIRS OF A DECEASED CLIENT COMPLAINED THAT ANNUITIZATION OF A VARIABLE ANNUITY PRIOR TO THE CLIENT'S PASSING AWAY WAS NOT APPROPRIATE.
Product Type:	Annuity-Fixed Annuity-Variable
Alleged Damages:	\$0.00
Alleged Damages Amount Explanation (if amount not exact):	AT THE TIME THAT [CUSTOMER'S] SONS WERE COMPLAINING TO PROVIDENT CREDIT UNION, THEY DID NOT DEMAND A SPECIFIC AMOUNT OF DAMAGES.
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:	01/14/2015
Complaint Pending?	No
Status:	Settled
Status Date:	05/01/2015



Settlement Amount: \$17,500.00

Individual Contribution Amount: \$6,300.00

Broker Statement

MR. AGIUS INHERITED THE CLIENT FROM A RETIRING ADVISOR IN 2013 AND SCHEDULED A MEETING TO INTRODUCE HIMSELF AND PERFORM A PORTFOLIO REVIEW. DURING THE MEETING THE CLIENT STATED THE NEED FOR ADDITIONAL INCOME. THE PORTFOLIO REVIEW FOUND THAT FOR A CLIENT AGED 94 THE EXPOSURE TO STOCKS WAS EXCESSIVE AND AFTER DISCUSSING ALTERNATIVES THE CLIENT DECIDED TO ANNUITIZE A VA. BY ANNUITIZING THE ADDITIONAL INCOME WOULD BE PROVIDED AS WELL AS REDUCING THE EXPOSURE TO STOCKS AND PROVIDING MORE FAVORABLE TAX TREATMENT THAN STRAIGHT WITHDRAWALS. FIVE MONTHS AFTER THE ANNUITIZATION THE CLIENT PASSED AWAY AND EIGHT MONTHS AFTER PASSING THE CLIENT'S HEIRS INQUIRED OF PROVIDENT CREDIT UNION THE REASONING BEHIND ANNUITIZING. THE COMMUNICATION WAS FORWARDED TO FOOTHILL SECURITIES, INC. FOR RESPONSE AND AFTER A SERIES OF COMMUNICATIONS WITH THE BENEFICIARIES THEY INDICATED THEY WOULD BE FILING A FORMAL COMPLAINT WITH FINRA AND THE CALIFORNIA DEPARTMENT OF INSURANCE TO RESOLVE THE ISSUE. AN INTERNAL REVIEW FOUND THAT MR. AGIUS ADVISED THE CLIENT APPROPRIATELY AND FOOTHILL SECURITIES, INC. DENIES ANY WRONGDOING IN THIS MATTER.

Disclosure 2 of 3

Reporting Source: Firm

Employing firm when activities occurred which led to the complaint: CHASE INVESTMENT SERVICES CORP

Allegations: CLIENT ALLEGES SUITABILITY AND MISREPRESENTATION REGARDING EQUITIES LISTED, MUTUAL FUNDS, AND UIT INVESTMENTS.

Product Type: Equity Listed (Common & Preferred Stock)
Mutual Fund
Unit Investment Trust

Alleged Damages: \$388,000.00

Arbitration Information

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

Docket/Case #: 09-05694

Date Notice/Process Served: 11/05/2009

Arbitration Pending? No

Disposition: Settled

Disposition Date: 02/09/2011

Monetary Compensation Amount: \$105,000.00

Individual Contribution Amount: \$0.00



Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: CHASE INVESTMENT SERVICES CORP.

Allegations: CLIENT ALLEGES SUITABILITY AND MISREPRESENTATION REGARDING EQUITIES LISTED, MUTUAL FUNDS, AND UIT INVESTMENTS.

Product Type: Equity Listed (Common & Preferred Stock)
Mutual Fund
Unit Investment Trust

Alleged Damages: \$388,000.00

Arbitration Information

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

Docket/Case #: 09-05694

Date Notice/Process Served: 11/05/2009

Arbitration Pending? No

Disposition: Settled

Disposition Date: 02/09/2011

Monetary Compensation Amount: \$105,000.00

Individual Contribution Amount: \$0.00

Broker Statement

MATTHEW AGIUS DID NOT RECOMMEND, PURCHASE OR SOLICIT ANY INVESTMENTS FOR THIS CLIENT. CLIENT JOINED MR. AGIUS IN HER LAWSUIT AGAINST ORIGINAL SELLING ADVISOR AND FIRM EVEN THOUGH MR. AGIUS HAD NO INVOLVEMENT IN THE RECOMMENDATION, PURCHASE, MANAGEMENT OR MAINTENANCE OF THE SECURITIES IN THE ACCOUNT WHATSOEVER.

Disclosure 3 of 3

Reporting Source: Firm

Employing firm when activities occurred which led to the complaint: CITIGROUP GLOBAL MARKETS INC.

Allegations: CLIENT ALLEGED UNAUTHORIZED TRADE WITH RESPECT TO ANNUITY INVESTMENT - JUNE 2007.
DAMAGES UNSPECIFIED.

Product Type: Other

Alleged Damages: \$0.00

Customer Complaint Information

Date Complaint Received: 02/03/2009

Complaint Pending? No

Status: Settled



Status Date: 02/03/2009

Settlement Amount: \$10,924.20

Individual Contribution Amount: \$0.00

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: CITIGROUP GLOBAL MARKET INC.

Allegations: CLIENT ALLEGED UNAUTHORIZED TRADE WITH RESPECT TO ANNUITY INVESTMENT - JUNE 2007. DAMAGES UNSPECIFIED.

Product Type: Other

Alleged Damages: \$0.00

Customer Complaint Information

Date Complaint Received: 02/03/2009

Complaint Pending? No

Status: Settled

Status Date: 02/03/2009

Settlement Amount: \$10,924.20

Individual Contribution Amount: \$0.00

Broker Statement "CLIENT AUTHORIZED ANNUITY INVESTMENT; THIS IS EVIDENCED BY THE CLIENT'S SIGNATURE ON ALL AUTHORIZATION AND DISCLOSURES PERTAINING TO THIS INVESTMENT."



End of Report

This page is intentionally left blank.