



## IAPD Report

# NICHOLAS A GARRY

CRD# 5020445

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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

### NICHOLAS A GARRY (CRD# 5020445)

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 **03/10/2025**.

### CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	OSAIC WEALTH, INC.	CRD# 23131	10/11/2024
IA	OSAIC WEALTH, INC.	CRD# 23131	10/11/2024

### QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **33** 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	AMERICAN PORTFOLIOS ADVISORS, INC	112697	HOLBROOK, NY	10/01/2010 - 10/11/2024
B	AMERICAN PORTFOLIOS FINANCIAL SERVICES, INC.	18487	Sioux Falls, SD	10/01/2010 - 10/11/2024
IA	EAGLE STRATEGIES LLC	110826	SIOUX FALLS, SD	01/27/2006 - 01/20/2011

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?

**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 **33** 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>B</b>	FINRA	General Securities Representative	Approved	10/11/2024
<b>B</b>	Alaska	Agent	Approved	10/11/2024
<b>IA</b>	Alaska	Investment Adviser Representative	Approved	10/11/2024
<b>B</b>	Arizona	Agent	Approved	10/11/2024
<b>B</b>	California	Agent	Approved	10/11/2024
<b>IA</b>	California	Investment Adviser Representative	Approved	10/11/2024
<b>B</b>	Colorado	Agent	Approved	10/11/2024
<b>B</b>	Connecticut	Agent	Approved	10/11/2024
<b>IA</b>	Connecticut	Investment Adviser Representative	Approved	10/11/2024
<b>B</b>	Florida	Agent	Approved	10/11/2024
<b>IA</b>	Florida	Investment Adviser Representative	Approved	02/24/2025
<b>B</b>	Idaho	Agent	Approved	10/11/2024
<b>B</b>	Illinois	Agent	Approved	10/11/2024



## Qualifications

	Regulator	Registration	Status	Date
B	Iowa	Agent	Approved	10/11/2024
B	Kansas	Agent	Approved	10/11/2024
B	Louisiana	Agent	Approved	10/11/2024
IA	Louisiana	Investment Adviser Representative	Approved	10/11/2024
B	Maine	Agent	Approved	10/11/2024
B	Maryland	Agent	Approved	10/11/2024
B	Massachusetts	Agent	Approved	10/11/2024
B	Michigan	Agent	Approved	10/11/2024
IA	Michigan	Investment Adviser Representative	Approved	10/11/2024
B	Minnesota	Agent	Approved	10/11/2024
IA	Minnesota	Investment Adviser Representative	Approved	10/11/2024
B	Missouri	Agent	Approved	10/11/2024
B	Montana	Agent	Approved	10/11/2024
B	Nebraska	Agent	Approved	10/11/2024
B	New Jersey	Agent	Approved	10/11/2024
B	New York	Agent	Approved	10/11/2024
B	North Carolina	Agent	Approved	10/11/2024
B	North Dakota	Agent	Approved	10/11/2024
IA	North Dakota	Investment Adviser Representative	Approved	10/11/2024



## Qualifications

	Regulator	Registration	Status	Date
B	Ohio	Agent	Approved	10/11/2024
B	Oregon	Agent	Approved	10/11/2024
IA	Oregon	Investment Adviser Representative	Approved	10/11/2024
B	Pennsylvania	Agent	Approved	10/11/2024
B	South Carolina	Agent	Approved	10/11/2024
IA	South Carolina	Investment Adviser Representative	Approved	10/11/2024
B	South Dakota	Agent	Approved	10/11/2024
IA	South Dakota	Investment Adviser Representative	Approved	10/11/2024
B	Tennessee	Agent	Approved	10/11/2024
B	Texas	Agent	Approved	10/11/2024
IA	Texas	Investment Adviser Representative	Approved	02/21/2025
B	Utah	Agent	Approved	10/11/2024
B	Virginia	Agent	Approved	10/11/2024
IA	Virginia	Investment Adviser Representative	Approved	10/11/2024
B	Wisconsin	Agent	Approved	10/11/2024

## Branch Office Locations

**OSAIC WEALTH, INC.**  
18700 N. HAYDEN ROAD  
SUITE 255  
SCOTTSDALE, AZ 85255

**OSAIC WEALTH, INC.**  
2601 S. Western Ave  
Sioux Falls, SD 57105



## 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
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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	10/07/2005

#### State Securities Law Exams

Exam	Category	Date
<b>B</b> Uniform Securities Agent State Law Examination (S63)	Series 63	12/02/2005



### PROFESSIONAL DESIGNATIONS

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

#### Personal Financial Specialist

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
IA	10/01/2010 - 10/11/2024	AMERICAN PORTFOLIOS ADVISORS, INC	CRD# 112697	HOLBROOK, NY
B	10/01/2010 - 10/11/2024	AMERICAN PORTFOLIOS FINANCIAL SERVICES, INC.	CRD# 18487	Sioux Falls, SD
IA	01/27/2006 - 01/20/2011	EAGLE STRATEGIES LLC	CRD# 110826	SIOUX FALLS, SD
B	10/10/2005 - 10/05/2010	NYLIFE SECURITIES LLC	CRD# 5167	SIOUX FALLS, SD

### 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
10/2024 - Present	OSAIC WEALTH, INC.	Mass Transfer	Y	SCOTTSDALE, AZ, United States
12/2005 - Present	GARRY ASSOCIATES, LLP	PARTNER	Y	SIOUX FALLS, SD, United States
08/2005 - Present	NEW YORK LIFE INSURANCE COMPANY	AGENT	N	SIOUX FALLS, SD, United States
10/2010 - 10/2024	AMERICAN PORTFOLIOS FINANCIAL SERVICES	REGISTERED REPRESENTATIVE	Y	HOLBROOK, NY, 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. GARRY PRIVATE WEALTH RESOURCES/NICK GARRY

POSITION: Owner NATURE: Business Exit Planning INVESTMENT RELATED: No NUMBER OF HOURS: 1 SECURITIES

TRADING HOURS: 1 START DATE: 05/01/2021

ADDRESS: 2601 S. Western Ave, Sioux Falls SD 57105, United States

DESCRIPTION: Help business owners find suitable exit strategies from their businesses.

2. Falls Angel Fund - Venture Capital Funding Group, Investment Related, Start Date = 06/2016, Minority Member (Less than 10% ownership), No Compensation, 0 Hrs./Mo., 0 Hrs./Mo

3. Private Planning Group, LLC. - Business Expense, Not Securities Related, Start Date = 2008. 100% Owner, 1 Hr/ Mo

4. Garry Private Wealth Resources, LLC - Business Estate & Finl Planning including Referrals- Investment Related- Start date





## Registration & Employment History



### OTHER BUSINESS ACTIVITIES

09/24/10- 150 hrs monthly- 125 during market

5. Farming & Ranching Sanctuary Land and Cattle, Jellystone Ranch LLC, Farming and Ranching-Not Investment Related- 10 Hrs/Mo Zero during market

6. Double M Land and Cattle LLC- Farming & Ranching Zero Hrs during market

7. CSTNR, LLP - Farming & Ranching, not investment related, start date = 1/2023, 33% owner, 0 hours/month, 0 hours/month/market hours.

8. Stick It Tight, LLC - Golf Partnership, not investment related, start date = 9/2023, 20% owner, 0 hours/month, 0 hours/month/market hours

9. GARRY PRIVATE WEALTH RESOURCES, LLC

POSITION: Consultant NATURE: LLC INVESTMENT RELATED: No NUMBER OF HOURS: 5 SECURITIES TRADING HOURS: 1 START DATE: 01/01/2005

ADDRESS: 2601 S. Western Ave, Sioux Falls SD 57105, United States

DESCRIPTION: Business exit planning. May include working with business owners and business brokerage firms to help market a business to interested parties.

10. NICHOLAS A. GARRY, CPA

POSITION: CPA NATURE: CPA INVESTMENT RELATED: No NUMBER OF HOURS: 0 SECURITIES TRADING HOURS: 0 START DATE: 01/01/2025

ADDRESS: 2601 S. Western Ave, Sioux Falls SD 57105, United States

DESCRIPTION: CPA



## End of Report

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