IAPD Report

AMIE ELIZABETH FIELDER

CRD# 5135892

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

AMIE ELIZABETH FIELDER (CRD# 5135892)

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 **05/11/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	OSAIC WEALTH, INC.	CRD# 23131	04/30/2024
IA	OSAIC WEALTH, INC.	CRD# 23131	05/29/2024

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **19** 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	THRASHER & CHAMBERS WEALTH MANAGEMENT, LLC	293532	BENTONVILLE, AR	05/23/2018 - 05/24/2024
B	THRASHER & CHAMBERS, INC.	3586	BENTONVILLE, AR	09/12/2017 - 05/24/2024
IA	OSAIC WEALTH, INC.	23131	SCOTTSDALE, AZ	04/30/2024 - 05/22/2024

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
Regulatory Event	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 **19** 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	04/30/2024
B	Arkansas	Agent	Approved	05/29/2024
IA	Arkansas	Investment Adviser Representative	Approved	05/29/2024
B	California	Agent	Approved	07/03/2024
B	Colorado	Agent	Approved	05/30/2024
B	Florida	Agent	Approved	01/12/2026
B	Idaho	Agent	Approved	06/04/2024
B	Illinois	Agent	Approved	03/27/2026
B	Iowa	Agent	Approved	05/29/2024
B	Louisiana	Agent	Approved	05/30/2024
B	Maryland	Agent	Approved	03/19/2025
B	Missouri	Agent	Approved	04/30/2024
B	North Carolina	Agent	Approved	06/05/2024

Qualifications

	Regulator	Registration	Status	Date
B	Ohio	Agent	Approved	04/30/2024
B	Oklahoma	Agent	Approved	05/30/2024
B	Oregon	Agent	Approved	06/05/2024
B	South Carolina	Agent	Approved	06/04/2024
B	Texas	Agent	Approved	04/30/2024
IA	Texas	Investment Adviser Representative	Restricted Approval	09/26/2024
B	Utah	Agent	Approved	05/30/2024
B	Virginia	Agent	Approved	09/30/2024
B	Washington	Agent	Approved	04/01/2026

Branch Office Locations

OSAIC WEALTH, INC.
802 N. 20TH PLACE
ROGERS, AR 72756

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	Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
B	General Securities Representative Examination (S7)	Series 7	05/10/2006

State Securities Law Exams

	Exam	Category	Date
IA B	Uniform Combined State Law Examination (S66)	Series 66	07/13/2006

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	05/23/2018 - 05/24/2024	THRASHER & CHAMBERS WEALTH MANAGEMENT, LLC	CRD# 293532	BENTONVILLE, AR
B	09/12/2017 - 05/24/2024	THRASHER & CHAMBERS, INC.	CRD# 3586	BENTONVILLE, AR
IA	04/30/2024 - 05/22/2024	OSAIC WEALTH, INC.	CRD# 23131	SCOTTSDALE, AZ
IA	07/14/2006 - 08/15/2017	ARVEST WEALTH MANAGEMENT	CRD# 42057	ROGERS, AR
B	05/11/2006 - 08/15/2017	ARVEST WEALTH MANAGEMENT	CRD# 42057	ROGERS, AR

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
04/2024 - Present	OSAIC WEALTH, INC.	REGISTERED REPRESENTATIVE	Y	Rogers, AR, United States
04/2018 - 04/2024	Thrasher & Chambers Wealth Management, LLC.	Financial Consultant	Y	Bentonville, AR, United States
09/2017 - 04/2024	Thrasher & Chambers, Inc.	Financial Consultant	Y	Bentonville, AR, United States
04/2013 - 07/2017	ARVEST ASSET MANAGEMENT	CLIENT ADVISOR	Y	ROGERS, AR, 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. LIFEPOINTE FINANCIAL
POSITION: Agent NATURE: S Corp INVESTMENT RELATED: Yes NUMBER OF HOURS: 5 SECURITIES TRADING HOURS: 5
START DATE: 04/30/2024
ADDRESS: 802 N 20th Place, Rogers AR 72756, United States
DESCRIPTION: Insurance Sales and Service for various carriers

2. THE DAVITT-LITTERELL REVOCABLE TRUST
POSITION: Successor Trustee NATURE: Trust for my father and his wife INVESTMENT RELATED: Yes NUMBER OF HOURS: 0

Registration & Employment History

OTHER BUSINESS ACTIVITIES

SECURITIES TRADING HOURS: 0 START DATE: 01/21/2020
ADDRESS: 21 Shelly Ln, Bella Vista AR 72714, United States
DESCRIPTION: Successor Trustee of the Trust my father has with his wife.

3. TRIPLEABLISS, LLC
POSITION: Manager/Owner NATURE: This is an LLC I have just created to use for my income from Osaic on my tax return. I have not created a bank account, just have the LLC documents drawn up at this time. INVESTMENT RELATED: Yes NUMBER OF HOURS: 0 SECURITIES TRADING HOURS: 0 START DATE: 03/12/2026
ADDRESS: 229 Chattin Circle, BENTONVILLE AR 72713, United States
DESCRIPTION: LLC is being created as a pass-through income tax vehicle for my Osaic Wealth Income. Just the legal document has been created so far and has not been used yet.

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
Regulatory Event	1
Termination	1

Regulatory Event

This disclosure event may include a final, formal proceeding initiated by a regulatory authority (e.g., a state securities agency, a federal regulator such as the Securities and Exchange Commission or the Commodities Futures Trading Commission, or a foreign financial regulatory body) for a violation of investment-related rules or regulations. This disclosure event may also include a revocation or suspension of an Investment Adviser Representative's authority to act as an attorney, accountant or federal contractor.

Disclosure 1 of 1

Reporting Source:	Regulator
Regulatory Action Initiated By:	Arkansas
Sanction(s) Sought:	Civil and Administrative Penalty(ies)/Fine(s)
Date Initiated:	10/05/2017
Docket/Case Number:	S-17-0106-17-OR01
URL for Regulatory Action:	http://www.securities.arkansas.gov/!userfiles/Amie%20Elizabeth%20Fielder%20Conesnt%20Order%20S-17-0106-17-OR01.pdf
Employing firm when activity occurred which led to the regulatory action:	Arvest Wealth Management
Product Type:	No Product
Allegations:	Fielder's employment with Arvest was terminated for violations regarding client signatures. It was found Fielder was responsible for having clients pre-sign blank or incomplete documents.
Current Status:	Final
Resolution:	Consent
Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct?	No

Resolution Date:	10/05/2017
Sanctions Ordered:	Civil and Administrative Penalty(ies)/Fine(s)
Monetary Sanction 1 of 1	
Monetary Related Sanction:	Civil and Administrative Penalty(ies)/Fine(s)
Total Amount:	$2,000.00
Portion Levied against individual:	$2,000.00
Payment Plan:	
Is Payment Plan Current:	
Date Paid by individual:	10/05/2017
Was any portion of penalty waived?	No
Amount Waived:	
Regulator Statement	Fielder was responsible for having clients pre-sign blank or incomplete documents.

Reporting Source:	Individual
Regulatory Action Initiated By:	Arkansas
Sanction(s) Sought:	Civil and Administrative Penalty(ies)/Fine(s)
Date Initiated:	10/05/2017
Docket/Case Number:	S-17-0106-17-OR01
Employing firm when activity occurred which led to the regulatory action:	Arvest Wealth Management
Product Type:	No Product
Allegations:	Fielder's employment with Arvest was terminated for violations regarding client signatures. It was found Fielder was responsible for having clients pre-sign blank or incomplete documents.
Current Status:	Final
Resolution:	Consent
Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct?	No
Resolution Date:	10/05/2017
Sanctions Ordered:	Civil and Administrative Penalty(ies)/Fine(s)
Monetary Sanction 1 of 1	
Monetary Related Sanction:	Civil and Administrative Penalty(ies)/Fine(s)

Total Amount:	$2,000.00
Portion Levied against individual:	$2,000.00
Payment Plan:	
Is Payment Plan Current:	
Date Paid by individual:	10/05/2017
Was any portion of penalty waived?	No
Amount Waived:	
Broker Statement	After increasing production due to promotions the previous 12 + months, I requested to lower my client base from 300 families and over 600 accounts. I was told I had to wait for over 6 months. I opened several accounts for a new client and typed all the documents. A box that had to be handwritten was missed and I filled it in after the client signed it because it was an explanation to my compliance department why the product was suitable. Most firms do this step via a contact mgmt system after paperwork is submitted requesting approval. A review of my files was conducted and I was terminated after they found other incomplete documents. I am only aware of one other client and it was for a UTMA account for the 4th grandchild we were waiting on the SSN to arrive from the SSA. I left the amount and the start date of the monthly investment blank until we received the SSN.

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:	Arvest Wealth Management
Termination Type:	Discharged
Termination Date:	07/26/2017
Allegations:	Ms. Fielder was discharged following an internal review which concluded that she engaged in multiple incidents of having certain customers pre-sign blank or incomplete forms/paperwork and occasionally completing such paperwork post customer signature in violation of Arvest Wealth Management's written policies and procedures and industry standards of conduct.
Product Type:	No Product

Reporting Source:	Individual
Firm Name:	ARVEST WEALTH MANAGEMENT
Termination Type:	Discharged
Termination Date:	07/26/2017
Allegations:	Ms. Fielder was discharged following an internal review which concluded that she engaged in multiple incidents of having certain customers pre-sign blank or incomplete forms/paperwork and occasionally completing such paperwork post customer signature in violation of Arvest Wealth Management's written policies and procedures and industry standards of conduct.
Product Type:	No Product
Broker Statement	After increasing production due to promotions in the last 12 + months, I requested to lower my client base from 300 families and over 600 accounts. I was told I had to wait for over 6 months. I opened several accounts for a new client and typed all the docs. A box that had to be handwritten was missed and I filled it in after the client signed it. A review of my files was conducted and I was terminated after they found other incomplete docs. I am only aware of one other client and it was for a UTMA account for the 4th grandchild we were waiting on the SSN. I left the amount and the start date of the monthly investment blank until we received the SSN.

End of Report

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