



IAPD Report

DERRICK LEE DOHMEN

CRD# 5210970

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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

DERRICK LEE DOHMEN (CRD# 5210970)

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 **07/15/2025**.

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 **15** 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	Rogers, AR	09/01/2011 - 06/14/2024
B	SECURITIES AMERICA, INC.	10205	Rogers, AR	09/01/2011 - 06/14/2024
B	LPL FINANCIAL LLC	6413	ROGERS, AR	05/27/2011 - 09/15/2011

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? **Yes**

The following types of events are disclosed about this representative:

Type	Count
Customer Dispute	1
Judgment/Lien	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 **15** 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	06/14/2024
B	Arizona	Agent	Approved	06/14/2024
B	Arkansas	Agent	Approved	06/14/2024
IA	Arkansas	Investment Adviser Representative	Approved	06/14/2024
B	California	Agent	Approved	06/14/2024
B	Florida	Agent	Approved	06/14/2024
B	Georgia	Agent	Approved	06/14/2024
B	Iowa	Agent	Approved	07/18/2025
B	Kansas	Agent	Approved	06/14/2024
B	Minnesota	Agent	Approved	06/14/2024
B	Missouri	Agent	Approved	06/14/2024
B	New Mexico	Agent	Approved	06/14/2024
B	New York	Agent	Approved	06/14/2024



Qualifications

Regulator	Registration	Status	Date
B Oklahoma	Agent	Approved	06/14/2024
B Pennsylvania	Agent	Approved	06/14/2024
B Texas	Agent	Approved	06/14/2024
B Virginia	Agent	Approved	06/14/2024

Branch Office Locations

OSAIC WEALTH, INC.
Rogers, AR



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 Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
B General Securities Representative Examination (S7)	Series 7	10/18/2006

State Securities Law Exams

Exam	Category	Date
IA B Uniform Combined State Law Examination (S66)	Series 66	10/27/2006



PROFESSIONAL DESIGNATIONS

This section details that the representative has reported **0** professional designation(s).

No information reported.

Only professional designations listed in Question 8 of the Form U4 will appear in this section if the appropriate box is checked and verified by the issuing organization at the time of the filing. Learn more about eligible designations at [IARD](#) and [NASAA](#).



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	09/01/2011 - 06/14/2024	SECURITIES AMERICA ADVISORS, INC.	CRD# 110518	Rogers, AR
B	09/01/2011 - 06/14/2024	SECURITIES AMERICA, INC.	CRD# 10205	Rogers, AR
B	05/27/2011 - 09/15/2011	LPL FINANCIAL LLC	CRD# 6413	ROGERS, AR
IA	05/27/2011 - 09/15/2011	LPL FINANCIAL LLC	CRD# 6413	ROGERS, AR
IA	11/24/2006 - 05/19/2011	EDWARD JONES	CRD# 250	ROGERS, AR
B	10/19/2006 - 05/19/2011	EDWARD JONES	CRD# 250	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
06/2024 - Present	OSAIC WEALTH, INC.	Mass Transfer	Y	Rogers, AR, United States
06/2024 - Present	OSAIC WEALTH, INC.	Mass Transfer	Y	Rogers, AR, United States
09/2011 - 06/2024	SECURITIES AMERICA ADVISORS, INC	INVESTMENT ADVISOR	Y	ROGERS, AR, United States
09/2011 - 06/2024	SECURITIES AMERICA, INC	REGISTERED REP	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. DBA: Dohmen Investments & Financial Planning

2. DOHMEN INVESTMENTS & FINANCIAL PLANNING

POSITION: Financial Advisor NATURE: DOHMEN INVESTMENTS & INSURANCE SALES - AGENT - START DATE: 05/2008 - LOCATED AT 6520 Hearth Falls Dr, Rogers, AR 72758 - TIME SPENT: 5% INVESTMENT RELATED: Yes NUMBER OF HOURS: null SECURITIES TRADING HOURS: null START DATE: 05/01/2008 ADDRESS: 6520 Hearth Falls Dr, Rogers AR 72758, United States



Registration & Employment History



OTHER BUSINESS ACTIVITIES

DESCRIPTION: Life insurance sales

3. DOHMEN INVESTMENTS & FINANCIAL PLANNING

POSITION: Financial Advisor NATURE: SECURITIES AMERICA ADVISORS - INVESTMENT ADVISORY - IAR - START DATE: 09/2011 - LOCATED AT 6520 Hearth Falls Dr, Rogers, AR 72758 INVESTMENT RELATED: No NUMBER OF HOURS: null
SECURITIES TRADING HOURS: null START DATE: 09/01/2011
ADDRESS: 6520 Hearth Falls Dr, Rogers AR 72758, United States
DESCRIPTION: Fee based business

4. IMMEDIATE IMPACT FUND

POSITION: President NATURE: I will be starting a 501c3 and using my own money to fund churches outside of the USA that are in impoverished areas. I do not plan to advertise or seek outside donations. INVESTMENT RELATED: No NUMBER OF HOURS: 3
SECURITIES TRADING HOURS: 0 START DATE: 01/01/2025
ADDRESS: 6520 Hearth Falls Dr, Rogers AR 72758, United States
DESCRIPTION: Communicate with recipients of funds to determine specific needs and solutions.



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
Judgment/Lien	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: Individual

Employing firm when activities occurred which led to the complaint: Securities America

Allegations: The clients allege Mr. Dohmen was responsible for a 20% loss in their portfolio over a 10 month timeframe.

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

Alleged Damages: \$40,000.00

Alleged Damages Amount Explanation (if amount not exact): Client alleged he lost 20% of his \$200,000 investment.

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: 08/18/2016

Complaint Pending? No

Status: Denied



Status Date: 10/17/2016

Settlement Amount:

Individual Contribution Amount:

Broker Statement

Client was referred to me from his son in law. His son in law had used growth investments and the client wanted to use growth type investments. The client said he had a two year time horizon at minimum and possibly longer. I advised against using growth investments due to his short two year time horizon. The client wanted to move forward nonetheless so I set up his account with the understanding that it could take the entire two years to see positive returns and that he may have to endure some ups and downs along the way. The markets became volatile and the client expressed concern with the account volatility. We had numerous discussions in which I answered all of his questions and reminded him of his decision to move forward against my advice due to his stated two year time horizon. After 10 months he became frustrated to the point that I suggested that he should consider selling the stocks if he was not comfortable waiting the agreed upon 2 years to see the returns he had hoped for. I reminded him we were only 10 months into a two year plan. He decided to separate his account with me and made false claims about market loss that have been proved to be fictitious.



Judgment/Lien

This disclosure event involves an unsatisfied and outstanding judgment or lien against the Investment Adviser Representative.

Disclosure 1 of 1

Reporting Source:	Individual
Judgment/Lien Holder:	Internal Revenue Service
Judgment/Lien Amount:	\$147,696.00
Judgment/Lien Type:	Tax
Date Filed with Court:	05/11/2016
Date Individual Learned:	05/11/2016
Type of Court:	County Court
Name of Court:	Benton County Court
Location of Court:	Benton County, AR
Docket/Case #:	BK2016PG2059SQ20147
Judgment/Lien Outstanding?	Yes



End of Report

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