IAPD Report

NASSER AHMAD

CRD# 5526341

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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

User Guidance

www.adviserinfo.sec.gov

Report Summary

NASSER AHMAD (CRD# 5526341)

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 **06/05/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	OSAIC WEALTH, INC.	CRD# 23131	06/14/2024
IA	OSAIC WEALTH, INC.	CRD# 23131	06/14/2024
IA	OSAIC ADVISORY SERVICES, LLC	CRD# 171070	11/08/2024

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **14** 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	ARBOR POINT ADVISORS	165127	SANTA ROSA, CA	03/22/2017 - 11/08/2024
IA	SECURITIES AMERICA ADVISORS, INC.	110518	SANTA ROSA, CA	03/22/2017 - 06/14/2024
B	SECURITIES AMERICA, INC.	10205	SANTA ROSA, CA	03/22/2017 - 06/14/2024

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
Criminal	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 **14** jurisdiction(s) and 1 SRO(s) through his or her employer(s).

Employment 1 of 2

Firm Name: **OSAIC ADVISORY SERVICES, LLC**
Main Address: 2300 WINDY RIDGE PARKWAY
SUITE 750
ATLANTA, GA 30339
Firm ID#: 171070

	Regulator	Registration	Status	Date
IA	California	Investment Adviser Representative	Approved	11/08/2024

Branch Office Locations

OSAIC ADVISORY SERVICES, LLC
320 10TH STREET
SUITE 304
SANTA ROSA, CA 95401

OSAIC ADVISORY SERVICES, LLC
Milpitas, CA

Employment 2 of 2

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	California	Agent	Approved	06/14/2024
IA	California	Investment Adviser Representative	Approved	06/14/2024
B	Colorado	Agent	Approved	06/14/2024
B	Delaware	Agent	Approved	06/14/2024

Qualifications

	Regulator	Registration	Status	Date
B	District of Columbia	Agent	Approved	06/14/2024
B	Florida	Agent	Approved	06/14/2024
B	Hawaii	Agent	Approved	06/14/2024
B	Nevada	Agent	Approved	06/14/2024
B	New Hampshire	Agent	Approved	06/14/2024
B	New Jersey	Agent	Approved	06/14/2024
B	New Mexico	Agent	Approved	06/14/2024
B	Ohio	Agent	Approved	06/14/2024
B	Texas	Agent	Approved	06/14/2024
IA	Texas	Investment Adviser Representative	Approved	06/14/2024
B	Vermont	Agent	Approved	06/14/2024
B	West Virginia	Agent	Approved	06/14/2024

Branch Office Locations

OSAIC WEALTH, INC.
320 10TH ST, SUITE 304
SANTA ROSA, CA 95401

OSAIC WEALTH, INC.
Milpitas, CA

 Report about NASSER AHMAD.

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	06/10/2008

State Securities Law Exams

	Exam	Category	Date
IA B	Uniform Combined State Law Examination (S66)	Series 66	09/03/2008

PROFESSIONAL DESIGNATIONS

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

Certified Financial Planner

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	03/22/2017 - 11/08/2024	ARBOR POINT ADVISORS	CRD# 165127	SANTA ROSA, CA
IA	03/22/2017 - 06/14/2024	SECURITIES AMERICA ADVISORS, INC.	CRD# 110518	SANTA ROSA, CA
B	03/22/2017 - 06/14/2024	SECURITIES AMERICA, INC.	CRD# 10205	SANTA ROSA, CA
B	01/07/2016 - 04/06/2017	LPL FINANCIAL LLC	CRD# 6413	SUNNYVALE, CA
IA	07/01/2016 - 03/22/2017	STRATEGIC WEALTH ADVISORS GROUP	CRD# 283824	Sunnyvale, CA
IA	01/08/2016 - 07/01/2016	STRATEGIC WEALTH ADVISORS GROUP	CRD# 140977	Sunnyvale, CA
IA	10/11/2011 - 01/22/2016	STRATEGIC ADVISERS, INC.	CRD# 104555	SUNNYVALE, CA
B	12/03/2010 - 01/19/2016	FIDELITY BROKERAGE SERVICES LLC	CRD# 7784	SUNNYVALE, CA
B	05/26/2009 - 11/03/2010	BANCWEST INVESTMENT SERVICES, INC.	CRD# 29357	CUPERTINO, CA
IA	05/26/2009 - 11/03/2010	BANCWEST INVESTMENT SERVICES, INC. (BWIS) AND BWIS D/B/A FHIS	CRD# 29357	CUPERTINO, CA
B	06/11/2008 - 08/01/2008	AMERIPRISE FINANCIAL SERVICES, INC.	CRD# 6363	CAMPBELL, 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
11/2024 - Present	OSAIC ADVISORY SERVICES, LLC	Mass Transfer	Y	ATLANTA, GA, United States
06/2024 - Present	OSAIC WEALTH, INC.	Mass Transfer	Y	SANTA ROSA, CA, United States
06/2024 - Present	OSAIC WEALTH, INC.	Mass Transfer	Y	SANTA ROSA, CA, United States

Registration & Employment History

EMPLOYMENT HISTORY

Employment Dates	Employer Name	Position	Investment Related	Employer Location
02/2017 - 11/2024	ARBOR POINT ADVISORS	IAR	Y	SANTA ROSA, CA, United States
02/2017 - 06/2024	SECURITIES AMERICA ADVISORS	IAR	Y	SANTA ROSA, CA, United States
02/2017 - 06/2024	SECURITIES AMERICA, INC.	REGISTERED REPRESENTATIVE	Y	SANTA ROSA, CA, United States
01/2016 - 02/2017	LPL FINANCIAL, LLC	Registered Representative	Y	Sunnyvale, 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. DBA: Nasser Ahmad, CFP

2. SECURITIES AMERICA
POSITION: financial planner NATURE: Securities America Advisors Position: IAR - Nature: Investment Advisory Services - Investment Related: Yes Start Date: 02/2017 - Address: 896 Lincoln Court, San Jose CA 95125 INVESTMENT RELATED: Yes NUMBER OF HOURS: 160 SECURITIES TRADING HOURS: 160 START DATE: 02/01/2017
ADDRESS: 320 10TH ST, SUITE 304 SANTA ROSA, CA 95401, United States
DESCRIPTION: investment advisory business

3. INCOME MAX FINANCIAL
POSITION: financial planner NATURE: marketing name INVESTMENT RELATED: Yes NUMBER OF HOURS: 160 SECURITIES TRADING HOURS: 160 START DATE: 02/01/2017
ADDRESS: 320 10th St, Suite 304, Santa Rosa CA 95401, United States
DESCRIPTION: insurance sales and service for various carriers

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
Criminal	1

Criminal

This disclosure event involves a criminal charge against the Investment Adviser Representative that has resulted in a dismissal, plea, acquittal or conviction. The criminal matter may relate to any felony or certain misdemeanor offenses (e.g., bribery, perjury, forgery, counterfeiting, extortion, fraud, wrongful taking of property).

Disclosure 1 of 1

Reporting Source: Individual

Formal Charges were brought in: State Court

Name of Court: SUPERIOR COURT OF CALIFORNIA

Location of Court: SANTA CLARA, CA

Docket/Case #: C2402800

Charge Date: 02/23/2024

Charge(s) 1 of 2

Formal Charge(s)/Description: VEHICLE CODE SECTION 23153(b), DRIVING UNDER THE INFLUENCE OF ALCOHOL WITH A BLOOD ALCOHOL LEVEL OF 0.08% AND CAUSING INJURY

No of Counts: 1

Felony or Misdemeanor: Felony

Plea for each charge: Not Guilty

Disposition of charge: Dismissed

Charge(s) 2 of 2

Formal Charge(s)/Description: VEHICLE CODE SECTION 23153(a) - DRIVING UNDER THE INFLUENCE OF ALCOHOL - CAUSING INJURY TO ANOTHER

No of Counts: 1

Felony or Misdemeanor: Felony

Plea for each charge: Not Guilty

Disposition of charge: Reduced

Date of Amended Charge: 11/21/2024

Charge was Amended or MISDEMEANOR VEHICLE CODE SECTION 23153(a) - DRIVING UNDER THE

reduced to:	INFLUENCE OF ALCOHOL - CAUSING INJURY TO ANOTHER
Amended No of Counts:	1
Amended Charge:	Misdemeanor
Amended Plea:	No Contest
Disposition of Amended Charge:	Convicted
Current Status:	Final
Status Date:	03/10/2025
Disposition Date:	03/10/2025
Sentence/Penalty:	Formal probation; 5 years: starting 3/10/2025 221 days in county jail; time served 9-month Frist Offender Drinking program; starting 3/10/2025 Ignition Interlock Device in vehicle; 1 year: starting 3/20/2025 Monitory fine of $150 General order of restitution

End of Report

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