



IAPD Report

GEOFFREY LYNN NEWMAN

CRD# 5675041

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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

GEOFFREY LYNN NEWMAN (CRD# 5675041)

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 **01/30/2026**.

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 **18** 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	ROCKVILLE, MD	04/08/2019 - 06/14/2024
B	SECURITIES AMERICA, INC.	10205	ROCKVILLE, MD	03/29/2019 - 06/14/2024
IA	H. BECK, INC.	1763	Alexandria, VA	01/23/2018 - 03/29/2019

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
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 **18** 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	FINRA	Invest. Co and Variable Contracts	Approved	06/14/2024
B	Alabama	Agent	Approved	07/07/2025
B	Colorado	Agent	Approved	06/14/2024
B	Delaware	Agent	Approved	06/14/2024
B	District of Columbia	Agent	Approved	06/14/2024
B	Florida	Agent	Approved	04/23/2025
B	Georgia	Agent	Approved	08/02/2024
B	Indiana	Agent	Approved	06/14/2024
B	Maryland	Agent	Approved	06/14/2024
IA	Maryland	Investment Adviser Representative	Approved	06/14/2024
B	Massachusetts	Agent	Approved	06/26/2024
B	Michigan	Agent	Approved	06/14/2024



Qualifications

	Regulator	Registration	Status	Date
B	New Jersey	Agent	Approved	08/27/2025
B	New York	Agent	Approved	04/24/2025
B	North Carolina	Agent	Approved	06/14/2024
B	Ohio	Agent	Approved	06/14/2024
B	Pennsylvania	Agent	Approved	06/14/2024
B	Texas	Agent	Approved	02/02/2026
IA	Texas	Investment Adviser Representative	Restricted Approval	02/02/2026
B	Virginia	Agent	Approved	06/14/2024
B	West Virginia	Agent	Approved	06/14/2024

Branch Office Locations

OSAIC WEALTH, INC.
10 Post Office Rd
Suite 222
Silver Springs, MD 20910



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

Principal/Supervisory Exams

Exam	Category	Date
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No information reported.

General Industry/Product Exams

Exam	Category	Date
B General Securities Representative Examination (S7TO)	Series 7TO	01/26/2024
B Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
B Investment Company Products/Variable Contracts Representative Examination (S6)	Series 6	10/08/2009

State Securities Law Exams

Exam	Category	Date
IA Uniform Investment Adviser Law Examination (S65)	Series 65	05/23/2016
B Uniform Securities Agent State Law Examination (S63)	Series 63	08/25/2009



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	04/08/2019 - 06/14/2024	SECURITIES AMERICA ADVISORS, INC.	CRD# 110518	ROCKVILLE, MD
B	03/29/2019 - 06/14/2024	SECURITIES AMERICA, INC.	CRD# 10205	ROCKVILLE, MD
IA	01/23/2018 - 03/29/2019	H. BECK, INC.	CRD# 1763	Alexandria, VA
B	02/12/2013 - 03/29/2019	H. BECK, INC.	CRD# 1763	Alexandria, VA
IA	06/10/2016 - 01/22/2018	H. BECK, INC.	CRD# 1763	Alexandria, VA
B	10/09/2009 - 03/04/2013	PRUCO SECURITIES, LLC.	CRD# 5685	NEWARK, NJ

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	ROCKVILLE, MD, United States
08/2003 - Present	NEWMAN FUNERAL HOMES	VICE PRESIDENT	N	GRANTSVILLE, MD, United States
03/2019 - 06/2024	SECURITIES AMERICA ADVISORS, INC.	IAR	Y	ROCKVILLE, MD, United States
03/2019 - 06/2024	SECURITIES AMERICA, INC.	REGISTERED REPRESENTATIVE	Y	ROCKVILLE, MD, United States
05/2018 - 03/2019	SMI FINANCIAL, LLC	OWNER	N	ODENTON, MD, United States
02/2013 - 03/2019	H.BECK, INC.	REGISTERED REPRESENTATIVE	Y	BETHESDA, MD, 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. Newman Financial Advising

Position: Employee Nature: Advisory Investment Related: Yes Hours: 100 Securities Trading Hours: 40 Start Date: 04/01/2019



Registration & Employment History



OTHER BUSINESS ACTIVITIES

Address: 9920 DICKENS AVE, BETHESDA, MD 20814

2. NEWMAN FUNERAL HOMES PA

POSITION: Vice President NATURE: Funeral Services INVESTMENT RELATED: No NUMBER OF HOURS: 5 SECURITIES

TRADING HOURS: 5 START DATE: 4/1/19

ADDRESS: 179 Miller St, Grantsville MD 21536, United States

DESCRIPTION: Vice President and Board Member

3. DBA: NEWMAN FINANCIAL ADVISING

4. DC SOCIETY, SON'S OF THE AMERICAN REVOLUTION

POSITION: At-Large Board Member NATURE: Lineage Society (Fraternal) INVESTMENT RELATED: No NUMBER OF HOURS: 5

SECURITIES TRADING HOURS: 0 START DATE: 05/18/2020 ADDRESS: 1801 E St SE, Washington DC 20003

DESCRIPTION: Volunteer based organization

5. FIXED INSURANCE BUSINESS

POSITION: Employee NATURE: Insurance Sales INVESTMENT RELATED: No NUMBER OF HOURS: 50 SECURITIES

TRADING HOURS: 0 START DATE: 04/01/2019 ADDRESS: 6100 Executive Blvd, Suite 450, Rockville MD 20852

DESCRIPTION: Soliciting based on the clients needs

6. SHRINERS CHILDREN'S HOSPITAL, PHILADELPHIA

POSITION: Associate Board Member NATURE: Corporation INVESTMENT RELATED: No NUMBER OF HOURS: 5

SECURITIES TRADING HOURS: 0 START DATE: 01/16/2025 ADDRESS: 3551 N Board St, Philadelphia PA 19140

DESCRIPTION: As a non-voting member, I'm on various committees assigned by the exec board members.

7. DC SOCIETY, SON'S OF THE AMERICAN REVOLUTION

POSITION: President NATURE: Lineage Society (Fraternal) INVESTMENT RELATED: No NUMBER OF HOURS: 5

SECURITIES TRADING HOURS: 0 START DATE: 05/18/2020

ADDRESS: 1801 E St SE, Washington DC 20003, United States

DESCRIPTION: Volunteer based organization

8. FIXED INSURANCE BUSINESS

POSITION: Owner NATURE: Insurance Sales INVESTMENT RELATED: Yes NUMBER OF HOURS: 50 SECURITIES TRADING

HOURS: 0 START DATE: 04/01/2019

ADDRESS: 10 Post Office Rd, Suite 222, Silver Spring MD 20910, United States

DESCRIPTION: Soliciting based on the clients needs



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
Termination	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:	PRUCO SECURITIES, LLC.
Allegations:	THE CLIENT ALLEGED MISREPRESENTATION CONCERNING UNAUTHORIZED TRANSACTION.
Product Type:	Insurance
Alleged Damages:	\$0.00
Alleged Damages Amount Explanation (if amount not exact):	NO DAMAGE AMOUNT IS ALLEGED.
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:	09/21/2012
Complaint Pending?	No
Status:	Denied
Status Date:	10/15/2012



Settlement Amount:

**Individual Contribution
Amount:**

Broker Statement

THE CLIENT HAD BEEN WELL AWARE OF HIS OPTIONS AND WENT IN
DETAIL REGARDING ALL FORMS. HE WAS IN A POLICY THAT WAS NOT
SUITABLE FOR SOMEONE WHO IS A VERY CONSERVATIVE INVESTOR AND
WAS UPFRONT ABOUT NOT WANTING TO SPEND MORE MONEY IN THE
FUTURE IF THE POLICY PREMIUMS RE-ADJUSTED. CLIENT WOULD HAVE
NEVER HAD LOST ACCESS TO HIS CASH VALUE BUT SUBJECT TO A
SURRENDER SCHEDULE.



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: PRUCO SECURITIES, LLC.

Termination Type: Voluntary Resignation

Termination Date: 02/08/2013

Allegations: REGISTERED REPRESENTATIVE ENGAGED IN AN UNAUTHORIZED OUTSIDE BUSINESS ACTIVITY, FACILITATING REPLACEMENT OF A PRUDENTIAL LIFE INSURANCE POLICY WITH A POLICY ISSUED BY A NON-PRUDENTIAL INSURER. ALLEGATION CONFIRMED

Product Type: Other: LIFE INSURANCE

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Reporting Source: Individual

Firm Name: PRUCO SECURITIES, LLC

Termination Type: Voluntary Resignation

Termination Date: 02/08/2013

Allegations: REGISTERED REPRESENTATIVE ENGAGED IN AN UNAUTHORIZED OUTSIDE BUSINESS ACTIVITY, FACILITATING REPLACEMENT OF A PRUDENTIAL LIFE INSURANCE POLICY WITH A POLICY ISSUED BY A NON-PRUDENTIAL INSURER. ALLEGATION CONFIRMED.

Product Type: Other: LIFE INSURANCE

Broker Statement I FOLLOWED PROCEDURES ACCORDING TO SUITABILITY AND DEEMED THE PRODUCT OF A CLIENT WAS NOT SUITABLE. ANOTHER ADVISOR WORKED ON THE APPLICATION AND WAS IN CONTACT WITH THE PARTICULAR CLIENT AND THE RECOMMENDATION WAS DEEMED APPROPRIATE BY THE MARYLAND INSURANCE ADMINISTRATION.



End of Report

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