



IAPD Report

JOSEPH SPINA

CRD# 5769018

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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

JOSEPH SPINA (CRD# 5769018)

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 **04/29/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	OSAIC WEALTH, INC.	CRD# 23131	09/01/2023
IA	OSAIC WEALTH, INC.	CRD# 23131	09/01/2023

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **34** 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	SAGEPOINT FINANCIAL, INC.	133763	BEDMINSTER, NJ	02/04/2011 - 09/01/2023
B	SAGEPOINT FINANCIAL, INC.	133763	BEDMINSTER, NJ	09/28/2010 - 09/01/2023

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 **34** 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 Principal	Approved	09/01/2023
B	FINRA	General Securities Representative	Approved	09/01/2023
B	FINRA	Investment Co./Variable Contracts Prin	Approved	09/01/2023
B	FINRA	Municipal Securities Representative	Approved	09/01/2023
B	Arizona	Agent	Approved	09/01/2023
B	California	Agent	Approved	09/01/2023
B	Connecticut	Agent	Approved	09/01/2023
B	Delaware	Agent	Approved	09/01/2023
B	District of Columbia	Agent	Approved	09/01/2023
B	Florida	Agent	Approved	09/01/2023
IA	Florida	Investment Adviser Representative	Approved	09/01/2023
B	Georgia	Agent	Approved	09/01/2023
IA	Georgia	Investment Adviser Representative	Approved	09/01/2023



Qualifications

Regulator	Registration	Status	Date
B Illinois	Agent	Approved	09/01/2023
B Indiana	Agent	Approved	07/08/2025
IA Indiana	Investment Adviser Representative	Approved	07/09/2025
B Iowa	Agent	Approved	11/21/2023
IA Iowa	Investment Adviser Representative	Approved	11/27/2023
B Louisiana	Agent	Approved	09/01/2023
B Maryland	Agent	Approved	09/01/2023
B Massachusetts	Agent	Approved	09/01/2023
B Michigan	Agent	Approved	09/01/2023
B Minnesota	Agent	Approved	09/11/2025
B Missouri	Agent	Approved	09/01/2023
B Nebraska	Agent	Approved	09/01/2023
B Nevada	Agent	Approved	09/01/2023
B New Hampshire	Agent	Approved	05/30/2025
IA New Hampshire	Investment Adviser Representative	Approved	05/30/2025
B New Jersey	Agent	Approved	09/01/2023
IA New Jersey	Investment Adviser Representative	Approved	09/01/2023
B New Mexico	Agent	Approved	09/01/2023
B New York	Agent	Approved	09/01/2023



Qualifications

Regulator	Registration	Status	Date
B North Carolina	Agent	Approved	09/01/2023
IA North Carolina	Investment Adviser Representative	Approved	09/01/2023
B Ohio	Agent	Approved	09/01/2023
B Oklahoma	Agent	Approved	03/25/2024
IA Oklahoma	Investment Adviser Representative	Approved	04/01/2024
B Oregon	Agent	Approved	09/01/2023
B Pennsylvania	Agent	Approved	09/01/2023
B Rhode Island	Agent	Approved	09/01/2023
B South Carolina	Agent	Approved	09/01/2023
IA South Carolina	Investment Adviser Representative	Approved	09/01/2023
B Tennessee	Agent	Approved	09/01/2023
B Texas	Agent	Approved	09/01/2023
IA Texas	Investment Adviser Representative	Restricted Approval	09/01/2023
B Virgin Islands	Agent	Approved	01/05/2026
B Virginia	Agent	Approved	09/01/2023
B Wisconsin	Agent	Approved	09/01/2023

Branch Office Locations

OSAIC WEALTH, INC.
221 SOMERVILLE ROAD
BEDMINSTER, NJ 07921





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 2 principal/supervisory exams, 3 general industry/product exams, and 1 state securities law exam.


Principal/Supervisory Exams

Exam	Category	Date
 General Securities Principal Examination (S24)	Series 24	04/08/2022
 Investment Company Products/Variable Contracts Principal Examination (S26)	Series 26	04/13/2018

General Industry/Product Exams

Exam	Category	Date
 Municipal Securities Representative Examination (S52TO)	Series 52TO	01/02/2023
 Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
 General Securities Representative Examination (S7)	Series 7	09/27/2010

State Securities Law Exams

Exam	Category	Date
  Uniform Combined State Law Examination (S66)	Series 66	01/22/2011

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	02/04/2011 - 09/01/2023	SAGEPOINT FINANCIAL, INC.	CRD# 133763	BEDMINSTER, NJ
B	09/28/2010 - 09/01/2023	SAGEPOINT FINANCIAL, INC.	CRD# 133763	BEDMINSTER, 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
09/2023 - Present	OSAIC WEALTH, INC.	Registered Rep	Y	BEDMINSTER, NJ, United States
09/2011 - Present	DOLCE PRINTING	SALES PERSON	N	MAYWOOD, NJ, United States
06/2010 - 09/2023	SAGEPOINT FINANCIAL	REGISTERED REP	Y	SHORT HILLS, NJ, 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) Dolce Printing; Position Other - Sales; Nature Other - Sales; Investment Related no; # of Hours 36; # of Security Hours 6; Start Date 09/19/2012; Description Selling Offset printing

2) INSURANCE

POSITION: Financial Advisor NATURE: Sole Proprietorship INVESTMENT RELATED: Yes NUMBER OF HOURS: 5
SECURITIES TRADING HOURS: 5 START DATE: 02/01/2018
ADDRESS: 65 Madison Ave, Suite 140, Morristown NJ 07960, United States
DESCRIPTION: Insurance Agent

3) 2436 BEDMINSTER PROPERTY LLC

POSITION: Owner NATURE: LLC INVESTMENT RELATED: Yes NUMBER OF HOURS: 1 SECURITIES TRADING HOURS: 1
START DATE: 09/19/2022
ADDRESS: 508 Pines Lake Drive East, Wayne NJ 07470, United States
DESCRIPTION: LLC established for tax purposes.

4) EVERGREEN FINANCIAL GROUP, LLC

POSITION: President NATURE: S- Corp INVESTMENT RELATED: Yes NUMBER OF HOURS: 160 SECURITIES TRADING
HOURS: 160 START DATE: 02/01/2018
ADDRESS: 221 Somerville Rd, Bedminster NJ 07921, United States
DESCRIPTION: Financial Advisor business, working with clients to invest their money for the future, retirement and college



Registration & Employment History



OTHER BUSINESS ACTIVITIES

savings



End of Report

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