User Guidance

www.adviserinfo.sec.gov

IAPD Report

MARVIN LOUIS ANDRINGA

CRD# 6013

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

MARVIN LOUIS ANDRINGA (CRD# 6013)

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 **05/28/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	OSAIC WEALTH, INC.	CRD# 23131	11/02/2018
IA	OSAIC WEALTH, INC.	CRD# 23131	11/02/2018

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **16** 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
B	SIGNATOR INVESTORS, INC.	468	GRANDVILLE, MI	07/07/2017 - 11/02/2018
IA	SIGNATOR INVESTORS, INC.	468	GRANDVILLE, MI	07/07/2017 - 11/02/2018
B	ROYAL SECURITIES COMPANY	10702	GRANDVILLE, MI	08/21/1995 - 07/31/2017

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

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 **16** 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	11/02/2018
B	FINRA	General Securities Representative	Approved	11/02/2018
B	Arizona	Agent	Approved	11/02/2018
B	California	Agent	Approved	03/29/2019
B	Florida	Agent	Approved	11/02/2018
IA	Florida	Investment Adviser Representative	Approved	06/02/2026
B	Georgia	Agent	Approved	11/02/2018
B	Illinois	Agent	Approved	06/18/2020
B	Indiana	Agent	Approved	11/02/2018
B	Michigan	Agent	Approved	11/02/2018
IA	Michigan	Investment Adviser Representative	Approved	11/02/2018
B	North Carolina	Agent	Approved	11/02/2018
B	Ohio	Agent	Approved	11/02/2018

Qualifications

	Regulator	Registration	Status	Date
B	Pennsylvania	Agent	Approved	08/06/2025
B	Rhode Island	Agent	Approved	06/30/2023
B	South Carolina	Agent	Approved	11/02/2018
B	Tennessee	Agent	Approved	11/02/2018
B	Texas	Agent	Approved	08/23/2019
B	Virginia	Agent	Approved	11/02/2018
B	Wisconsin	Agent	Approved	11/02/2018

Branch Office Locations

OSAIC WEALTH, INC.
4095 CHICAGO DR SW
SUITE 120
GRANDVILLE, MI 49418

OSAIC WEALTH, INC.
Madeira Beach, FL

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 3 state securities law exams.

Principal/Supervisory Exams

	Exam	Category	Date
B	General Securities Principal Examination (S24)	Series 24	05/24/1995
B	Registered Options Principal Examination (S4)	Series 4	11/29/1979

General Industry/Product Exams

	Exam	Category	Date
B	General Securities Representative Examination (S7TO)	Series 7TO	01/02/2023
B	Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
B	Registered Representative Examination (S1)	Series 1	12/16/1971

State Securities Law Exams

	Exam	Category	Date
IA B	Uniform Combined State Law Examination (S66)	Series 66	11/03/2008
IA	Uniform Investment Adviser Law Examination (S65)	Series 65	12/17/1999
B	Uniform Securities Agent State Law Examination (S63)	Series 63	12/08/1995

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
B	07/07/2017 - 11/02/2018	SIGNATOR INVESTORS, INC.	CRD# 468	GRANDVILLE, MI
IA	07/07/2017 - 11/02/2018	SIGNATOR INVESTORS, INC.	CRD# 468	GRANDVILLE, MI
B	08/21/1995 - 07/31/2017	ROYAL SECURITIES COMPANY	CRD# 10702	GRANDVILLE, MI
IA	01/29/2010 - 12/31/2016	ROYAL ADVISORS, LLC	CRD# 145006	GRANDVILLE, MI
B	09/10/1982 - 06/27/1995	ROYAL SECURITIES COMPANY	CRD# 10702	
B	06/14/1973 - 10/05/1982	PRIMUS INVESTMENT COMPANY	CRD# 677	
B	01/01/1972 - 07/14/1973	C E COOK & COMPANY	CRD# 1000001	

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
11/2018 - Present	OSAIC WEALTH, INC.	Registered Rep	Y	GRANDVILLE, MI, United States
07/2017 - 11/2018	SIGNATOR INV INC	REG REP	Y	GRANDVILLE, MI, United States
09/1982 - 07/2017	ROYAL SECURITIES COMPANY	REG REP	Y	GRANDVILLE, MI, 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. ROYAL DEVELOPMENT LLC
POSITION: Partner NATURE: LLC INVESTMENT RELATED: Yes NUMBER OF HOURS: 5 SECURITIES TRADING HOURS: 0
START DATE: 01/01/2012
ADDRESS: 4095 Chicago Drive, Suite 120, Grandville MI 49418, United States
DESCRIPTION: Rental Property Owner / Building Owner

Registration & Employment History

OTHER BUSINESS ACTIVITIES

2. INSURANCE BROKER
POSITION: Agent NATURE: Sole Proprietorship INVESTMENT RELATED: Yes NUMBER OF HOURS: 5 SECURITIES TRADING HOURS: 3 START DATE: 07/17/2017
ADDRESS: 4095 Chicago Drive, Suite 120, Grandville MI 49418, United States
DESCRIPTION: Sales/ marketing of fixed annuities and non-variable insurance.

3. RSC ADVISORS
POSITION: Financial Advisor NATURE: Sole Proprietorship INVESTMENT RELATED: Yes NUMBER OF HOURS: 160 SECURITIES TRADING HOURS: 130 START DATE: 07/17/2017
ADDRESS: 4095 Chicago Drive, Suite 120, Grandville MI 49418, United States
DESCRIPTION: Sales/ marketing of securities, investment advisory and insurance products.

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

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:	NATIONAL ASSOCIATION OF SECURITIES DEALERS, INC.
Sanction(s) Sought:	
Other Sanction(s) Sought:	
Date Initiated:	04/01/1976
Docket/Case Number:	CHI-563
Employing firm when activity occurred which led to the regulatory action:	PRIMUS INVESTMENT COMPANY
Product Type:	
Other Product Type(s):	
Allegations:	
Current Status:	Final
Resolution:	Decision
Resolution Date:	09/18/1977
Sanctions Ordered:	Censure Monetary/Fine $500.00
Other Sanctions Ordered:	
Sanction Details:	
Regulator Statement	[TOP] NASD COMPLAINT #563 - DISTRICT #8 FILED 4/1/76, AGAINST RESPONDENTS PRIMUS INVESTMENT COMPANY, ALLEGING VIOLATIONS

	OF SECTIONS 1 AND 18 OF ARTICLE III OF RULES OF FAIR PRACTICE IN THAT RESPONDENTS ENTERED INTO A SCHEME TO FACILITATE THE CIRCUMVENTION OF THE PROVISIONS OF SEC RULE 15C 3 3 BY ANOTHER BROKER/DEALER TO REDUCE ITS CUSTOMER SECURITIES TO ITS POSSESSION OR CONTROL. AMENDED COMPLAINT FILED 9/13/76, TO ADD MARVIN L. ANDRINGA AS RESPONDENTS AND TO ADD ADDITIONAL VIOLATIONS OF SECTIONS 1, 12, 15, 18, 21(a) AND (b) AND 27 OF ARTICLE III OF THE RULES OF FAIR PRACTICE IN THAT ANDRINGA CAUSED SECURITIES PURCHASE TRANSACTIONS TO BE EXECUTED IN AND FOR CUSTOMER ACCOUNTS WHEN NEITHER THE SPECIFIC TRANSACTIONS, NOR IN SOME CASES THE PURCHASING ACCOUNTS, WERE AUTHORIZED AND NO WRITTEN DISCRETIONARY AUTHORITY HAD BEEN GRANTED; CAUSED WRITTEN CONFIRMATIONS TO BE FURNISHED BY RESPONDENT MEMBER TO SAID CUSTOMERS IN ORDER TO CAUSE THEM TO ACCEPT TRANSACTIONS NOT ACTUALLY AGREED UPON, AND THE TRANSANCTIONS WERE SUBSEQUENTLY CANCELLED IF THE CUSTOMERS DID NOT ACKNOWLEDGE THE TRADES BY CASH PAYMENT OR OTHERWISE; AS A RESULT OF THE TRANSACTIONS EFFECTED BY ANDRINGA & OTHERS, FAILED TO MAINTAIN AND KEEP CURRENT PROPER BOOKS AND RECORDS AND EFFECTED UNAUTHORIZED TRANSACTIONS FOR CUSTOMERS WHICH CREATED FALSE AND MISLEADING CUSTOMER-CREDITOR RELATIONSHIPS. MAILED ADVERTISING AND SALES MATERIALS WHICH CONTAINED PROJECTIONS, DID NOT QUALIFY AS PROSPECTUSES, WERE NOT IN COMPLIANCE WITH SEC RULE 134 AND WERE NOT FILED WITH THE ASSOCIATION OR MAINTAINED IN A FILE AT THE FIRM; AND ON OR ABOUT 5/22/75, ENGAGED IN THE SECURITIES BUSINESS WHILE IN VIOLATION OF THE SEC NET CAPITAL RULE. DECISION RENDERED 8/5/77 WHEREIN ALL RESPONDENTS ARE CENSURED; ANDRINGA IS FINED $500; RESPONDENT MEMBER ARE FINED $3,000, JOINTLY AND SEVERALLY; AND RESPONDENT MEMBER IS ASSESSED COST OF HEARING IN THE AMOUNT OF $587. DECISION FINAL 9/18/77. FC #6914 PAID 1/5/78

Reporting Source:	Individual
Regulatory Action Initiated By:	DISTRICT BUSINESS CONDUCT COMMITTEE
Sanction(s) Sought:	
Other Sanction(s) Sought:	
Date Initiated:	04/01/1976
Docket/Case Number:	CHI-563
Employing firm when activity occurred which led to the regulatory action:	PRIMUS INVESTMENT COMPANY
Product Type:	
Other Product Type(s):	

Allegations:	VIOLATIONS OF SECTIONS 1, 12, 15 AND 18 OF ARTICLE III OF THE RULES OF FAIR PRACTICE.
Current Status:	Final
Resolution:	Decision
Resolution Date:	09/18/1977
Sanctions Ordered:	Censure Monetary/Fine $500.00
Other Sanctions Ordered:	
Sanction Details:	NO INTENT TO PERPETRATE FRAUD WAS FOUND BY THE COMMITTEE; HOWEVER, THEY DID FIND THAT THE ACTS AND PRACTICES AS ALLEGED IN THE COMPLAINT WITH RESPECT TO THE SALES PRACTICES USED BY MR. ANDRINGA WERE VIOLATIVE OF SECTION 1 OF ARTICLE III. MR. ANDRINGA WAS FINED $500.00

End of Report

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