



## IAPD Report

# COREY JONATHAN HEDGES

CRD# 6339439

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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

### COREY JONATHAN HEDGES (CRD# 6339439)

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 **01/09/2024**.

### 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 **30** 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	SAGEPOINT FINANCIAL, INC.	133763	CORNELIUS, NC	09/21/2017 - 09/01/2023
IA	SAGEPOINT FINANCIAL, INC.	133763	CORNELIUS, NC	09/21/2017 - 09/01/2023
IA	AXA ADVISORS, LLC	6627	CHARLOTTE, NC	08/28/2017 - 10/04/2017

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?

**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 **30** 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>B</b>	FINRA	General Securities Representative	Approved	09/01/2023
<b>B</b>	Alabama	Agent	Approved	09/01/2023
<b>B</b>	Arizona	Agent	Approved	09/01/2023
<b>B</b>	California	Agent	Approved	09/01/2023
<b>B</b>	Connecticut	Agent	Approved	09/01/2023
<b>IA</b>	Connecticut	Investment Adviser Representative	Approved	09/01/2023
<b>B</b>	Delaware	Agent	Approved	09/01/2023
<b>B</b>	District of Columbia	Agent	Approved	09/01/2023
<b>B</b>	Florida	Agent	Approved	09/01/2023
<b>IA</b>	Florida	Investment Adviser Representative	Approved	01/11/2024
<b>B</b>	Georgia	Agent	Approved	09/01/2023
<b>B</b>	Idaho	Agent	Approved	09/01/2023
<b>B</b>	Illinois	Agent	Approved	09/01/2023



## Qualifications

	Regulator	Registration	Status	Date
B	Indiana	Agent	Approved	09/01/2023
B	Maryland	Agent	Approved	09/01/2023
B	Massachusetts	Agent	Approved	09/01/2023
IA	Massachusetts	Investment Adviser Representative	Approved	09/01/2023
B	Minnesota	Agent	Approved	09/01/2023
B	New Hampshire	Agent	Approved	09/01/2023
B	New Jersey	Agent	Approved	09/01/2023
B	New Mexico	Agent	Approved	09/01/2023
B	New York	Agent	Approved	09/01/2023
B	North Carolina	Agent	Approved	09/01/2023
IA	North Carolina	Investment Adviser Representative	Approved	09/01/2023
B	North Dakota	Agent	Approved	09/01/2023
B	Ohio	Agent	Approved	09/01/2023
B	Pennsylvania	Agent	Approved	09/01/2023
IA	Pennsylvania	Investment Adviser Representative	Approved	09/01/2023
B	Rhode Island	Agent	Approved	09/01/2023
B	South Carolina	Agent	Approved	09/01/2023
B	Tennessee	Agent	Approved	01/16/2024
B	Texas	Agent	Approved	09/01/2023



## Qualifications

	Regulator	Registration	Status	Date
B	Utah	Agent	Approved	09/01/2023
B	Vermont	Agent	Approved	09/01/2023
B	Virginia	Agent	Approved	09/01/2023
B	Washington	Agent	Approved	09/01/2023

## Branch Office Locations

**OSAIC WEALTH, INC.**  
20901 N. MAIN STREET  
CORNELIUS, NC 28031



## 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 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>B</b> Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
<b>B</b> General Securities Representative Examination (S7)	Series 7	11/09/2015

#### State Securities Law Exams

Exam	Category	Date
<b>IA</b> Uniform Investment Adviser Law Examination (S65)	Series 65	08/22/2017
<b>B</b> Uniform Securities Agent State Law Examination (S63)	Series 63	01/26/2016



### 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
B	09/21/2017 - 09/01/2023	SAGEPOINT FINANCIAL, INC.	CRD# 133763	CORNELIUS, NC
IA	09/21/2017 - 09/01/2023	SAGEPOINT FINANCIAL, INC.	CRD# 133763	CORNELIUS, NC
IA	08/28/2017 - 10/04/2017	AXA ADVISORS, LLC	CRD# 6627	CHARLOTTE, NC
B	11/09/2015 - 10/04/2017	AXA ADVISORS, LLC	CRD# 6627	CHARLOTTE, NC

### 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.	Mass Transfer	Y	CORNELIUS, NC, United States
09/2017 - 09/2023	SAGEPOINT FINANCIAL, INC.	REGISTERED REPRESENTATIVE	Y	CORNELIUS, NC, United States
11/2015 - 09/2017	AXA ADVISORS, LLC	REGISTERED REPRESENTATIVE	Y	NEW YORK, NY, United States
10/2015 - 11/2015	UNEMPLOYED	UNEMPLOYED	N	CORNELIUS, NC, United States
06/2015 - 09/2015	Quality Name Plate	Shipping Dept. Worker	N	Glastonburt, CT, United States
05/2008 - 09/2015	Minnechaug Swim & Tennis Club	Life Guard	N	Glastonbury, CT, 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. The Peninsula Club (Swim Coach), 19101 Peninsula Club Drive, Cornelius NC, 28031. Start date: 05/2017, Hours: (seasonal summer) 7.5/week

2. NORTH MAIN FINANCIAL GROUP

POSITION: Representative/Agent NATURE: We are entering into a strategic business relationship with IPCG (www.ipcginsurance.com) to offer property & Casualty insurance to our clients. INVESTMENT RELATED: Yes NUMBER OF HOURS: 4 SECURITIES TRADING HOURS: 4 START DATE: 12/10/2020





## Registration & Employment History



### OTHER BUSINESS ACTIVITIES

ADDRESS: 20901 N. Main Street, Cornelius NC 28031, United States

DESCRIPTION: As licensed P&C professionals we will offer P&C insurance to our clients, utilizing IPCG as the independent broker/agent to manage the process from application to claim management.

#### 3. SWIM COACH

POSITION: Coach NATURE: Swim coach two days a week from 5:30am - 6:30am. INVESTMENT RELATED: No NUMBER OF HOURS: 3 SECURITIES TRADING HOURS: 0 START DATE: 11/02/2020

ADDRESS: 750 Jetton St., Davidson NC 28036, United States

DESCRIPTION: Coaching high school swimming.

#### 4. OAKWOOD FINANCIAL GROUP, INC.

POSITION: Advisor NATURE: corp INVESTMENT RELATED: Yes NUMBER OF HOURS: 60 SECURITIES TRADING HOURS: 35 START DATE: 04/15/2020

ADDRESS: Foster Plaza 11, 790 Holiday Drive, Pittsburgh PA 15220, United States

DESCRIPTION: Financial Advisor

#### 5. SWIM COACH

POSITION: Coach NATURE: Youth summer swim coach INVESTMENT RELATED: No NUMBER OF HOURS: 30 SECURITIES TRADING HOURS: 0 START DATE: 05/01/2017

ADDRESS: 19101 Peninsula Club Dr, Cornelius NC 28031, United States

DESCRIPTION: Summer swim coach in the evenings coach youth swimmers at a local country club.



## End of Report

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