



IAPD Report

JASON MICHAEL POSCHINGER

CRD# 6450544

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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

JASON MICHAEL POSCHINGER (CRD# 6450544)

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 **01/06/2026**.

CURRENT EMPLOYERS

Firm	CRD#	Registered Since
IA 4WEALTH ADVISORS, INC.	CRD# 129727	01/07/2026

QUALIFICATIONS

This representative is currently registered in **0** SRO(s) and **1** 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 CETERA INVESTMENT ADVISERS LLC	105644	INDIANAPOLIS, IN	08/07/2023 - 04/25/2024
B CETERA INVESTMENT SERVICES LLC	15340	INDIANAPOLIS, IN	08/07/2023 - 04/25/2024
B PRUCO SECURITIES, LLC.	5685	Indianapolis, IN	11/08/2021 - 08/14/2023

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? **Yes**

The following types of events are disclosed about this representative:

Type	Count
Regulatory Event	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 **1** jurisdiction(s) and **0** SRO(s) through his or her employer(s).

Employment 1 of 1

Firm Name: **4WEALTH ADVISORS, INC.**
Main Address: 745 MCCLINTOCK DRIVE
SUITE 150
BURR RIDGE, IL 60527-6490
Firm ID#: 129727

Regulator	Registration	Status	Date
IA Indiana	Investment Adviser Representative	Approved	01/07/2026

Branch Office Locations

4WEALTH ADVISORS, INC.
INDIANAPOLIS, IN



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
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B Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
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B General Securities Representative Examination (S7)	Series 7	07/07/2015
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State Securities Law Exams

Exam	Category	Date
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IA Uniform Investment Adviser Law Examination (S65)	Series 65	05/05/2016
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B Uniform Securities Agent State Law Examination (S63)	Series 63	07/10/2015
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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	08/07/2023 - 04/25/2024	CETERA INVESTMENT ADVISERS LLC	CRD# 105644	INDIANAPOLIS, IN
B	08/07/2023 - 04/25/2024	CETERA INVESTMENT SERVICES LLC	CRD# 15340	INDIANAPOLIS, IN
B	11/08/2021 - 08/14/2023	PRUCO SECURITIES, LLC.	CRD# 5685	Indianapolis, IN
IA	11/08/2021 - 08/14/2023	PRUDENTIAL FINANCIAL PLANNING SERVICES	CRD# 5685	Indianapolis, IN
B	10/26/2017 - 11/17/2021	ONEAMERICA SECURITIES, INC.	CRD# 4173	INDIANAPOLIS, IN
IA	10/26/2017 - 11/17/2021	ONEAMERICA SECURITIES, INC.	CRD# 4173	INDIANAPOLIS, IN
IA	05/10/2016 - 09/22/2017	CETERA ADVISORS LLC	CRD# 10299	CARMEL, IN
B	04/07/2016 - 09/22/2017	CETERA ADVISORS LLC	CRD# 10299	CARMEL, IN
B	07/07/2015 - 10/16/2015	CHARLES SCHWAB & CO., INC.	CRD# 5393	INDIANAPOLIS, IN

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
01/2026 - Present	4Wealth Advisors, Inc.	Investment Adviser	Y	Burr Ridge, IL, United States
11/2025 - Present	Flanner Buchanan	Family Services Advisor	N	Indianapolis, IN, United States
06/2024 - 01/2026	4Wealth Advisors, Inc.	Client Service Associate	Y	Burr Ridge, IL, United States
02/2024 - 11/2025	The Poschinger Group LLC	Founder	N	Indianapolis, IN, United States
11/2024 - 05/2025	IWG	Regional Sales Director	N	Indianapolis, IN, United States
09/2023 - 05/2025	CETERA INVESTMENT ADVISERS LLC	INVESTMENT ADVISOR REPRESENTATIVE	Y	INDIANAPOLIS, IN, United States



Registration & Employment History

EMPLOYMENT HISTORY

Employment Dates	Employer Name	Position	Investment Related	Employer Location
09/2023 - 05/2025	CETERA INVESTMENT SERVICES LLC	REGISTERED REPRESENTATIVE	Y	SAINT CLOUD, MN, United States
11/2021 - 09/2023	PRUCO SECURITIES, LLC.	REGISTERED REPRESENTATIVE	Y	INDIANAPOLIS, IN, United States
11/2021 - 09/2023	Prudential Insurance Company of America	FINANCIAL PROFESSIONAL	Y	INDIANAPOLIS, IN, United States
10/2017 - 11/2021	American United Life	Customer Concierge Service Consultant Sr.	N	Indianapolis, IN, United States
10/2017 - 11/2021	OneAmerica Securities	Registered Rep	Y	Indianapolis, IN, United States
06/2015 - 10/2017	Comprehensive Ret Solutions	Investment Advisor	Y	Indianapolis, IN, United States
04/2016 - 09/2017	CETERA ADVISORS, LLC	REGISTERED REP/IAR	Y	DENVER, CA, United States
12/2015 - 09/2017	Crownhaven Wealth Advisors	Sr. Advisor of Annuities	N	Carmel, IN, 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.

Flanner Buchanan; non investment-related; Indianapolis, IN; funeral/cremation and cemetery planning; Family Services Advisor; employee; 11/2025; approximately 56 hours/month, which may be during securities trading hours; duties include sales and service.



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
Termination	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:	FINRA
Sanction(s) Sought:	Other: N/A
Date Initiated:	10/15/2024
Docket/Case Number:	2021073173701
Employing firm when activity occurred which led to the regulatory action:	OneAmerica Securities, Inc.
Product Type:	No Product

Allegations: Jason Poschinger was named as a respondent in a FINRA complaint alleging that he downloaded from his member firm's computer systems confidential information related to over 1,300 customer accounts that included customer names, Social Security numbers, phone numbers, addresses, birth dates, account numbers, and account values for over 600 customers. The complaint alleges that Poschinger did not inform his firm that he was taking the information, and he did not give the customers notice and opportunity to prevent the transfer of their information. Instead, Poschinger sent the customer data to two non-firm email addresses that he controlled and provided the information to another firm for his own benefit. The complaint also alleges that Poschinger signed an affidavit from his firm attesting that he had not and would not share the nonpublic personal customer information with any third party, that he had permanently and completely deleted the nonpublic personal customer information, that he no longer had any nonpublic personal customer information in his possession, and that he would not use any of the nonpublic personal customer information to contact his firm customers. Poschinger's attestations were false. Before signing the affidavit, Poschinger had



transmitted nonpublic personal customer information concerning over 1,300 firm customer accounts to Poschinger's new business email address at another firm, submitted nonpublic personal customer information concerning over 600 customers to the firm's operations personnel to identify them as his clients, and did not delete the information. Poschinger thereafter used the nonpublic personal customer information to contact over 600 customers of his prior firm, notify them that he had moved to a new member firm, and invite certain of them to transition their business to his new firm. The complaint further alleges that Poschinger provided nonpublic personal customer information to his new firm along with a signed Statutory Agent Agreement Schedule A. The signed agreement contained representations and warranties by Poschinger that the customer information that he provided was either publicly available or known to Poschinger independently of his association with prior firm and that he had not copied or taken the information from it. Poschinger's representations and warranties were false. In fact, the customer information was not publicly available and known to Poschinger independently of his association with prior firm, and he had copied and taken the information from it. In addition, the complaint alleges that while associated with Poschinger's prior firm, he opened four accounts at other FINRA member firms and one account at another financial institution in which securities transactions could be effected and in which he held a beneficial interest. Poschinger did not seek or receive the prior written consent of his firm to open the accounts.

Current Status: Final

Resolution: Decision & Order of Offer of Settlement

Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct? No

Resolution Date: 03/27/2025

Sanctions Ordered: Civil and Administrative Penalty(ies)/Fine(s)
Suspension

If the regulator is the SEC, CFTC, or an SRO, did the action result in a finding of a willful violation or failure to supervise? No

(1) willfully violated any provision of the Securities Act of 1933, the Securities Exchange Act of 1934, the Investment Advisers Act of 1940, the Investment Company Act of 1940, the Commodity Exchange Act, or any rule or regulation under any of such Acts, or any of the rules of the Municipal Securities Rulemaking Board, or to have been unable to comply with any provision of such Act, rule or regulation?



(2) willfully aided, abetted, counseled, commanded, induced, or procured the violation by any person of any provision of the Securities Act of 1933, the Securities Exchange Act of 1934, the Investment Advisers Act of 1940, the Investment Company Act of 1940, the Commodity Exchange Act, or any rule or regulation under any of such Acts, or any of the rules of the Municipal Securities Rulemaking Board? or

(3) failed reasonably to supervise another person subject to your supervision, with a view to preventing the violation by such person of any provision of the Securities Act of 1933, the Securities Exchange Act of 1934, the Investment Advisers Act of 1940, the Investment Company Act of 1940, the Commodity Exchange Act, or any rule or regulation under any such Acts, or any of the rules of the Municipal Securities Rulemaking Board?

Sanction 1 of 1

Sanction Type:	Suspension
Capacities Affected:	All capacities
Duration:	six months
Start Date:	04/07/2025
End Date:	10/06/2025

Monetary Sanction 1 of 1

Monetary Related Sanction:	Civil and Administrative Penalty(ies)/Fine(s)
Total Amount:	\$20,000.00
Portion Levied against individual:	\$20,000.00
Payment Plan:	Deferred
Is Payment Plan Current:	
Date Paid by individual:	
Was any portion of penalty waived?	No



Amount Waived:

Regulator Statement

Without admitting or denying the allegations, Poschinger consented to the sanctions and to the entry of findings that he downloaded from his member firm's computer systems confidential information that constituted nonpublic personal customer information and sent the customer data to two non-firm email addresses that he controlled and provided the information to another FINRA member firm for his own benefit. The findings stated that while associated with his firm, Poschinger received an employment offer from the other firm, which Poschinger accepted. Poschinger then downloaded files from his firm's databases containing customer names, Social Security numbers, phone numbers, addresses, birth dates, account numbers, and account values for customers. Poschinger did not inform his firm that he was taking the information, and he did not give the customers notice and opportunity to prevent the transfer of their information. Poschinger's firm discovered that he had transmitted nonpublic personal customer information away from the firm and terminated him. After Poschinger's termination, his firm requested that he sign an affidavit making certain attestations. The findings also stated that Poschinger made false statements to his firm by signing the affidavit attesting that he had not and would not share the nonpublic personal customer information with any third party, that he had permanently and completely deleted the nonpublic personal customer information, that he no longer had any nonpublic personal customer information in his possession, and that he would not use any of the nonpublic personal customer information to contact the firm's customers. However, before signing the affidavit, Poschinger had transmitted the nonpublic personal customer information to his new business email address, submitted the nonpublic personal customer information concerning customers to his new firm's operations personnel to identify them as his clients, and he did not delete the information. Poschinger thereafter used the nonpublic personal customer information to contact his firm's customers, notify them that he had moved to a new firm, and invite certain of them to transition their business to his new firm. The findings also included that Poschinger made false statements to his new firm by providing nonpublic personal customer information to it along with a signed Statutory Agent Agreement Schedule A. The signed agreement contained representations and warranties by Poschinger that the customer information that he provided was either publicly available or known to him independently of his association with his firm and that he had not copied or taken the information from the firm. In fact, the customer information was not publicly available and known to Poschinger independently of his association with the firm, and he had copied and taken the information from the firm. FINRA found that Poschinger opened four accounts at other FINRA member firms and an account at another financial institution in which securities transactions could be effected and in which he held a beneficial interest without seeking or receiving prior written consent of his firm to open the accounts.

Reporting Source: Individual

Regulatory Action Initiated By: FINRA

Sanction(s) Sought: Other: N/A

Date Initiated: 10/15/2024

Docket/Case Number: [2021073173701](#)

Employing firm when activity occurred which led to the regulatory action: OneAmerica Securities, Inc.



Product Type:	No Product
Allegations:	<p>Jason Poschinger was named as a respondent in a FINRA complaint alleging that he downloaded from his member firm's computer systems confidential information related to over 1,300 customer accounts that included customer names, Social Security numbers, phone numbers, addresses, birth dates, account numbers, and account values for over 600 customers. The complaint alleges that Poschinger did not inform his firm that he was taking the information, and he did not give the customers notice and opportunity to prevent the transfer of their information. Instead, Poschinger sent the customer data to two non-firm email addresses that he controlled and provided the information to another firm for his own benefit. The complaint also alleges that Poschinger signed an affidavit from his firm attesting that he had not and would not share the nonpublic personal customer information with any third party, that he had permanently and completely deleted the nonpublic personal customer information, that he no longer had any nonpublic personal customer information in his possession, and that he would not use any of the nonpublic personal customer information to contact his firm customers. Poschinger's attestations were false. Before signing the affidavit, Poschinger had transmitted nonpublic personal customer information concerning over 1,300 firm customer accounts to Poschinger's new business email address at another firm, submitted nonpublic personal customer information concerning over 600 customers to the firm's operations personnel to identify them as his clients, and did not delete the information. Poschinger thereafter used the nonpublic personal customer information to contact over 600 customers of his prior firm, notify them that he had moved to a new member firm, and invite certain of them to transition their business to his new firm. The complaint further alleges that Poschinger provided nonpublic personal customer information to his new firm along with a signed Statutory Agent Agreement Schedule A. The signed agreement contained representations and warranties by Poschinger that the customer information that he provided was either publicly available or known to Poschinger independently of his association with prior firm and that he had not copied or taken the information from it. Poschinger's representations and warranties were false. In fact, the customer information was not publicly available and known to Poschinger independently of his association with prior firm, and he had copied and taken the information from it. In addition, the complaint alleges that while associated with Poschinger's prior firm, he opened four accounts at other FINRA member firms and one account at another financial institution in which securities transactions could be effected and in which he held a beneficial interest. Poschinger did not seek or receive the prior written consent of his firm to open the accounts.</p>
Current Status:	Final
Resolution:	Decision & Order of Offer of Settlement
Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct?	No
Resolution Date:	03/27/2025
Sanctions Ordered:	Civil and Administrative Penalty(ies)/Fine(s) Suspension
Sanction 1 of 1	
Sanction Type:	Suspension
Capacities Affected:	All capacities
Duration:	six months



Start Date: 04/07/2025

End Date: 10/06/2025

Monetary Sanction 1 of 1

Monetary Related Sanction: Civil and Administrative Penalty(ies)/Fine(s)

Total Amount: \$20,000.00

Portion Levied against individual: \$20,000.00

Payment Plan: Deferred

Is Payment Plan Current:

Date Paid by individual:

Was any portion of penalty waived? No

Amount Waived:

Broker Statement

Without admitting or denying the allegations, Poschinger consented to the sanctions and to the entry of findings that he downloaded from his member firm's computer systems confidential information that constituted nonpublic personal customer information and sent the customer data to two non-firm email addresses that he controlled and provided the information to another FINRA member firm for his own benefit. The findings stated that while associated with his firm, Poschinger received an employment offer from the other firm, which Poschinger accepted. Poschinger then downloaded files from his firm's databases containing customer names, Social Security numbers, phone numbers, addresses, birth dates, account numbers, and account values for customers. Poschinger did not inform his firm that he was taking the information, and he did not give the customers notice and opportunity to prevent the transfer of their information. Poschinger's firm discovered that he had transmitted nonpublic personal customer information away from the firm and terminated him. After Poschinger's termination, his firm requested that he sign an affidavit making certain attestations. The findings also stated that Poschinger made false statements to his firm by signing the affidavit attesting that he had not and would not share the nonpublic personal customer information with any third party, that he had permanently and completely deleted the nonpublic personal customer information, that he no longer had any nonpublic personal customer information in his possession, and that he would not use any of the nonpublic personal customer information to contact the firm's customers. However, before signing the affidavit, Poschinger had transmitted the nonpublic personal customer information to his new business email address, submitted the nonpublic personal customer information concerning customers to his new firm's operations personnel to identify them as his clients, and he did not delete the information. Poschinger thereafter used the nonpublic personal customer information to contact his firm's customers, notify them that he had moved to a new firm, and invite certain of them to transition their business to his new firm. The findings also included that Poschinger made false statements to his new firm by providing nonpublic personal customer information to it along with a signed Statutory Agent Agreement Schedule A. The signed agreement contained representations and warranties by Poschinger that the customer information that he provided was either publicly available or known to him independently of his association with his firm and that he had not copied or taken the information from the firm. In fact, the customer information was not publicly available and known to Poschinger independently of his association with the firm, and he had copied and taken the information from the firm. FINRA found that Poschinger opened four accounts at other FINRA member firms and an account at another financial



institution in which securities transactions could be effected and in which he held a beneficial interest without seeking or receiving prior written consent of his firm to open the accounts.



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: ONEAMERICA SECURITIES, INC.
Termination Type: Discharged
Termination Date: 11/02/2021
Allegations: Prior to resigning from the firm, representative emailed customer lists with private customer information from his business email to his personal email. Representative signed an affidavit attesting that all lists have been deleted from his personal email and no customer information has been taken or shared with any third party outside of the firm.
Product Type: No Product

Reporting Source: Individual
Firm Name: ONEAMERICA
Termination Type: Discharged
Termination Date: 11/02/2021
Allegations: Prior to resigning from the firm, representative emailed customer lists with private customer information from his business email to his personal email. Representative signed an affidavit attesting that all lists have been deleted from his personal email and no customer information has been taken or shared with any third party outside of the firm.
Product Type: No Product



End of Report

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