IAPD Report

TRAVIS CLEMENTE RICH

CRD# 6732007

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

TRAVIS CLEMENTE RICH (CRD# 6732007)

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 **04/22/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	OSAIC WEALTH, INC.	CRD# 23131	11/08/2024
IA	OSAIC WEALTH, INC.	CRD# 23131	11/12/2024

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **6** 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	VALIC FINANCIAL ADVISORS, INC.	42803	BOCA RATON, FL	11/01/2018 - 11/25/2024
IA	VALIC FINANCIAL ADVISORS, INC.	42803	BOCA RATON, FL	11/01/2018 - 11/25/2024
IA	MORGAN STANLEY	149777	PLANTATION, FL	04/26/2017 - 10/02/2018

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
Criminal	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 **6** 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	11/08/2024
B	California	Agent	Approved	11/14/2024
B	Florida	Agent	Approved	11/08/2024
IA	Florida	Investment Adviser Representative	Approved	11/12/2024
B	Illinois	Agent	Approved	11/18/2024
B	North Carolina	Agent	Approved	04/22/2026
B	Ohio	Agent	Approved	11/14/2024
B	Utah	Agent	Approved	11/14/2024

Branch Office Locations

OSAIC WEALTH, INC.
5310 NW 33 AVE.
SUITE 206
FORT LAUDERDALE, FL 33309

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 1 state securities law exam.

Principal/Supervisory Exams

Exam	Category	Date
No information reported.		

General Industry/Product Exams

	Exam	Category	Date
B	Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
B	General Securities Representative Examination (S7)	Series 7	03/07/2017

State Securities Law Exams

	Exam	Category	Date
IA B	Uniform Combined State Law Examination (S66)	Series 66	04/25/2017

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	11/01/2018 - 11/25/2024	VALIC FINANCIAL ADVISORS, INC.	CRD# 42803	BOCA RATON, FL
IA	11/01/2018 - 11/25/2024	VALIC FINANCIAL ADVISORS, INC.	CRD# 42803	BOCA RATON, FL
IA	04/26/2017 - 10/02/2018	MORGAN STANLEY	CRD# 149777	PLANTATION, FL
B	03/07/2017 - 10/02/2018	MORGAN STANLEY	CRD# 149777	PLANTATION, FL

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
11/2024 - Present	OSAIC WEALTH, INC.	REGISTERED REPRESENTATIVE	Y	FORT LAUDERDALE, FL, United States
12/2022 - Present	AGIA	Agent	N	Houston, TX, United States
10/2018 - 11/2024	VALIC FINANCIAL ADVISORS, INC.	REGISTERED REPRESENTATIVE	Y	BOCA RATON, FL, United States
04/2017 - 09/2018	Morgan Stanley Private Bank, National Association	FINANCIAL ADVISOR	Y	NEW YORK, NY, United States
12/2016 - 09/2018	Morgan Stanley	Financial Advisor INTERMEDIATE	Y	Plantation, FL, United States
08/2010 - 12/2016	Galaxy Sports Advisors/ Lawlor Zigler LLC	Player Management and Investigator	N	Boca Raton, FL, 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. BNI PREMIER
POSITION: Educational Networker / Member NATURE: BNI Premier is a referral-based network group that I meet with once a week. Meetings are every Thursday morning from 7:00-8:30 a.m., which is 1 and 1/2 hours a week devoted to this activity, with none during securities trading hours. INVESTMENT RELATED: No NUMBER OF HOURS: 6 SECURITIES TRADING HOURS: 0
START DATE: 10/05/2017
ADDRESS: 1725 SE 12th St Ft Lauderdale FL 33316

Registration & Employment History

OTHER BUSINESS ACTIVITIES

DESCRIPTION: Each week, I give an educational moment for 3 minutes in which I explain to the group and visitors how BNI works, as well as go over the rules of BNI each week. Secretary Treasurer duties include helping collect membership dues each month, maintaining and balancing the budget with monthly/yearly dues.

2. AGIA
POSITION: Agent NATURE: Non-Securities Insurance Products INVESTMENT RELATED: Yes NUMBER OF HOURS: 10 SECURITIES TRADING HOURS: 10 START DATE: 12/17/2022
ADDRESS: 2929 Allen Pkwy Houston TX 77019
DESCRIPTION: Insurance agent selling non-securities insurance products

3. TRAVIS RICH
POSITION: Notary NATURE: I am a notary public, and I do not charge to notarize paperwork or documents. INVESTMENT RELATED: No NUMBER OF HOURS: 0 SECURITIES TRADING HOURS: 0 START DATE: 05/06/2018
ADDRESS: 14372 NW 14th Ct Pembroke Pines FL 33028
DESCRIPTION: Notary. Do not charge.

4. CREATIVE FINANCIAL NETWORK (CFN)
POSITION: Insurance Sales Rep NATURE: Fixed Insurance Products Only INVESTMENT RELATED: Yes NUMBER OF HOURS: 8 SECURITIES TRADING HOURS: 8 START DATE: 08/21/2025
ADDRESS: 5310 NW 33rd Ave Ste 206 Ft Lauderdale FL 33309
DESCRIPTION: Selling fixed insurance products.

5. PATH FP, LLC
POSITION: Managing Member NATURE: LLC INVESTMENT RELATED: No NUMBER OF HOURS: 4 SECURITIES TRADING HOURS: 4 START DATE: 08/21/2025
ADDRESS: 14372 NW 14th Ct Pembroke Pines FL 33028
DESCRIPTION: Manage the books. This LLC is only for tax purposes.

6. BNI PREMIER
POSITION: Educational Networker / Member NATURE: BNI Premier is a referral based network group that I meet with once a week. Meetings are every Thursday morning from 7:00-8:30 a.m. which is 1 and 1/2 hours a week devoted to this activity with none during securities trading hours. INVESTMENT RELATED: No NUMBER OF HOURS: 6 SECURITIES TRADING HOURS: 0 START DATE: 10/05/2017
ADDRESS: 1725 SE 12th Street, Ft. Lauderdale FL 33316, United States
DESCRIPTION: Each week I give an educational moment for 3 minutes in which I explain to the group and visitors how BNI works as well as I go over the rules of BNI each week.

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
Criminal	1
Termination	1

Criminal

This disclosure event involves a criminal charge against the Investment Adviser Representative that has resulted in a dismissal, plea, acquittal or conviction. The criminal matter may relate to any felony or certain misdemeanor offenses (e.g., bribery, perjury, forgery, counterfeiting, extortion, fraud, wrongful taking of property).

Disclosure 1 of 1

Reporting Source:	Individual
Formal Charges were brought in:	State Court
Name of Court:	Broward County Clerk of Courts
Location of Court:	Broward County, FL
Docket/Case #:	02003069MM40B
Charge Date:	07/09/2002
Charge(s) 1 of 1	
Formal Charge(s)/Description:	(M1)812.014(1)(a) Theft/ To Deprive
No of Counts:	1
Felony or Misdemeanor:	Misdemeanor
Plea for each charge:	Nolo Contendere
Disposition of charge:	Adjudication Withheld
Current Status:	Final
Status Date:	08/15/2002
Disposition Date:	08/15/2002
Sentence/Penalty:	Shoplifters Alternative Program; Adjudication was withheld; $172.00; Paid 10/15/2002

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:	Individual
Firm Name:	Bed Bath and Beyond
Termination Type:	Discharged
Termination Date:	07/19/2002
Allegations:	Failure to scan listed merchandise
Product Type:	No Product
Broker Statement	Plead No Contest- Adjudication was withheld, I paid a one time $172.00 Court fee on 10/15/2002. I was a sales associate and while scanning a customer's items, I forgot to scan a candle which the customer didn't get charged and therefore the manager watching me to perform the transaction thought I was intentionally stealing from the company.

End of Report

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