



IAPD Report

ALSTON HALL KILLEN

CRD# 705549

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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

ALSTON HALL KILLEN (CRD# 705549)

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 **04/24/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	OSAIC WEALTH, INC.	CRD# 23131	07/21/2010
IA	OSAIC WEALTH, INC.	CRD# 23131	07/30/2010

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **2** 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	NATIONWIDE SECURITIES, LLC	11173	MACON, GA	12/22/2008 - 07/19/2010
B	NATIONWIDE SECURITIES, LLC	11173	MACON, GA	08/01/2008 - 12/19/2008
IA	NATIONWIDE SECURITIES, LLC	11173	MACON, GA	08/01/2008 - 12/19/2008

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	2
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 2 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	Direct Participation Programs	Approved	07/21/2010
B	FINRA	General Securities Representative	Approved	07/21/2010
B	FINRA	Invest. Co and Variable Contracts	Approved	07/21/2010
B	Georgia	Agent	Approved	07/21/2010
IA	Georgia	Investment Adviser Representative	Approved	07/30/2010
B	New Mexico	Agent	Approved	02/06/2017

Branch Office Locations

OSAIC WEALTH, INC.
102 PRESTON COURT
SUITE A
MACON, GA 31210

OSAIC WEALTH, INC.
MACON, GA



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, 5 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 Investment Company Products/Variable Contracts Representative Examination (S6TO)	Series 6TO	01/02/2023
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B Direct Participation Programs Representative Examination (S22TO)	Series 22TO	01/02/2023
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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	03/03/2000
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B Registered Representative Examination (S1)	Series 1	03/03/1980
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State Securities Law Exams

Exam	Category	Date
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IA Uniform Investment Adviser Law Examination (S65)	Series 65	11/30/1999
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B Uniform Securities Agent State Law Examination (S63)	Series 63	06/18/1987
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PROFESSIONAL DESIGNATIONS

This section details that the representative has reported **1** professional designation(s).

Chartered Financial Consultant

This representative holds or did hold **1** professional designation(s) that may have been used to qualify as an Investment Advisor



representative. Please check with the appropriate designation authority for verification that the designation is still in effect. The contact information for these professional designation authorities can be found on the website for the North American Securities Administrators Association at <http://www.nasaa.org>



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	12/22/2008 - 07/19/2010	NATIONWIDE SECURITIES, LLC	CRD# 11173	MACON, GA
B	08/01/2008 - 12/19/2008	NATIONWIDE SECURITIES, LLC	CRD# 11173	MACON, GA
IA	08/01/2008 - 12/19/2008	NATIONWIDE SECURITIES, LLC	CRD# 11173	MACON, GA
IA	06/15/2005 - 08/01/2008	1717 CAPITAL MANAGEMENT COMPANY	CRD# 4082	MACON, GA
B	09/23/2004 - 08/01/2008	1717 CAPITAL MANAGEMENT COMPANY	CRD# 4082	MACON, GA
B	10/20/1980 - 09/16/2003	AXA ADVISORS, LLC	CRD# 6627	NEW YORK, NY
B	03/13/1980 - 01/05/2000	THE EQUITABLE LIFE ASSURANCE SOCIETY OF THE UNITED STATES	CRD# 4039	NEW YORK, NY

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
08/2023 - Present	OSAIC WEALTH, INC	FINANCIAL ADVISOR	Y	NEW YORK, NY, United States
06/2004 - Present	CAPITOL STREET FINANCIAL SERVICES GROUP, LLC.	REPRESENTATIVE	Y	MACON, GA, United States
03/1978 - Present	ALSTON HALL KILLEN	INSURANCE AGENT	Y	MACON, GA, United States
07/2010 - 08/2023	ROYAL ALLIANCE ASSOCIATES, INC.	FINANCIAL ADVISOR	Y	NEW YORK, NY, 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) CAPITOL STREET FINANCIAL SERVICES GROUP LLC; INVESTMENT RELATED; 850 WALNUT STREET MACON GA 31201; OWNER/STATUTORY AGENT; STARTED 10/2006; 25 HRS/MTH; 25 HRS/MTH DURING ST HOURS; SALE OF FIXED LIFE AND ANNUITY, INDIVIDUAL AND GROUP MEDICAL, LONG TERM CARE AND DISABILITY. 2) MACON LIONS CLUB



Registration & Employment History



OTHER BUSINESS ACTIVITIES

AND MACON LIONS BLUB CHARITIES INC; NON-INVESTMENT RELATED; MACON GEORGIA; BOARD MEMBER; STARTED 06/1992; <1 HR/MTH; <1 HR/MTH DURING ST HOURS; AS BOARD MEMBER VOTE ON CHARITABLE REQUESTS AND ALLOCATIONS OF ASSETS FOR DISTRIBUTION.

2) ALSTON HALL KILLEN

POSITION: Other - Self employed non-statutory independent contractor subject to 1099 compensation. NATURE: Sole Proprietorship - INVESTMENT RELATED: No NUMBER OF HOURS: 45 SECURITIES TRADING HOURS: 20 START DATE: 10/01/2021

ADDRESS: A. Hall Killen CLU, ChFCC, 3124 Louise Place¹, Macon GA 31204, United States

DESCRIPTION: agent writing lines of fixed life and annuity; individual and group medical, long term care and disability benefits outside of broker dealer affiliation with various product sponsors. Except as indicated as "all affiliations, this is updated for new affiliations

3) A.. HALL KILLEN CLU, CHFC

POSITION: AGENT/PRODUCER NATURE: sole proprietor- INDEPENDENT AGENT INVESTMENT RELATED: No NUMBER OF HOURS: 45 SECURITIES TRADING HOURS: 20 START DATE: 10/01/2021

ADDRESS: 3124 Place, macon GA 31204, United States

DESCRIPTION: DUTIES AND acvities for production/service with clients for fixed only business has not changed from original disclosures on file. The address where fixed client business files are now kept changed Oct. 1, 2021 when the registered branch location was moved to its current location. client files for fixed only business are maintained at my home address disclosed above. the type and nature of the fixed business has not changed - only the location of the files and the point of customer contact from a personal home computer at that new location.

4) A. HALL KILLEN, CLU, CHFC

POSITION: independent producer/ NATURE: sole propiertor-independent agent for fkixed-only life, health, disabilityincomeThe content/type of fixed business activity has not changed since previously disclosed. As of October 1, 2021 client files are no longer kept at the registered branch location which has changed. Client files for these activities have been moved when branch location changed in Octo INVESTMENT RELATED: No NUMBER OF HOURS: 45 SECURITIES TRADING HOURS: 20 START DATE: 10/01/2021

ADDRESS: 3124 Louise Place, Macon. GA 31204, United States

DESCRIPTION: production and service of primarily existing clients on fixed business only



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	2
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 2

Reporting Source:	Individual
Regulatory Action Initiated By:	OFFICE OF COMMISSIONER OF INSURANCE STATE OF GEORGIA
Sanction(s) Sought:	Other
Other Sanction(s) Sought:	12 MONTHS PROBATION & \$300.00 FINE
Date Initiated:	07/12/2005
Docket/Case Number:	2005-084
Employing firm when activity occurred which led to the regulatory action:	1717 CAPITAL MANAGEMENT COMPANY
Product Type:	No Product
Other Product Type(s):	
Allegations:	THE GA. INSURANCE DEPT. ISSUED A CONSENT ORDER ALLEGING REPRESENTATIVE DID NOT NOTIFY THEM IN A TIMELY MANNER (WITHIN 60 DAYS RATHER THAN HIS NEXT ANNUAL LICENSE RENEWAL) OF ORDER OF CONDITIONAL REGISTRATION INITIATED BY GA. SECURITIES DEPT. AS RESULT OF NASD NOVEMBER 2003 LETTER OF CAUTION IN CONNECTION WITH REPRESENTATIVE'S ALTERATION OF POLICY FORMS. SEE COMMENTS #13.
Current Status:	Final
Resolution:	Consent
Resolution Date:	08/02/2005



Sanctions Ordered: Monetary/Fine \$300.00
Other Sanctions Ordered: 12 MONTHS PROBATION
Sanction Details: \$300.00 FINE PAID 7/29/2005
Broker Statement COMMISSIONER OF INSURANCE INQUIRY PROMPTED BY THE SPECIFICALLY CONSEQUENTIAL OF NASD INQUIRY RESULTING IN "INFORMAL ACTION" (LETTER OF CAUTION ISSUED NOVEMBER 2003) WHICH DID NOT REQUIRE SUBSEQUENT REPORTING NOR BEING OF PERMANENT RECORD. NASD FILE #E0 70311177

Disclosure 2 of 2

Reporting Source: Individual
Regulatory Action Initiated By: SECRETARY OF STATE COMMISSIONER OF SECURITIES STATE OF GEORGIA
Sanction(s) Sought: Other
Other Sanction(s) Sought: ADDITIONAL SUPERVISION REQUIREMENTS UNTIL 12/31/2005 & \$1000.00 TO COMMISSIONER OF SECURITIES OF THE STATE OF GA AS INVESTIGATIVE AND MONITARY COSTS

Date Initiated: 03/25/2005

Docket/Case Number: ENSC-00151

Employing firm when activity occurred which led to the regulatory action: 1717 CAPITAL MANAGEMENT COMPANY

Product Type: No Product

Other Product Type(s):

Allegations: NOVEMBER 2003 NASD LETTER OF CAUTION LED GA SECURITIES DEPT. TO ISSUE CONDITIONAL SECURITIES REGISTRATION UNTIL 12/31.2005. LETTER OF CAUTION RESULTED FROM INVESTIGATION INTO ALLEGATIONS THAT REPRESENTATIVE SIGNED A CUSTOMER'S NAME TO A FIRM DOCUMENT AND ALTERED AND MANIPULATED CUSTOMER SIGNATURES AND DATES ON FIRM DOCUMENTS.

Current Status: Final

Resolution: Order

Resolution Date: 03/25/2003

Sanctions Ordered: Monetary/Fine \$1,000.00

Other Sanctions Ordered: ADDITIONAL SUPERVISION REQUIREMENTS UNTIL 12/31/2005

Sanction Details: \$300.00 FINE PAID 7/29/2005

Broker Statement REPRESENTATIVE STATES THERE HAS BEEN NO REOCCURANCES OF CONDUCT SINCE LETTER OF CAUTION DATED 11/11/2003. COMMISSIONER OF SECURITIES INQUIRY PROMPTED BY AND SPECIFICALLY CONSEQUENTIAL OF NASD INQUIRY RESULTING IN INFORMEL ACTION LETTER OF CAUTION ISSUED NOVEMBER 2003, WHICH DID NOT REQUIRE SUBSEQUENT REPORTING NOT BEING OF PERMANENT RECORD. NASD FILE #E07031177



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: AXA ADVISORS, LLC
Termination Type: Permitted to Resign
Termination Date: 09/11/2003
Allegations: ALLEGED SIGNATURE IRREGULARITIES AND ALTERED FORMS IN CLIENT FILES.
Product Type: Insurance
Other Product Types:

Reporting Source: Individual
Firm Name: AXA ADVISORS, LLC
Termination Type: Permitted to Resign
Termination Date: 09/11/2003
Allegations: SIGNATURE INEQUALITIES AND ALTERED FORMS IN REGISTERED REPRESENTATIVE'S CLIENT FILES
Product Type: Insurance
Other Product Types:



End of Report

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