



IAPD Report

JULIUS FREDERICK BRAUNER IV

CRD# 706699

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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

JULIUS FREDERICK BRAUNER IV (CRD# 706699)

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 **04/15/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	OSAIC WEALTH, INC.	CRD# 23131	06/14/2024
IA	OSAIC WEALTH, INC.	CRD# 23131	06/14/2024

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **17** 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	SECURITIES AMERICA ADVISORS, INC.	110518	WOODSIDE, CA	09/03/2014 - 06/14/2024
B	SECURITIES AMERICA, INC.	10205	WOODSIDE, CA	05/29/1990 - 06/14/2024
IA	THE BRAUNER COMPANY	113037	REDWOOD CITY, CA	03/28/2002 - 02/18/2015

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
Customer Dispute	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 **17** 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	06/14/2024
B	FINRA	General Securities Representative	Approved	06/14/2024
B	FINRA	Operations Professional	Approved	06/14/2024
B	Arizona	Agent	Approved	06/14/2024
B	California	Agent	Approved	06/14/2024
IA	California	Investment Adviser Representative	Approved	06/14/2024
B	Colorado	Agent	Approved	06/14/2024
B	Connecticut	Agent	Approved	09/05/2024
B	Florida	Agent	Approved	06/14/2024
B	Idaho	Agent	Approved	06/14/2024
B	Illinois	Agent	Approved	06/14/2024
B	Indiana	Agent	Approved	06/14/2024
B	Massachusetts	Agent	Approved	06/14/2024



Qualifications

Regulator	Registration	Status	Date
B Nevada	Agent	Approved	06/14/2024
B New Mexico	Agent	Approved	06/14/2024
B New York	Agent	Approved	06/14/2024
B Ohio	Agent	Approved	06/14/2024
B Oregon	Agent	Approved	06/14/2024
B Tennessee	Agent	Approved	06/14/2024
B Washington	Agent	Approved	08/27/2024
B Wisconsin	Agent	Approved	06/14/2024

Branch Office Locations

OSAIC WEALTH, INC.
WOODSIDE, CA

OSAIC WEALTH, INC.
The Sea Ranch, CA




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 1 principal/supervisory exam, 4 general industry/product exams, and 1 state securities law exam.


Principal/Supervisory Exams

Exam	Category	Date
 General Securities Principal Examination (S24)	Series 24	12/17/1990

General Industry/Product Exams

Exam	Category	Date
 Operations Professional Examination (S99TO)	Series 99TO	01/02/2023
 Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
 General Securities Representative Examination (S7)	Series 7	03/17/1984
 Registered Representative Examination (S1)	Series 1	03/25/1980

State Securities Law Exams

Exam	Category	Date
 Uniform Securities Agent State Law Examination (S63)	Series 63	05/25/1984

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	09/03/2014 - 06/14/2024	SECURITIES AMERICA ADVISORS, INC.	CRD# 110518	WOODSIDE, CA
B	05/29/1990 - 06/14/2024	SECURITIES AMERICA, INC.	CRD# 10205	WOODSIDE, CA
IA	03/28/2002 - 02/18/2015	THE BRAUNER COMPANY	CRD# 113037	REDWOOD CITY, CA
B	11/19/1989 - 05/31/1990	ROYAL ALLIANCE ASSOCIATES, INC.	CRD# 23131	SCOTTSDALE, AZ
B	01/09/1987 - 11/19/1989	INTEGRATED RESOURCES EQUITY CORPORATION	CRD# 6403	
B	08/03/1984 - 01/19/1987	PLANVEST CAPITAL CORPORATION	CRD# 14849	
B	04/01/1980 - 08/14/1984	EQUITEC SECURITIES COMPANY	CRD# 6463	

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
06/2024 - Present	OSAIC WEALTH, INC.	Mass Transfer	Y	WOODSIDE, CA, United States
04/2007 - Present	THE BRAUNER COMPANY	OWNER/PRESIDENT/ INVESTMENT ADVISOR REPRESENTATIVE	Y	REDWOOD CITY, CA, United States
09/2014 - 06/2024	SECURITIES AMERICA ADVISORS INC	INVESTMENT ADVISOR REPRESENTATIVE	Y	WOODSIDE, CA, United States
04/2007 - 06/2024	SECURITIES AMERICA, INC	REGISTERED REPRESENTATIVE	Y	WOODSIDE, CA, United States



Registration & Employment History



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. JULIUS FREDERICK BRAUNER

POSITION: insurance agent NATURE: JULIUS FREDERICK BRAUNER IV INSURANCE SALES- AGENT - INVESTMENT RELATED- START DATE: 5/1990 LOCATED AT: 638 W GLEN WAY, WOODSIDE CA 94062 INVESTMENT RELATED: No NUMBER OF HOURS: 2 SECURITIES TRADING HOURS: 1 START DATE: 05/01/1990 ADDRESS: 638 W Glen Way, Woodside CA 94062 DESCRIPTION: Term life insurance and fixed annuities

2. INVESTMENT ADVISORY

POSITION: IAR NATURE: OSAIC WEALTH INC - INVESTMENT ADVISORY -IAR- INVESTMENT RELATED- START DATE: 6/2014 LOCATED AT 638 W GLEN WAY, WOODSIDE CA 94062 INVESTMENT RELATED: Yes NUMBER OF HOURS: 120 SECURITIES TRADING HOURS: 80 START DATE: 09/01/2014 ADDRESS: 638 W Glen Way, Woodside CA 94062, United States DESCRIPTION: Investment advisory related activities

3. THE BRAUNER COMPANY PROFIT SHARING PLAN

POSITION: co-trustee NATURE: The Brauner Company Profit Sharing Plan INVESTMENT RELATED: Yes NUMBER OF HOURS: 1 SECURITIES TRADING HOURS: 1 START DATE: 01/01/2005 ADDRESS: 638 W Glen Way, Woodside CA 94062 DESCRIPTION: Co-trustee of our company Profit Sharing Plan



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
Customer Dispute	1

Customer Dispute

This section provides information regarding a customer dispute that was reported to the Investment Adviser Registration Depository (IARD) by the Investment Adviser Representative (IAR), an investment adviser and/or securities firm, and/or a securities regulator. The event may include a consumer-initiated, investment-related complaint, arbitration proceeding or civil suit that contains allegations of sales practice violations against the individual.

The customer dispute may be pending or may have resulted in a civil judgment, arbitration award, monetary settlement, closure without action, withdrawal, dismissal, denial, or other outcome.

Disclosure 1 of 1

Reporting Source: Regulator

Employing firm when activities occurred which led to the complaint:

Allegations: BREACH OF FIDUCIARY DUTY; ACCOUNT RELATED - NEGLIGENCE; SUITABILITY; MISREPRESENTATION; BREACHED FIDUCIARY DUTY; SUITABILITY

Product Type:

Alleged Damages: \$80,000.00

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: [UNKNOWN - CASE #91-03706](#)

Date Notice/Process Served: 12/09/1991

Arbitration Pending? No

Disposition: Other

Disposition Date: 01/07/1993

Disposition Detail: AWARD AGAINST PARTY
***BRAUNER WAS JOINTLY AND SEVERALLY
LIABLE FOR \$29,799.00 TOGETHER WITH INTEREST THEREON IN THE SUM
OF \$13,012.00 IN DAMAGES***



Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	PLANVEST
Allegations:	BRAUNER RECOMMENDED THAT \$80,000 BE INVESTED IN VARIOUS REAL ESTATE LIMITED PARTNERSHIPS BETWEEN JUNE & SEPT. 1985. THESE INVESTMENTS WERE UNSUITABLE IN LIGHT OF CLAIMANTS INVESTMENT OBJECTIVES, FINANCIAL CIRCUMSTANCES, NEEDS & AGE. CLAIMANTS REQUEST COMPENSATORY DAMAGES OF NOT LESS THAN \$80,000 PLUS INTEREST, PUNITIVE DAMAGES, & ATTORNEYS FEES.
Product Type:	Other
Other Product Type(s):	REAL ESTATE LIMITED PARTNERSHIPS
Alleged Damages:	\$80,000.00
Customer Complaint Information	
Date Complaint Received:	11/18/1991
Complaint Pending?	No
Status:	Arbitration/Reparation
Status Date:	01/07/1993
Settlement Amount:	
Individual Contribution Amount:	
Arbitration Information	
Arbitration/Reparation Claim filed with and Docket/Case No.:	NASD; 91-03706
Date Notice/Process Served:	12/09/1991
Arbitration Pending?	No
Disposition:	Award to Customer
Disposition Date:	01/07/1993
Monetary Compensation Amount:	\$42,811.00
Individual Contribution Amount:	
Broker Statement	RESPONDENTS BRAUNER & PRIVATE PORTFOLIOS, INC. ARE JOINTLY & SEVERALLY LIABLE & SHALL PAY TO CLAIMANTS [CUSTOMER] & [CUSTOMER] \$29,799.00 PLUS \$13,012.00 INTEREST. CLAIMANTS CLAIM FOR PUNITIVE DAMAGES WAS DENIED. NO RESCISSION WAS ORDERED. PARTIES TO PAY THEIR OWN ATTORNEYS FEES & EXPERT WITNESS FEES. RESPONDENTS TO REIMBURSE CLAIMANTS \$650.00 FOR INITIAL FILING & HEARING SESSION DEPOSIT. RESPONDENT TO PAY NASD \$11,500 FOR FORUM FEES. ALL PAYMENTS HAVE BEEN MADE IN FULL & CASE IS CLOSED. RESPONDENTS BRAUNER & PRIVATE PORTFOLIOS, INC. VIGOROUSLY DISPUTED THESE ALLEGATIONS OVER 12 DAYS OF



HEARINGS.
THE \$80,000 OF REAL ESTATE INVESTMENTS REPRESENTED LESS THAN
HALF THE TOTAL AMOUNT INVESTED BY CLAIMANT. \$80,000 WAS
DIVERSIFIED AMONG 6 DIFFERENT PARTNERSHIPS & REPRESENTED
APPROXIMATELY 13% OF CLAIMANTS TOTAL NET WORTH. RESPONDENTS
CLAIMED CLAIMANT UNDERSTOOD INHERENT RISKS & KNOWINGLY
ACCEPTED
THESE RISKS IN RETURN FOR POTENTIAL INFLATION HEDGE OF REAL
ESTATE INVESTMENTS. RESPONDENTS & COUNSEL CONTINUE TO
BELIEVE
REAL ESTATE INVESTMENTS WERE SUITABLE BASED ON CLAIMANT
STATED
CONCERN ABOUT INFLATION.



End of Report

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