



IAPD Report

KATHARINE AUCHINCLOSS CORBIN

CRD# 710131

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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

KATHARINE AUCHINCLOSS CORBIN (CRD# 710131)

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 **02/04/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	OSAIC WEALTH, INC.	CRD# 23131	11/02/2018
IA	OSAIC WEALTH, INC.	CRD# 23131	11/02/2018

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **20** 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	SIGNATOR INVESTORS, INC.	468	SCOTTSDALE, AZ	01/16/2018 - 11/02/2018
B	SIGNATOR INVESTORS, INC.	468	SCOTTSDALE, AZ	05/13/2016 - 11/02/2018
IA	SIGNATOR INVESTORS, INC.	468	SCOTTSDALE, AZ	05/13/2016 - 12/31/2016

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	3



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 **20** 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	11/02/2018
B	Alabama	Agent	Approved	12/13/2019
B	Arizona	Agent	Approved	11/02/2018
B	California	Agent	Approved	11/02/2018
B	Colorado	Agent	Approved	11/02/2018
IA	Colorado	Investment Adviser Representative	Approved	11/02/2018
B	Florida	Agent	Approved	10/29/2024
B	Georgia	Agent	Approved	02/05/2026
B	Idaho	Agent	Approved	05/30/2025
B	Illinois	Agent	Approved	07/19/2021
B	Indiana	Agent	Approved	04/21/2024
B	Mississippi	Agent	Approved	02/05/2026
B	Nevada	Agent	Approved	11/02/2018



Qualifications

Regulator	Registration	Status	Date
B New Mexico	Agent	Approved	11/02/2018
B North Carolina	Agent	Approved	03/01/2024
B Ohio	Agent	Approved	11/23/2021
B Oklahoma	Agent	Approved	10/02/2020
B Oregon	Agent	Approved	01/13/2023
B Texas	Agent	Approved	11/02/2018
B Virginia	Agent	Approved	11/02/2018
B Washington	Agent	Approved	11/02/2018
B Wisconsin	Agent	Approved	11/30/2021

Branch Office Locations

OSAIC WEALTH, INC.
14415 N 73 RD STREET
#111
SCOTTSDALE, AZ 85260



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, 3 general industry/product exams, and 2 state securities law exams.

Principal/Supervisory Exams

Exam	Category	Date
General Securities Principal Examination (S24)	Series 24	09/25/2000

General Industry/Product Exams

Exam	Category	Date
Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
General Securities Representative Examination (S7)	Series 7	08/19/1996
Registered Representative Examination (S1)	Series 1	06/11/1980

State Securities Law Exams

Exam	Category	Date
Uniform Investment Adviser Law Examination (S65)	Series 65	01/11/2000
Uniform Securities Agent State Law Examination (S63)	Series 63	11/03/1980

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
IA	01/16/2018 - 11/02/2018	SIGNATOR INVESTORS, INC.	CRD# 468	SCOTTSDALE, AZ
B	05/13/2016 - 11/02/2018	SIGNATOR INVESTORS, INC.	CRD# 468	SCOTTSDALE, AZ
IA	05/13/2016 - 12/31/2016	SIGNATOR INVESTORS, INC.	CRD# 468	SCOTTSDALE, AZ
IA	04/22/2008 - 05/13/2016	TRANSAMERICA FINANCIAL ADVISORS, INC.	CRD# 16164	PHOENIX, AZ
B	11/17/2000 - 05/13/2016	TRANSAMERICA FINANCIAL ADVISORS, INC	CRD# 16164	PHOENIX, AZ
B	12/23/1994 - 11/28/2000	LINCOLN FINANCIAL ADVISORS CORPORATION	CRD# 3978	FORT WAYNE, IN
B	12/23/1994 - 11/28/2000	THE LINCOLN NATIONAL LIFE INSURANCE COMPANY	CRD# 2580	FORT WAYNE, IN
B	01/31/1992 - 12/13/1994	TRANSAMERICA FINANCIAL RESOURCES, INC.	CRD# 3600	LOS ANGELES, CA
B	05/11/1987 - 12/17/1991	ACCUMULATION PLANNING, INC.	CRD# 14124	PHOENIX, AZ
B	04/07/1986 - 03/12/1987	MML INVESTORS SERVICES, INC.	CRD# 10409	
B	08/26/1980 - 04/15/1986	TRANSAMERICA FINANCIAL RESOURCES, INC.	CRD# 3600	
B	06/19/1980 - 10/03/1980	FRANKLIN FINANCIAL SERVICES CORPORATION	CRD# 5435	

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
11/2018 - Present	Osaic Wealth, Inc.	Registered Rep	Y	SCOTTSDALE, AZ, United States
01/2002 - Present	CORBIN FINANCIAL INC.	SECRETARY-INSURANCE SALES	Y	SCOTTSDALE, AZ, United States
01/1989 - Present	CORBIN GROUP BENEFITS INC.	OWNER/AGENT	Y	SCOTTSDALE, AZ, United States



Registration & Employment History

EMPLOYMENT HISTORY

Employment Dates	Employer Name	Position	Investment Related	Employer Location
07/1973 - Present	HARVARD CLUB CENTER	CHAIR, SCHOOLS SCHOLARSHIPS COMM	N	SCOTTSDALE, AZ, United States
05/2016 - 11/2018	SIGNATOR INVESTORS, INC.	REGISTERED REPRESENTATIVE	Y	SCOTTSDALE, AZ, 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) CORBIN FINANCIAL

POSITION: Secretary NATURE: S Corp INVESTMENT RELATED: Yes NUMBER OF HOURS: 160 SECURITIES TRADING HOURS: 160 START DATE: 01/01/1998
 ADDRESS: Los Arcos North, 14415 N 73rd St #111, Scottsdale AZ 85260, United States
 DESCRIPTION: Sale of securities and fixed insurance products

2) CORBIN GROUP BENEFITS

POSITION: Owner/VP NATURE: S Corp INVESTMENT RELATED: Yes NUMBER OF HOURS: 48 SECURITIES TRADING HOURS: 38 START DATE: 01/01/1989
 ADDRESS: Los Arcos North, 14415 N 73rd St #111, Scottsdale AZ 85260, United States
 DESCRIPTION: Fixed Insurance and 401(k)

3) ARIZONA SCIENCE CENTER, INC

POSITION: Board of Trustees Member NATURE: Corporation INVESTMENT RELATED: No NUMBER OF HOURS: 25 SECURITIES TRADING HOURS: 15 START DATE: 07/01/2006
 ADDRESS: 600 E Washington, Phoenix AZ 85260, United States
 DESCRIPTION: Part of board guidance to museum

4) LOWELL OBSERVATORY

POSITION: Advisory Board Member NATURE: Non Profit INVESTMENT RELATED: No NUMBER OF HOURS: 1 SECURITIES TRADING HOURS: 0 START DATE: 06/01/2017
 ADDRESS: Mars Hill, Flagstaff AZ 86001, United States
 DESCRIPTION: part of board advice for observatory guidance



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	3

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 3

Reporting Source:	Firm
Employing firm when activities occurred which led to the complaint:	Transamerica Financial Advisors, Inc.
Allegations:	Client alleges that rep misrepresented the annuity amount the client was to receive once they started taking payments.
Product Type:	Annuity-Variable
Alleged Damages:	\$30,000.00
Is this an oral complaint?	No
Is this a written complaint?	Yes
Is this an arbitration/CFTC reparation or civil litigation?	No

Customer Complaint Information

Date Complaint Received:	04/15/2019
Complaint Pending?	No
Status:	Closed/No Action
Status Date:	06/13/2019

Settlement Amount:

Individual Contribution Amount:
.....



Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: TRANSAMERICA FINANCIAL ADVISORS, INC

Allegations: CLIENT ALLEGES THAT REP MISREPRESENTED THE ANNUITY AMOUNT THE CLIENT WAS TO RECEIVE ONCE THEY STARTED TAKING PAYMENTS.

Product Type: Annuity-Variable

Alleged Damages: \$30,000.00

Is this an oral complaint? No

Is this a written complaint? Yes

Is this an arbitration/CFTC reparation or civil litigation? No

Customer Complaint Information

Date Complaint Received: 04/15/2019

Complaint Pending? No

Status: Closed/No Action

Status Date: 06/13/2019

Settlement Amount:

Individual Contribution Amount:

Disclosure 2 of 3

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: INTERSECURITIES, INC. N/K/A TRANSAMERICA FINANCIAL ADVISORS, INC.

Allegations: THE CLIENTS ALLEGE THAT THE REPRESENTATIVE MISREPRESENTED THE VARIABLE ANNUITY THEY PURCHASED IN FEBRUARY 2008 AS A "SAFE, NO RISK, GUARANTEED INVESTMENT".

Product Type: Annuity-Variable

Alleged Damages: \$135,125.64

Is this an oral complaint? No

Is this a written complaint? Yes

Is this an arbitration/CFTC reparation or civil litigation? No

Customer Complaint Information

Date Complaint Received: 10/06/2009

Complaint Pending? No

Status: Evolved into Arbitration/CFTC reparation (the individual is a named party)

Status Date: 12/07/2009

Settlement Amount:



Individual Contribution Amount:

Arbitration Information

Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.):

FINRA

Docket/Case #:

09-06675

Date Notice/Process Served:

12/07/2009

Arbitration Pending?

No

Disposition:

Settled

Disposition Date:

11/17/2010

Monetary Compensation Amount:

\$65,000.00

Individual Contribution Amount:

\$0.00

Broker Statement

TFA MADE A BUSINESS DECISION TO SETTLE WITH THE CLIENT SOLELY TO AVOID THE FURTHER TIME AND EXPENSE OF ARBITRATING THIS MATTER. TFA REPRESENTATIVE, KATHERINE CORBIN, WAS DISMISSED WITH PREJUDICE FROM THE FINRA ARBITRATION, PURSUANT TO THE TERMS OF THE SETTLEMENT AGREEMENT, ON NOVEMBER 17, 2010. MS. CORBIN WAS NOT REQUIRED TO CONTRIBUTE TO THE SETTLEMENT.

Disclosure 3 of 3

Reporting Source:

Individual

Employing firm when activities occurred which led to the complaint:

INTERSECURITIES, INC.

Allegations:

THE CLIENT ALLEGES THAT WHEN HE PURCHASED A VARIABLE ANNUITY ON FEBRUARY 1, 2008, THE THE FEATURES OF THE PRODUCT WERE MISREPRESENTED TO HIM.

Product Type:

Annuity-Variable

Alleged Damages:

\$160,000.00

Is this an oral complaint?

No

Is this a written complaint?

Yes

Is this an arbitration/CFTC reparation or civil litigation?

No

Customer Complaint Information

Date Complaint Received:

11/21/2008

Complaint Pending?

No

Status:

Denied

Status Date:

12/19/2008

Settlement Amount:



**Individual Contribution
Amount:**

Broker Statement

COMPLAINT IS NOW OVER 24 MONTHS OLD. CHANGED 14I(3)(A) FROM "YES" TO "NO". PLEASE ARCHIVE COMPLAINT.



End of Report

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