IAPD Report

BRADLEY WAYNE ROTHHAMMER

CRD# 713099

Section Title	Page(s)
Report Summary	1
Qualifications	2 - 4
Registration and Employment History	5 - 6
Disclosure Information	7

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

BRADLEY WAYNE ROTHHAMMER (CRD# 713099)

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 **11/14/2025**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	OSAIC WEALTH, INC.	CRD# 23131	01/19/2024
IA	OSAIC WEALTH, INC.	CRD# 23131	01/19/2024

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **15** 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	WOODBURY FINANCIAL SERVICES, INC.	421	GREENWOOD VILLAGE, CO	02/27/2008 - 01/19/2024
B	WOODBURY FINANCIAL SERVICES, INC.	421	GREENWOOD VILLAGE, CO	02/14/2002 - 01/19/2024
B	WASHINGTON SQUARE SECURITIES, INC.	2882	WINDSOR, CT	12/11/2000 - 02/05/2002

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

©2026 FINRA. All rights reserved. Report about BRADLEY WAYNE ROTHHAMMER.

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 **15** 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	Invest. Co and Variable Contracts	Approved	01/19/2024
B	Arizona	Agent	Approved	01/19/2024
B	California	Agent	Approved	01/19/2024
B	Colorado	Agent	Approved	01/19/2024
IA	Colorado	Investment Adviser Representative	Approved	01/19/2024
B	Connecticut	Agent	Approved	01/19/2024
B	Florida	Agent	Approved	01/19/2024
B	Kansas	Agent	Approved	01/19/2024
B	Michigan	Agent	Approved	01/19/2024
B	Montana	Agent	Approved	01/19/2024
B	Nevada	Agent	Approved	01/19/2024
B	New Jersey	Agent	Approved	01/19/2024
B	New York	Agent	Approved	01/19/2024

©2026 FINRA. All rights reserved. Report about BRADLEY WAYNE ROTHHAMMER.

Qualifications

	Regulator	Registration	Status	Date
B	North Dakota	Agent	Approved	01/19/2024
B	Oregon	Agent	Approved	01/19/2024
B	Texas	Agent	Approved	01/19/2024
B	Washington	Agent	Approved	01/19/2024

Branch Office Locations

OSAIC WEALTH, INC.
5347 S VALENTIA WAY STE 130
GREENWOOD VILLAGE, CO 80111

©2026 FINRA. All rights reserved. Report about BRADLEY WAYNE ROTHHAMMER.

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

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	Investment Company Products/Variable Contracts Representative Examination (S6)	Series 6	03/08/1996
B	Registered Representative Examination (S1)	Series 1	06/27/1980

State Securities Law Exams

	Exam	Category	Date
IA	Uniform Investment Adviser Law Examination (S65)	Series 65	02/09/2008
B	Uniform Securities Agent State Law Examination (S63)	Series 63	04/10/2006

PROFESSIONAL DESIGNATIONS

This section details that the representative has reported **0** professional designation(s).

No information reported.

©2026 FINRA. All rights reserved. Report about BRADLEY WAYNE ROTHHAMMER.

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	02/27/2008 - 01/19/2024	WOODBURY FINANCIAL SERVICES, INC.	CRD# 421	GREENWOOD VILLAGE
B	02/14/2002 - 01/19/2024	WOODBURY FINANCIAL SERVICES, INC.	CRD# 421	GREENWOOD VILLAGE
B	12/11/2000 - 02/05/2002	WASHINGTON SQUARE SECURITIES, INC.	CRD# 2882	WINDSOR, CT
B	06/01/1998 - 12/19/2000	LINCOLN FINANCIAL ADVISORS CORPORATION	CRD# 3978	FORT WAYNE, IN
B	04/03/1996 - 06/01/1998	CIGNA FINANCIAL ADVISORS,INC.	CRD# 145	RADNOR, PA
B	07/23/1980 - 02/16/1993	CIGNA SECURITIES, INC.	CRD# 145	RADNOR, PA

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
01/2024 - Present	OSAIC WEALTH, INC.	Mass Transfer	Y	GREENWOOD VILLAGE, CO, United States
02/2002 - 01/2024	WOODBURY FINANCIAL SERVICES	REGISTERED REPRESENTATIVE	Y	GREENWOOD VILLAGE, CO, 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)BRADLEY W. ROTHHAMMER; NONINVT REL; 5347 VALENTIA WAY #200, GREENWOOD VILLAGE, CO 80111; SALES AND SERVICE OF INSURANCE PRODUCTS; OWNER, PRESIDENT; START 01/01/1981; 20 HRS/MTH; 20 HRS/MTH DURING TRADING; SALES AND SERVICE OF INSURANCE PRODUCTS.
2) CBD FINANCIAL, LLC; INV REL; 5347 S VALENTIA WAY SUITE 130 GREEWOOD VILLAGE, CO 80111; SALES OF TRADITIONAL INSURANCE; INSURANCE AGENT/BROKER; 1/1/2012; 270HR/MO; 240 HR/MO; SALES ANS SERVICES OF TRADITIONAL ISURANCE ACCOUNTS.

3)VALENTIA GROUP; NON INV REL; 5347 S VALENTIA WAY GREENWOOD, CO 80111; I MANAGE THE OFFICE BUILDING I OWN 25% OF; MANAGING MEMBER; 5/1/2006; 40HR/MO; 0HR/MO; MANAGE THE OFFICE BUILDING I OWN 25% OF.

4) ACE; NON INV REL; DENVER, CO; RAISE MONEY TO ASSIST INNER CITY CHILDREN IN REGARD TO FUTURE PARTICIPATION AS A PROFESSIONAL IN THE CONSTURCTION INDUSTRY; BOARD MEMBER; 1/1/2007; 1HR/MO;

©2026 FINRA. All rights reserved. Report about BRADLEY WAYNE ROTHHAMMER.

Registration & Employment History

OTHER BUSINESS ACTIVITIES

1HR/MO; RAISE MONEY TO ASSIST INNER-CITY CHILDREN IN REGARD TO FUTURE PARTICIPATION AS A PROFESSIONAL IN THE CONSTRUCTION INDUSTRY.

5)DENVER HOSPICE; NON INV REL; DENVER, CO; RAISE MONEY TO PROVIDE HOSPICE FOR THE DYING; COMMITTE MEMBER; 1/1/2009; 5HR/MO; 1HR/MO; RAISE MONEY TO PROVIDE HOSPICE FOR THE DYING.

6) CANCER LEAGUE OF COLORADO; NON INV REL; GREENWOOD VILLAGE, CO; RAISE MONEY TO FIGHT CANCER; PRESIDENT OF THE CORPORATE BOARD; 1/1/2007; 20HR/MO; 5HR/MO; RAISE MONEY TO FIGHT CANCER.

7) ROTHHAMMER PROPERTIES, LLC
POSITION: Managing member NATURE: Personal real estate investments INVESTMENT RELATED: No NUMBER OF HOURS: 30 SECURITIES TRADING HOURS: 0 START DATE: 09/20/2017
ADDRESS: 2405 Cherryridge Rd., Cherry Hills CO 80113, United States
DESCRIPTION: Investor

8) CORPORATE BENEFIT DESIGN, LLC
POSITION: Chief Executive Officer NATURE: Limited Liability Company INVESTMENT RELATED: Yes NUMBER OF HOURS: 5 SECURITIES TRADING HOURS: 0 START DATE: 01/08/2013
ADDRESS: 5347 S. Valentia Way, Suite 300, Greenwood Village CO 80111, United States
DESCRIPTION: Sale of Group Health insurance.
Sale of Life Insurance.
Assist in selling businesses.
Sale of annuities.

9) W. G. NIELSEN AND ASSOCIATES
POSITION: none NATURE: As approved by Woodbury, present businesses to W.G. Nielsen for them to sell. INVESTMENT RELATED: No NUMBER OF HOURS: 5 SECURITIES TRADING HOURS: 5 START DATE: 05/01/2005
ADDRESS: 3200 Cherry Creek South Drive, Suite 470, Denver CO 80209, United States
DESCRIPTION: Introduction

10) CORPORATE BENEFIT DESIGN, LLC
POSITION: Chief Executive Officer NATURE: Limited Liability Company INVESTMENT RELATED: Yes NUMBER OF HOURS: 25 SECURITIES TRADING HOURS: 3 START DATE: 01/08/1990
ADDRESS: 5347 S. Valentia Way, Suite 300, Greenwood Village CO 80111, United States
DESCRIPTION: Sale of Group Health insurance.
Sale of term Life Insurance.
Assist (referals) in selling businesses (OBA with Woodbury/Osiac).
Sale of fixed annuities.

©2026 FINRA. All rights reserved. Report about BRADLEY WAYNE ROTHHAMMER.

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.

©2026 FINRA. All rights reserved. Report about BRADLEY WAYNE ROTHHAMMER.

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

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:	Firm
Court Details:	WILLIAM R. LUCERO, ASST. U.S. ATTORNEY 92-CR-330
Charge Date:	10/08/1992
Charge Details:	18 U.S.C. 1344 (A) (1)&(2) THE AMOUNT OF $50,000.
Felony?	
Current Status:	On Appeal
Status Date:	08/28/1995
Disposition Details:	SENTENCE NOT YET IMPOSED.
Firm Statement	ON JANUARY 6, 1993, A JURY IN THE ABOVE CRIMINAL CASE RETURNED A VERDICT OF GUILTY ON THREE COUNTS OF MAKING A FALSE STATEMENT OR REPORT FOR PURPOSES OF INFLUENCING A NATIONAL BANK (18 USC 1014). MR. ROTHHAMMER'S ATTORNEYS HAVE FILED MOTIONS TO OVERTURN THE VERDICT AND INTEND TO PURSUE THE APPEALS PROCESS IF NECESSARY.

Reporting Source:	Individual
Court Details:	U.S. DISTRICT COURT, DISTRICT OF COLORADO CRIMINAL ACTION NO. 92-CR-330
Charge Date:	10/08/1992
Charge Details:	18 USC 1344 (2) (1) & (2) SCHEME TO DEFRAUD 18 USC 1014-FALSE STATEMENT TO A BANK 3 COUNTS
Felony?	Yes

©2026 FINRA. All rights reserved. Report about BRADLEY WAYNE ROTHHAMMER.

Current Status:	Final
Status Date:	01/15/1996
Disposition Details:	JUDGEMENT OF ACQUITTAL 01/15/1996.USD DISTRICT OF COLORADO CASE NUMBER 92-CR-330
Broker Statement	IN OCTOBER OF 1992, I WAS ARRESTED AND CHARGED WITH 1 COUNT OF SCHEME TO DEFRAUD A NATIONAL BANK AND 3 COUNTS OF MAKING FALSE STATEMENTS TO A BANK. IN JANUARY 1993 I WAS FOUND GUILTY OF ALL 3 COUNTS OF MAKING FALSE STATEMENTS TO SAID BANK. MY ATTORNEY BEGAN APPEALS PROCESS AND IN MARCH OF 1996 I WAS FOUND NOT GUILTY ON ALL CHARGES AND MY INDICTMENT WAS SUPERCEDED IN APPELATE COURT. BASICALLY, I HAD A FRIEND THAT WORKED FOR SAID BANK. MY FRIEND APPLIED AND APPROVED ME FOR A LOAN THAT I DID NOT WANT OR ASK FOR. MY FRIEND THEN TOOK THAT LOAN MONEY AND GAVE IT TO SOMEONE ELSE, BUT LEFT ME FOR THE LIABILITY FOR THE LOAN. ONCE I FOUND OUT ABOUTH THIS, I SIGNED AN EXTENSION REQUEST IN ORDER TO GIVE MY F FRIEND TIME TO PAY BACK THE MONEY TO THE BANK WHICH HE NEVER DID. AT THAT TIME, THE BANK CONDUCTED AN INVESTIGATION AND DISCOVERED ALL THE FACTS. I WAS ACQUITTED, WHILE MY FRIEND IS STILL SERVING TIME IN PRISON.

©2026 FINRA. All rights reserved. Report about BRADLEY WAYNE ROTHHAMMER.

End of Report

This page is intentionally left blank.

©2026 FINRA. All rights reserved. Report about BRADLEY WAYNE ROTHHAMMER.