



IAPD Report

DANIEL JOHN MURPHY

CRD# 722183

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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

DANIEL JOHN MURPHY (CRD# 722183)

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 **02/18/2025**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	OSAIC WEALTH, INC.	CRD# 23131	09/01/2023
IA	OSAIC WEALTH, INC.	CRD# 23131	09/01/2023

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **14** 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	SAGEPOINT FINANCIAL, INC.	133763	LAKE OSWEGO, OR	09/01/2020 - 09/01/2023
IA	SAGEPOINT FINANCIAL, INC.	133763	LAKE OSWEGO, OR	09/01/2020 - 09/01/2023
B	LPL FINANCIAL LLC	6413	LAKE OSWEGO, OR	02/01/2018 - 09/11/2020

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 **14** 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	09/01/2023
B Alaska	Agent	Approved	09/01/2023
B Arizona	Agent	Approved	09/01/2023
B California	Agent	Approved	09/01/2023
B Connecticut	Agent	Approved	01/03/2025
B Florida	Agent	Approved	09/01/2023
B Georgia	Agent	Approved	09/01/2023
B Hawaii	Agent	Approved	09/01/2023
B Idaho	Agent	Approved	09/17/2024
B Illinois	Agent	Approved	09/01/2023
B Michigan	Agent	Approved	09/01/2023
B Nevada	Agent	Approved	09/01/2023
B Oregon	Agent	Approved	09/01/2023



Qualifications

Regulator	Registration	Status	Date
IA Oregon	Investment Adviser Representative	Approved	09/01/2023
B Texas	Agent	Approved	09/01/2023
IA Texas	Investment Adviser Representative	Restricted Approval	02/18/2025
B Washington	Agent	Approved	09/01/2023
IA Washington	Investment Adviser Representative	Approved	09/01/2023

Branch Office Locations

OSAIC WEALTH, INC.
3 CENTERPOIINTE DRIVE
SUITE 200
LAKE OSWEGO, OR 97035



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
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No information reported.

General Industry/Product Exams

Exam	Category	Date
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Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
Futures Managed Funds Examination (S31)	Series 31	02/26/2007
General Securities Representative Examination (S7)	Series 7	01/17/1981

State Securities Law Exams

Exam	Category	Date
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Uniform Investment Adviser Law Examination (S65)	Series 65	06/04/1993
Uniform Securities Agent State Law Examination (S63)	Series 63	11/20/1986

PROFESSIONAL DESIGNATIONS

This section details that the representative has reported **2** professional designation(s).

Certified Financial Planner

Chartered Financial Analyst

This representative holds or did hold **2** 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	09/01/2020 - 09/01/2023	SAGEPOINT FINANCIAL, INC.	CRD# 133763	LAKE OSWEGO, OR
IA	09/01/2020 - 09/01/2023	SAGEPOINT FINANCIAL, INC.	CRD# 133763	LAKE OSWEGO, OR
B	02/01/2018 - 09/11/2020	LPL FINANCIAL LLC	CRD# 6413	LAKE OSWEGO, OR
IA	02/01/2018 - 09/11/2020	LPL FINANCIAL LLC	CRD# 6413	LAKE OSWEGO, OR
B	06/17/2009 - 01/17/2018	UMPQUA INVESTMENTS, INC.	CRD# 1254	LAKE OSWEGO, OR
IA	06/17/2009 - 01/17/2018	UMPQUA INVESTMENTS, INC.	CRD# 1254	LAKE OSWEGO, OR
B	06/01/2009 - 06/23/2009	MORGAN STANLEY SMITH BARNEY	CRD# 149777	PORTLAND, OR
IA	06/01/2009 - 06/23/2009	MORGAN STANLEY SMITH BARNEY LLC	CRD# 149777	PORTLAND, OR
IA	08/09/2004 - 06/01/2009	CITIGROUP GLOBAL MARKETS INC.	CRD# 7059	PORTLAND, OR
B	08/06/2004 - 06/01/2009	CITIGROUP GLOBAL MARKETS INC.	CRD# 7059	PORTLAND, OR
B	07/01/2003 - 08/13/2004	WACHOVIA SECURITIES, LLC	CRD# 19616	ST. LOUIS, MO
IA	07/01/2003 - 08/13/2004	WACHOVIA SECURITIES, LLC	CRD# 19616	PORTLAND, OR
B	01/08/1993 - 07/01/2003	PRUDENTIAL SECURITIES INCORPORATED	CRD# 7471	NEW YORK, NY
IA	01/08/1993 - 07/01/2003	PRUDENTIAL SECURITIES INCORPORATED	CRD# 7471	PORTLAND, OR
B	01/19/1981 - 01/12/1993	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	CRD# 7691	NEW YORK, NY



Registration & Employment History

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
09/2023 - Present	OSAIC WEALTH, INC.	REGISTERED REPRESENTATIVE	Y	LAKE OSWEGO, OR, United States
09/2020 - 09/2023	SAGEPOINT FINANCIAL, INC.	REGISTERED REPRESENTATIVE	Y	LAKE OSWEGO, OR, United States
02/2018 - 09/2020	LPL FINANCIAL, LLC	REGISTERED REPRESENTATIVE	Y	LAKE OSWEGO, OR, United States
06/2009 - 01/2018	UMPQUA INVESTMENTS, INC.	FINANCIAL ADVISOR	Y	PORTLAND, OR, 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. PEARSON FINANCIAL GROUP DBA

POSITION: Registered Rep with Pearson Financial Group DBA Associated with Sage Point NATURE: Sole Proprietorship INVESTMENT RELATED: Yes NUMBER OF HOURS: 40 SECURITIES TRADING HOURS: 180 START DATE: 02/01/2018 ADDRESS: 5665 SW Meadows Road, Suite 120, Lake Oswego OR 97035, United States DESCRIPTION: Financial Advisor

2. INSURANCE

POSITION: Advisor NATURE: Insurance INVESTMENT RELATED: Yes NUMBER OF HOURS: 1 SECURITIES TRADING HOURS: 0 START DATE: 03/19/1980 ADDRESS: 5665 SW Meadows, #120, Lake Oswego OR 97035, United States DESCRIPTION: Licensed in case clients need insurance



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: MERRILL LYNCH, PIERCE, FENNER & SMITH, INC.

Allegations: SUITABILITY; MISREPRESENTATION; BRCH OF FIDUCIARY DT; ACCOUNT RELATED-NEGLIGENCE

Product Type:

Alleged Damages: \$235,000.00

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: UNKNOWN - CASE #95-01763

Date Notice/Process Served: 04/12/1995

Arbitration Pending? No

Disposition: Settled

Disposition Date: 09/05/1995

Disposition Detail: CASE CLOSED,SETTLED/OTHER ACTUAL/COMPENSATORY DAMAGES, RELIEF REQUEST IS WITHDRAWN/SETTLED/ETC, AWARD AMOUNT JOINTLY AND SEVERALLY; ACTUAL/COMPENSATORY DAMAGES, RELIEF REQUEST IS WITHDRAWN/SETTLED/ETC, AWARD AMOUNT JOINTLY AND SEVERALLY; ACTUAL/COMPENSATORY DAMAGES, RELIEF REQUEST IS WITHDRAWN/SETTLED/ETC, AWARD AMOUNT JOINTLY AND SEVERALLY; PUNITIVE/EXEMPLARY DAMAGES, RELIEF REQUEST IS



WITHDRAWN/SETTLED/ETC, AWARD AMOUNT JOINTLY AND SEVERALLY;
INTEREST, RELIEF REQUEST IS WITHDRAWN/SETTLED/ETC, AWARD
AMOUNT
JOINTLY AND SEVERALLY; OTHER COSTS, RELIEF REQUEST IS
WITHDRAWN/SETTLED/ETC, AWARD AMOUNT JOINTLY AND SEVERALLY;
ATTORNEY'S FEES, RELIEF REQUEST IS WITHDRAWN/SETTLED/ETC,
AWARD
AMOUNT JOINTLY AND SEVERALLY

Reporting Source: Firm

Employing firm when activities occurred which led to the complaint: MERRILL LYNCH, PIERCE, FENNER & SMITH, INC.

Allegations: CLAIMANTS ALLEGED THEIR LIMITED PARTNERSHIP (DATING FROM 1982) WERE UNSUITABLE BECAUSE OF THEIR AGE, INCOME, NET WORTH AND STATED OBJECTIVE. THE CLAIM SOUGHT \$300,000 IN COMPENSATORY DAMAGES AND \$600,000 IN PUNITIVE DAMAGES.

Product Type:

Alleged Damages: \$235,000.00

Customer Complaint Information

Date Complaint Received:

Complaint Pending? No

Status: Arbitration/Reparation

Status Date:

Settlement Amount:

Individual Contribution Amount:

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: NATIONAL ASSOCIATION OF SECURITIES DEALERS, INC.; 95-01763

Date Notice/Process Served: 04/12/1995

Arbitration Pending? No

Disposition: Settled

Disposition Date: 09/05/1995

Monetary Compensation Amount: \$140,000.00

Individual Contribution Amount:

Firm Statement NOT PROVIDED
MERRILL LYNCH AND DANIEL MURPHY DENIED THE [CUSTOMERS'] CLAIM IN ITS ENTIRETY. CLAIMANTS UNDERSTOOD THEIR INVESTMENTS AND AUTHORIZED THEIR PURCHASE WITH KNOWLEDGE OF THE RISKS. MERRILL LYNCH AND DANIEL MURPHY SETTLED THE MATTER FOR



\$140,000 IN ORDER TO AVOID THE COST AND UNCERTAINTY OF LITIGATION.

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: MERRILL LYNCH, PIERCE, FENNER & SMITH, INC.

Allegations: SUITABILITY; MISREPRESENTATION; BREACH OF FIDUCIARY DUTY; ACCOUNT RELATED- NEGLIGENCE; LIMITED PARTNERSHIPS. ACTUAL/COMPENSATORY DAMAGES, ASKED AMOUNT \$235,000 JOINTLY AND SEVERALLY AND PUNITIVE DAMAGES OF \$705,000 JOINTLY AND SEVERALLY.

Product Type: Direct Investment-DPP & LP Interests

Alleged Damages: \$235,000.00

Is this an oral complaint? No

Is this a written complaint? Yes

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

Arbitration/Reparation forum or court name and location: NASD ARBITRATION

Docket/Case #: 95-01763

Filing date of arbitration/CFTC reparation or civil litigation: 04/12/1995

Customer Complaint Information

Date Complaint Received: 05/10/1994

Complaint Pending? No

Status: Settled

Status Date: 09/05/1995

Settlement Amount: \$140,000.00

Individual Contribution Amount: \$0.00

Arbitration Information

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

Docket/Case #: 95-01763

Date Notice/Process Served: 04/12/1995

Arbitration Pending? No

Disposition: Settled

Disposition Date: 09/05/1995



Monetary Compensation Amount: \$140,000.00

Individual Contribution Amount: \$0.00

Broker Statement CLAIM WAS FALSE IN ITS ENTIRETY AND AS TO SPECIFICS. CLAIMS WERE DISMISSED AGAINST ME BY THE PLAINTIFF. MERRILL LYNCH SETTLED TO AVOID THE COST OF ARBITRATION AND THE RISK OF A LARGE SETTLEMENT PAYMENT TO A SYMPATHETIC ELDERLY PERSON DESPITE THE LACK OF VALIDITY OF THEIR ASSERTIONS.



End of Report

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