



IAPD Report

ROBERT MORRIS FRIEDMAN

CRD# 807233

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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

ROBERT MORRIS FRIEDMAN (CRD# 807233)

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 **04/16/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	OSAIC WEALTH, INC.	CRD# 23131	03/24/2004
IA	OSAIC WEALTH, INC.	CRD# 23131	09/17/2004

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	PRUDENTIAL FINANCIAL PLANNING SERVICES	5685	WEST PALM BEACH, FL	03/11/1999 - 12/18/2003
B	PRUCO SECURITIES CORPORATION	5685	NEWARK, NJ	03/08/1999 - 12/18/2003
B	EQ FINANCIAL CONSULTANTS, INC.	6627	NEW YORK, NY	10/20/1980 - 02/22/1999

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	4
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 **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 Principal	Approved	03/24/2004
B	FINRA	General Securities Representative	Approved	03/24/2004
B	FINRA	Municipal Fund	Approved	03/24/2004
B	Arizona	Agent	Approved	03/23/2020
B	California	Agent	Approved	02/23/2011
B	Colorado	Agent	Approved	10/09/2023
B	Connecticut	Agent	Approved	03/11/2005
B	Florida	Agent	Approved	06/04/2004
IA	Florida	Investment Adviser Representative	Approved	09/17/2004
B	Georgia	Agent	Approved	11/15/2005
B	Illinois	Agent	Approved	02/23/2005
B	Louisiana	Agent	Approved	01/27/2026
B	Maryland	Agent	Approved	06/22/2006



Qualifications

Regulator	Registration	Status	Date
B Michigan	Agent	Approved	03/24/2026
B Montana	Agent	Approved	04/05/2018
B New Jersey	Agent	Approved	04/25/2006
B New York	Agent	Approved	04/06/2005
B North Carolina	Agent	Approved	03/30/2004
IA North Carolina	Investment Adviser Representative	Approved	12/05/2023
B Ohio	Agent	Approved	03/12/2019
B Pennsylvania	Agent	Approved	09/17/2004
B Puerto Rico	Agent	Approved	02/05/2025
B South Carolina	Agent	Approved	03/30/2005
B Texas	Agent	Approved	10/16/2018
IA Texas	Investment Adviser Representative	Restricted Approval	09/05/2024
B Virginia	Agent	Approved	08/19/2024

Branch Office Locations

OSAIC WEALTH, INC.
 5421 UNIVERSITY DRIVE
 SUITE 101
 CORAL SPRINGS, FL 33067





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 2 principal/supervisory exams, 4 general industry/product exams, and 2 state securities law exams.



Principal/Supervisory Exams

	Exam	Category	Date
	Municipal Fund Securities Principal Examination (S51)	Series 51	08/05/2003
	General Securities Principal Examination (S24)	Series 24	03/01/1990

General Industry/Product Exams

	Exam	Category	Date
	Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
	General Securities Representative Examination (S7)	Series 7	09/30/1999
	Corporate Securities Limited Representative Examination (S62)	Series 62	05/16/1991
	Registered Representative Examination (S1)	Series 1	04/21/1975

State Securities Law Exams

	Exam	Category	Date
	Uniform Investment Adviser Law Examination (S65)	Series 65	05/07/1999
	Uniform Securities Agent State Law Examination (S63)	Series 63	03/27/1984

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	03/11/1999 - 12/18/2003	PRUDENTIAL FINANCIAL PLANNING SERVICES	CRD# 5685	WEST PALM BEACH, FL
B	03/08/1999 - 12/18/2003	PRUCO SECURITIES CORPORATION	CRD# 5685	NEWARK, NJ
B	10/20/1980 - 02/22/1999	EQ FINANCIAL CONSULTANTS, INC.	CRD# 6627	NEW YORK, NY
B	05/01/1975 - 02/22/1999	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
03/2004 - Present	OSAIC WEALTH, INC.	REGISTERED REP.	Y	BOCA RATON, FL, United States
11/1999 - Present	RMF FINANCIAL, INC	PRESIDENT	Y	CORAL SPRINGS, FL, 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. URBAN LEAGUE

POSITION: Board Member - NATURE: Non-Profit - Corporation INVESTMENT RELATED: No NUMBER OF HOURS: 1
SECURITIES TRADING HOURS: 0 START DATE: 01/01/2000
ADDRESS: 1700 N Australian Ave, West Palm Beach FL 33407
DESCRIPTION: Member of the Board Attend meetings Vote on decisions regarding organization

2. RMF FINANCIAL

POSITION: President NATURE: Fixed life product sales INVESTMENT RELATED: No NUMBER OF HOURS: 15
SECURITIES TRADING HOURS: 15 START DATE: 03/02/2000
ADDRESS: 5421 University Dr, Suite 101, Coral Springs FL 33067, United States
DESCRIPTION: General agent for fixed life products only

3. PALM BEACH COUNTY SHERIFF'S OFFICE; POSITION: Volunteer NATURE: Non Profit INVESTMENT RELATED: No
NUMBER OF HOURS: 8 SECURITIES TRADING HOURS: 0 START DATE: 01/03/2017; ADDRESS: 2300 Jog Rd, West Palm FL 33411, United States; DESCRIPTION: Volunteers - assist detectives in monitoring sex offenders

4. RMFFINANCIAL

POSITION: President NATURE: Corporation INVESTMENT RELATED: Yes NUMBER OF HOURS: 0 SECURITIES TRADING



Registration & Employment History



OTHER BUSINESS ACTIVITIES

HOURS: 0 START DATE: 08/15/2020

ADDRESS: 5421 University Drive, Suite 101, Coral Springs FL 33067, United States

DESCRIPTION: Notary - Used once

5. FIRST FINANCIAL RESORUCES

POSITION: Member of IMO & LLC NATURE: Fixed Life Insurance only INVESTMENT RELATED: Yes NUMBER OF HOURS: 80

SECURITIES TRADING HOURS: 80 START DATE: 12/01/2014

ADDRESS: 5421 University Dr, Suite 101, Coral Springs FL 33067, United States

DESCRIPTION: Sell fixed Life Insurance

6. SIMPLICITY GROUP

POSITION: Member NATURE: Fixed Life Insurance only INVESTMENT RELATED: Yes NUMBER OF HOURS: 80 SECURITIES

TRADING HOURS: 80 START DATE: 12/01/2014

ADDRESS: 5421 University Drive, Coral Springs FL 33067, United States

DESCRIPTION: Sell fixed Life Insurance

7. HOSPICE OF PAM BEACH COUNTY FOUNDATION

POSITION: Board member NATURE: Non profit corporation INVESTMENT RELATED: No NUMBER OF HOURS: 1 SECURITIES

TRADING HOURS: 0 START DATE: 09/01/2011

ADDRESS: 5300 East Avenue, West Palm Beach FL 33401, United States

DESCRIPTION: Attend board meetings

8. FLORIDA HIGHWAY PATROL ADVISORY COUNCIL

POSITION: Volunteer member NATURE: Volunteer Organization INVESTMENT RELATED: No NUMBER OF HOURS: 3

SECURITIES TRADING HOURS: 3 START DATE: 03/16/2026

ADDRESS: 2900 Apalachee Parkway, Tallahassee FL 32399, United States

DESCRIPTION: Helping support Florida Highway patrol troopers. Including fundraising opportunities for injured or disabled troopers.



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	4
Termination	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 4

Reporting Source:	Firm
Employing firm when activities occurred which led to the complaint:	EQUITABLE ADVISORS, LLC
Allegations:	Customer alleges RR misrepresented premiums required for VUL policy sold in 1999.
Product Type:	Insurance
Alleged Damages:	\$5,000.00
Alleged Damages Amount Explanation (if amount not exact):	Damages unspecified- estimated to be over \$5K
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:	04/16/2024
Complaint Pending?	No
Status:	Denied
Status Date:	05/29/2024



Settlement Amount:

Individual Contribution Amount:

Firm Statement The firm found no basis to the customer complaint on 5/29/2024.

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Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: EQUITABLE ADVISORS, LLC

Allegations: Per Equitable Advisors, LLC Filing, customer alleges RR misrepresented premiums required for VUL policy sold in 1999.

Product Type: Insurance

Alleged Damages: \$5,000.00

Alleged Damages Amount Explanation (if amount not exact): Per Equitable Advisors, LLC Filing, Damages unspecified-estimated to be over \$5K

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: 04/26/2024

Complaint Pending? No

Status: Denied

Status Date: 05/30/2024

Settlement Amount:

Individual Contribution Amount:

Disclosure 2 of 4

Reporting Source: Firm

Employing firm when activities occurred which led to the complaint: THE EQUITABLE LIFE ASSURANCE SOCIETY OF THE UNITED STATES

Allegations: Customer alleges misrepresentation by RR in the sale of his Variable Universal Life policy dated 12/31/1994. Customer alleges the premium was not properly disclosed in the sale of the policy.

Product Type: Insurance

Alleged Damages: \$0.00

Alleged Damages Amount Explanation (if amount not exact): Compensatory Damage Amount not identified.



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: 04/24/2023

Complaint Pending? No

Status: Denied

Status Date: 06/13/2023

Settlement Amount:

Individual Contribution Amount:

Firm Statement The firm found no basis to the customer complaint on 6/13/2023.

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: THE EQUITABLE LIFE ASSURANCE SOCIETY OF THE UNITED STATES

Allegations: As per Equitable Life Assurance Society's filing, customer alleges misrepresentation by RR in the sale of his Variable Universal Life policy dated 12/31/1994. Customer alleges the premium was not properly disclosed in the sale of the policy.

Product Type: Insurance

Alleged Damages: \$0.00

Alleged Damages Amount Explanation (if amount not exact): As per Equitable Life Assurance Society's filing, Compensatory Damage Amount not identified.

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: 05/05/2023

Complaint Pending? No

Status: Denied

Status Date: 06/13/2023

Settlement Amount:

Individual Contribution Amount:

Broker Statement As per Equitable Life Assurance Society's filing, the firm found no basis to the customer complaint on 06/13/2023.

**Disclosure 3 of 4**

Reporting Source: Firm

Employing firm when activities occurred which led to the complaint: EQUITABLE LIFE

Allegations: CLIENT ALLEGES MISREPRESENTATION RELATING TO PREMIUM PAYMENTS DURING THE PURCHASE OF VARIABLE LIFE INSURANCE POLICIES. DAMAGES ARE UNSPECIFIED.

Product Type: Insurance

Alleged Damages: \$0.00

Customer Complaint Information

Date Complaint Received: 06/30/1999

Complaint Pending? No

Status: Settled

Status Date: 09/02/1999

Settlement Amount: \$21,751.18

Individual Contribution Amount: \$0.00

Firm Statement EQUITABLE AGREED TO CANCEL THE POLICY FROM ISSUE AND REFUND PREMIUMS PAID IN THE AMOUNT OF \$21,751.18.

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Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: EQUITABLE LIFE

Allegations: CLIENT ALLEGES MISREPRESENTATION RELATING TO PREMIUM PAYMENTS DURING THE PURCHASE OF VARIABLE LIFE INSURANCE POLICIES. DAMAGES ARE UNSPECIFIED.

Product Type: Insurance

Alleged Damages: \$0.00

Customer Complaint Information

Date Complaint Received: 06/30/1999

Complaint Pending? No

Status: Settled

Status Date: 09/02/1999

Settlement Amount: \$21,751.18

Individual Contribution Amount: \$0.00

Broker Statement EQUITABLE AGREED TO CANCEL THE POLICY FROM ISSUE AND REFUND PREMIUMS PAID IN THE AMOUNT OF \$21,751.18.

**Disclosure 4 of 4**

Reporting Source: Firm

Employing firm when activities occurred which led to the complaint: EQUITABLE LIFE

Allegations: ALLEGED THAT I WAS THE MANAGER OF THE BOCA RATON, FLORIDA BRANCH OFFICE AND THAT I EITHER WAS PERSONALLY INVOLVED WITH THE CLAIMANT AT ALL TIMES SET FORTH OR THAT I HAD SUPERVISORY CONTROL OVER [BROKER], THE AGENT, WHOM CLAIMANT ALLEGES MADE UNSUITABLE RECOMMENDATIONS. DAMAGES WERE ALLEGED TO BE \$295,000.00. MR. FRIEDMAN WAS AN EQUITABLE LIFE AGENT.

Product Type:

Alleged Damages: \$295,000.00

Customer Complaint Information

Date Complaint Received:

Complaint Pending? No

Status: Arbitration/Reparation

Status Date: 03/11/1998

Settlement Amount:

Individual Contribution Amount:

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: NASD; 98-03246

Date Notice/Process Served: 09/15/1998

Arbitration Pending? No

Disposition: Settled

Disposition Date: 03/11/1999

Monetary Compensation Amount: \$50,000.00

Individual Contribution Amount: \$0.00

Firm Statement THE FIRM SETTLED THIS MATTER BY PAYING [CUSTOMER] \$50,000.00 IN FULL SETTLEMENT OF ALL CLAIMS AGAINST ALL DEFENDANTS. MR. FRIEDMAN CONTRIBUTED NOTHING TO THE SETTLEMENT.
NOT PROVIDED

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Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: EQUITABLE LIFE



Allegations: IT IS ALLEGED THAT I WAS THE BRANCH MANAGER OF THE BOCA RATON, FLORIDA BRANCH OFFICE AND THAT I EITHER WAS PERSONALLY INVOLVED WITH THE CLAIMANT, [CUSTOMER], AT ALL TIMES SET FORTH IN THE ARBITRATION DOCUMENTS OR THAT I HAD SUPERVISORY CONTROL OVER [THIRD PARTY], THE AGENT, WHOM CLAIMANT ALLEGES MADE UNSUITABLE RECOMMENDATIONS DURING THE TIMES SET FORTH. DAMAGES ARE ALLEGED TO BE \$295,000. I AM AN AGENT OF EQUITABLE LIFE.

Product Type: Investment Contract(s)

Alleged Damages: \$295,000.00

Customer Complaint Information

Date Complaint Received: 09/15/1998

Complaint Pending? No

Status: Arbitration/Reparation

Status Date: 03/11/1998

Settlement Amount:

Individual Contribution Amount:

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: NASD; 98-03246

Date Notice/Process Served: 09/15/1998

Arbitration Pending? No

Disposition: Settled

Disposition Date: 03/11/1999

Monetary Compensation Amount: \$50,000.00

Individual Contribution Amount: \$0.00

Broker Statement THE FIRM SETTLED THIS MATTER BY PAYING [CUSTOMER] \$50,000 IN FULL SETTLEMENT OF ALL CLAIMS AGAINST ALL DEFENDANTS. MR. FRIEDMAN CONTRIBUTED NOTHING TO THE SETTLEMENT.



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: PRUCO SECURITIES, LLC
Termination Type: Discharged
Termination Date: 11/19/2003
Allegations: THERE WERE A NUMBER OF COMPLIANCE AND CONTROL ISSUES IN AN AGENCY FRIEDMAN MANAGED. ALLEGATIONS CONFIRMED
Product Type: No Product
Other Product Types:

Reporting Source: Individual
Firm Name: PRUCO SECURITIES, LLC.
Termination Type: Discharged
Termination Date: 12/04/2003
Allegations: TERMINATION FOLLOWED INTERNAL REVIEW OF AGENCY HE MANAGED. REVIEW DISCLOSED A NUMBER OF COMPLIANCE AND CONTROL ISSUES.
Product Type: No Product
Other Product Types:



End of Report

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