



IAPD Report

WILLIAM JOHN FRIESS

CRD# 814694

<u>Section Title</u>	<u>Page(s)</u>
Report Summary	1
Qualifications	2 - 6
Registration and Employment History	7 - 8
Disclosure Information	9



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

WILLIAM JOHN FRIESS (CRD# 814694)

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 **04/22/2026**.

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 **52** 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	WOODBURY FINANCIAL SERVICES, INC.	421	SAN DIEGO, CA	07/27/2005 - 01/19/2024
IA	WOODBURY FINANCIAL SERVICES, INC.	421	SAN DIEGO, CA	07/25/2005 - 01/19/2024
IA	MONY SECURITIES CORPORATION	4386	SAN DIEGO, CA	03/27/1998 - 05/10/2005

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
Regulatory Event	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 **52** 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	01/19/2024
B	FINRA	General Securities Representative	Approved	01/19/2024
B	Alabama	Agent	Approved	01/19/2024
B	Alaska	Agent	Approved	01/19/2024
B	Arizona	Agent	Approved	01/19/2024
B	Arkansas	Agent	Approved	01/19/2024
B	California	Agent	Approved	01/19/2024
IA	California	Investment Adviser Representative	Approved	01/19/2024
B	Colorado	Agent	Approved	01/19/2024
IA	Colorado	Investment Adviser Representative	Approved	05/13/2024
B	Connecticut	Agent	Approved	01/19/2024
B	Delaware	Agent	Approved	01/19/2024
B	District of Columbia	Agent	Approved	01/19/2024



Qualifications

Regulator	Registration	Status	Date
B Florida	Agent	Approved	01/19/2024
B Georgia	Agent	Approved	01/19/2024
B Hawaii	Agent	Approved	01/19/2024
B Idaho	Agent	Approved	01/19/2024
B Illinois	Agent	Approved	01/19/2024
B Indiana	Agent	Approved	01/19/2024
B Iowa	Agent	Approved	01/19/2024
B Kansas	Agent	Approved	01/19/2024
B Kentucky	Agent	Approved	01/19/2024
B Louisiana	Agent	Approved	01/19/2024
B Maine	Agent	Approved	01/19/2024
B Maryland	Agent	Approved	01/19/2024
B Massachusetts	Agent	Approved	01/19/2024
B Michigan	Agent	Approved	01/19/2024
B Minnesota	Agent	Approved	01/19/2024
B Mississippi	Agent	Approved	01/19/2024
B Missouri	Agent	Approved	01/19/2024
B Montana	Agent	Approved	01/19/2024
B Nebraska	Agent	Approved	01/19/2024



Qualifications

Regulator	Registration	Status	Date
B Nevada	Agent	Approved	01/19/2024
B New Hampshire	Agent	Approved	01/19/2024
B New Jersey	Agent	Approved	01/19/2024
B New Mexico	Agent	Approved	01/19/2024
B New York	Agent	Approved	01/19/2024
B North Carolina	Agent	Approved	01/19/2024
B North Dakota	Agent	Approved	01/19/2024
B Ohio	Agent	Approved	01/19/2024
B Oklahoma	Agent	Approved	01/19/2024
B Oregon	Agent	Approved	01/19/2024
B Pennsylvania	Agent	Approved	01/19/2024
B Rhode Island	Agent	Approved	01/19/2024
B South Carolina	Agent	Approved	01/19/2024
B South Dakota	Agent	Approved	01/19/2024
B Tennessee	Agent	Approved	01/19/2024
B Texas	Agent	Approved	01/19/2024
IA Texas	Investment Adviser Representative	Restricted Approval	05/13/2024
B Utah	Agent	Approved	01/19/2024



Qualifications

Regulator	Registration	Status	Date
B Vermont	Agent	Approved	01/19/2024
B Virgin Islands	Agent	Approved	01/19/2024
B Virginia	Agent	Approved	01/19/2024
B Washington	Agent	Approved	01/19/2024
B West Virginia	Agent	Approved	01/19/2024
B Wisconsin	Agent	Approved	01/19/2024
B Wyoming	Agent	Approved	01/19/2024

Branch Office Locations

OSAIC WEALTH, INC.
SAN DIEGO, 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, 3 general industry/product exams, and 1 state securities law exam.

Principal/Supervisory Exams

	Exam	Category	Date
	General Securities Principal Examination (S24)	Series 24	11/05/1996

General Industry/Product Exams

	Exam	Category	Date
	Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
	General Securities Representative Examination (S7)	Series 7	11/16/1985
	Registered Representative Examination (S1)	Series 1	11/04/1975

State Securities Law Exams

	Exam	Category	Date
	Uniform Combined State Law Examination (S66)	Series 66	04/28/2006

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
B	07/27/2005 - 01/19/2024	WOODBURY FINANCIAL SERVICES, INC.	CRD# 421	SAN DIEGO, CA
IA	07/25/2005 - 01/19/2024	WOODBURY FINANCIAL SERVICES, INC.	CRD# 421	SAN DIEGO, CA
IA	03/27/1998 - 05/10/2005	MONY SECURITIES CORPORATION	CRD# 4386	SAN DIEGO, CA
B	08/06/1990 - 05/10/2005	MONY SECURITIES CORPORATION	CRD# 4386	NEW YORK, NY
B	09/17/2001 - 12/02/2003	TRUSTED SECURITIES ADVISORS CORP.	CRD# 24049	NEW YORK, NY
B	08/06/1990 - 10/15/1990	THE MUTUAL LIFE INSURANCE COMPANY OF NEW YORK	CRD# 2873	NEW YORK, NY
B	02/06/1986 - 05/21/1990	MUTUAL SERVICE CORPORATION	CRD# 4806	BOSTON, MA
B	06/29/1983 - 06/23/1986	PACIFIC MUTUAL DISTRIBUTORS, INC.	CRD# 4452	
B	08/20/1976 - 07/10/1981	PACIFIC EQUITY SALES COMPANY	CRD# 4452	
B	11/10/1975 - 01/11/1976	SUNCAN EQUITY SERVICES COMPANY	CRD# 5496	

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	SAN DIEGO, CA, United States
07/2005 - 01/2024	WOODBURY FINANCIAL SERVICES, INC	REGIONAL SALES DIRECTOR	Y	WOODBURY, MN, 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. FRIESS CONSULTING GROUP, 17659 ALVA ROAD, SAN DIEGO, CA 92127; COACHING FINANCIAL SERVICES PROFESSIONALS; INV RELATED; STARTED 01/01/2005; 5 HRS/MTH WITH 5 DURING TRADING HRS; SALES AND



Registration & Employment History

OTHER BUSINESS ACTIVITIES

PRACTICE MANAGEMENT COACHING, FIXED LIFE SETTLEMENTS AS OF 10/30/09.

2. Osaic Inc. INV RELATED; 17659 Alva Road San Diego CA 92127, BROKER DEALER; Regional Vice President; 07/05/2005; 40HR/MON; 0HR/MON; SALES

3. FRIESS CONSULTING GROUP

POSITION: OWNER NATURE: SOLE PROPRIETORSHIP INVESTMENT RELATED: NO NUMBER OF HOURS: 4

INVESTMENT RELATED HOURS: 4 START DATE: 03/27/2014

ADDRESS: 17659 ALVA ROAD, SAN DIEGO CA 92127

DESCRIPTION: FIXED INSURANCE PRODUCTS SALES AND FINANCIAL PROFESSIONALS COACHING

4. FRIESS CONSULTING GROUP

POSITION: Owner NATURE: Sole Proprietorship INVESTMENT RELATED: No NUMBER OF HOURS: 4 SECURITIES TRADING

HOURS: 4 START DATE: 03/27/2014; ADDRESS: 17659 Alva Road, San Diego CA 92127, United States

DESCRIPTION: Fixed Insurance products sales, commission and over-rides

5. FRIESS CONSULTING GROUP

POSITION: Owner NATURE: Sole Proprietorship INVESTMENT RELATED: No NUMBER OF HOURS: 4 SECURITIES TRADING

HOURS: 4 START DATE: 03/27/2014

ADDRESS: 17659 Alva Road, San Diego CA 92127, United States

DESCRIPTION: Fixed life, property and casualty products sales, commission and over-rides

6. JANYCE TRITCH TRUST

POSITION: succesor trustee at death NATURE: Janyce Tritch Trust INVESTMENT RELATED: Yes NUMBER OF HOURS: 1

SECURITIES TRADING HOURS: 1 START DATE: 07/31/2022

ADDRESS: 17659 Alva Road, San Diego CA 92127, United States

DESCRIPTION: Janyce Tritch is my wife's sister. Upon her death I am named as her successor trustee.

7. WILLIAM FRIESS

POSITION: owner NATURE: Sole Proprietorship INVESTMENT RELATED: No NUMBER OF HOURS: 1 SECURITIES TRADING

HOURS: 0 START DATE: 08/15/2022

ADDRESS: 17659 alva road, san diego CA 92127, United States

DESCRIPTION: Property owner of a single- family residence. I currently lease the home to and use a property manager.



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
Regulatory Event	1

Regulatory Event

This disclosure event may include a final, formal proceeding initiated by a regulatory authority (e.g., a state securities agency, a federal regulator such as the Securities and Exchange Commission or the Commodities Futures Trading Commission, or a foreign financial regulatory body) for a violation of investment-related rules or regulations. This disclosure event may also include a revocation or suspension of an Investment Adviser Representative's authority to act as an attorney, accountant or federal contractor.

Disclosure 1 of 1

Reporting Source: Regulator

Regulatory Action Initiated By: NATIONAL ASSOCIATION OF SECURITIES DEALERS, INC.

Sanction(s) Sought:

Other Sanction(s) Sought:

Date Initiated: 10/14/2002

Docket/Case Number: C02020053

Employing firm when activity occurred which led to the regulatory action:

Product Type: No Product

Other Product Type(s):

Allegations: NASD RULES 2110 AND 3010 - WITHOUT ADMITTING OR DENYING THE ALLEGATIONS, RESPONDENT CONSENTED TO THE ENTRY OF FINDINGS THAT HE FAILED TO SUPERVISE AN INDIVIDUAL IN A MANNER THAT WAS REASONABLY DESIGNED TO ACHIEVE HIS COMPLIANCE WITH CERTAIN NASD AND SEC RULES.

Current Status: Final

Resolution: Acceptance, Waiver & Consent(AWC)

Resolution Date: 10/14/2002

Sanctions Ordered: Monetary/Fine \$5,000.00
Suspension

Other Sanctions Ordered:



Sanction Details: SUSPENSION FROM ASSOCIATION WITH ANY NASD MEMBER IN ANY PRINCIPAL CAPACITY FOR 15 BUSINESS DAYS. SUSPENSION EFFECTIVE AT THE OPENING OF BUSINESS ON DECEMBER 2, 2002 AND WILL CONCLUDE AT THE CLOSE OF BUSINESS ON DECEMBER 20, 2002.

Reporting Source: Individual

Regulatory Action Initiated By: NATIONAL ASSOCIATION OF SECURITIES DEALERS, INC.

Sanction(s) Sought: Suspension

Other Sanction(s) Sought: MONETARY FINE OF \$5,000.00

Date Initiated: 08/27/2002

Docket/Case Number: C02020053

Employing firm when activity occurred which led to the regulatory action: MONY SECURITIES CORPORATION

Product Type: No Product

Other Product Type(s):

Allegations: WITHOUT ADMITTING OR DENYING THE ALLEGATIONS, RESPONDENT CONSENTED TO THE ENTRY OF FINDINGS THAT HE FAILED TO SUPERVISE AN INDIVIDUAL IN A MANNER THAT WAS REASONABLY DESIGNED TO ACHIEVE HIS COMPLIANCE WITH CERTAIN NASD AND SEC RULES.

Current Status: Final

Resolution: Acceptance, Waiver & Consent(AWC)

Resolution Date: 10/14/2002

Sanctions Ordered: Monetary/Fine \$5,000.00
Suspension

Other Sanctions Ordered:

Sanction Details: SUSPENSION FROM ASSOCIATING WITH ANY NASD MEMBER IN ANY PRINCIPAL CAPACITY FOR A PERIOD OF 15 BUSINESS DAYS COMMENCING WITH THE OPENING OF BUSINESS ON 12/02/2002 AND CONCLUDING AT THE CLOSE OF BUSINESS ON 12/20/2002.



End of Report

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