IAPD Report

DEBORAH SUE JACKSON

CRD# 878495

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

DEBORAH SUE JACKSON (CRD# 878495)

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 **06/10/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	OSAIC WEALTH, INC.	CRD# 23131	11/28/2016
IA	OSAIC WEALTH, INC.	CRD# 23131	12/05/2016

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **28** 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	INDEPENDENT WEALTH NETWORK, INC.	286262	URBANDALE, IA	10/01/2019 - 10/01/2019
IA	INVESTMENT ADVISORS CORP	117531	WEST DES MOINES, IA	12/03/1999 - 04/28/2016
B	BROKER DEALER FINANCIAL SERVICES CORP.	8073	WEST DES MOINES, IA	02/26/1997 - 04/28/2016

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
Termination	2
Judgment/Lien	2

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 **28** 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	11/28/2016
B	FINRA	General Securities Representative	Approved	11/28/2016
B	FINRA	Investment Banking Representative	Approved	11/28/2016
B	FINRA	Municipal Securities Principal	Approved	11/28/2016
B	FINRA	Municipal Securities Representative	Approved	11/28/2016
B	FINRA	Operations Professional	Approved	11/28/2016
B	FINRA	Registered Options Principal	Approved	11/28/2016
B	FINRA	Securities Trader	Approved	11/28/2016
B	FINRA	Investment Banking Principal	Approved	10/01/2018
B	Alabama	Agent	Approved	12/01/2017
B	Alaska	Agent	Approved	11/05/2018
B	Arizona	Agent	Approved	05/12/2017
B	Arkansas	Agent	Approved	06/14/2017

Qualifications

	Regulator	Registration	Status	Date
B	California	Agent	Approved	05/05/2017
B	Colorado	Agent	Approved	06/29/2017
B	Florida	Agent	Approved	12/05/2016
IA	Florida	Investment Adviser Representative	Approved	02/13/2026
B	Georgia	Agent	Approved	05/15/2017
B	Illinois	Agent	Approved	10/27/2017
IA	Illinois	Investment Adviser Representative	Approved	06/06/2024
B	Indiana	Agent	Approved	05/30/2017
B	Iowa	Agent	Approved	11/29/2016
IA	Iowa	Investment Adviser Representative	Approved	12/05/2016
B	Kansas	Agent	Approved	12/06/2016
B	Louisiana	Agent	Approved	07/13/2017
B	Michigan	Agent	Approved	06/02/2017
B	Minnesota	Agent	Approved	03/29/2017
B	Missouri	Agent	Approved	12/20/2016
B	Nebraska	Agent	Approved	03/14/2017
B	New Jersey	Agent	Approved	04/24/2017
B	New Mexico	Agent	Approved	11/05/2018
B	New York	Agent	Approved	06/29/2021

Qualifications

	Regulator	Registration	Status	Date
B	Ohio	Agent	Approved	11/29/2016
B	Oregon	Agent	Approved	04/25/2017
B	Pennsylvania	Agent	Approved	11/30/2016
B	South Carolina	Agent	Approved	11/05/2018
B	Texas	Agent	Approved	06/29/2017
B	Virginia	Agent	Approved	05/12/2017
B	Washington	Agent	Approved	06/30/2017
B	Wyoming	Agent	Approved	04/15/2026

Branch Office Locations

OSAIC WEALTH, INC.
WEST DES MOINES, IA

OSAIC WEALTH, INC.
100 N 2ND AVENUE W
NEWTON, IA 50208

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 4 principal/supervisory exams, 7 general industry/product exams, and 2 state securities law exams.

Principal/Supervisory Exams

	Exam	Category	Date
B	Municipal Securities Principal Examination (S53)	Series 53	02/21/1996
B	Registered Options Principal Examination (S4)	Series 4	03/29/1995
B	General Securities Principal Examination (S24)	Series 24	11/05/1993
B	Financial and Operations Principal Examination (S27)	Series 27	10/19/1985

General Industry/Product Exams

	Exam	Category	Date
B	Securities Trader Exam (S57TO)	Series 57TO	01/02/2023
B	Operations Professional Examination (S99TO)	Series 99TO	01/02/2023
B	Investment Banking Registered Representative Examination (S79TO)	Series 79TO	01/02/2023
B	Municipal Securities Representative Examination (S52TO)	Series 52TO	01/02/2023
B	Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
B	Limited Representative-Equity Trader Exam (S55)	Series 55	12/01/1998
B	General Securities Representative Examination (S7)	Series 7	02/10/1992

Qualifications

PASSED INDUSTRY EXAMS

State Securities Law Exams

	Exam	Category	Date
IA	Uniform Investment Adviser Law Examination (S65)	Series 65	03/25/1998
B	Uniform Securities Agent State Law Examination (S63)	Series 63	04/24/1992

PROFESSIONAL DESIGNATIONS

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

No information reported.

Only professional designations listed in Question 8 of the Form U4 will appear in this section if the appropriate box is checked and verified by the issuing organization at the time of the filing. Learn more about eligible designations at IARD and NASAA.

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	10/01/2019 - 10/01/2019	INDEPENDENT WEALTH NETWORK, INC.	CRD# 286262	URBANDALE, IA
IA	12/03/1999 - 04/28/2016	INVESTMENT ADVISORS CORP	CRD# 117531	WEST DES MOINES, IA
B	02/26/1997 - 04/28/2016	BROKER DEALER FINANCIAL SERVICES CORP.	CRD# 8073	WEST DES MOINES, IA
IA	12/03/1999 - 12/31/2002	INVESTMENT ADVISORS CORP	CRD# 117531	JOHNSTON, IA
B	02/12/1992 - 02/25/1997	DICKINSON & CO.	CRD# 689	DES MOINES, IA
B	12/24/1979 - 08/20/1986	WALFORD, DEMARET & CO., INC.	CRD# 7985	
B	08/27/1985 - 01/14/1986	J. W. GANT & ASSOCIATES, INC.	CRD# 7963	

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
11/2016 - Present	ROYAL ALLIANCE ASSOCIATES	RR/IAR	Y	WEST DES MOINES, IA, United States
04/2016 - 10/2016	Unemployed	NOT PROVIDED	N	WEST DES MOINES, IA, 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) RA FINANCIAL CONSULTANTS, LLC
POSITION: Financial Adviser NATURE: LLC INVESTMENT RELATED: Yes NUMBER OF HOURS: 80 SECURITIES TRADING HOURS: 80 START DATE: 05/26/1999
ADDRESS: 917 39th Street, West Des Moines IA 50265, United States
DESCRIPTION: Marketing name for Royal Alliance Associates, LLC.
Occasional fixed insurance product sales.
Last approved by Compliance 12/21/2018.

2) LUTHERAN WOMEN MISSION LEAGUE

Registration & Employment History

OTHER BUSINESS ACTIVITIES

POSITION: Vice-President NATURE: Volunteer Lutheran Women's Mission Committee where we direct missionary funds of approximately $3000/year. Do fundraisers for the church and manage funeral planning for members or their families.
INVESTMENT RELATED: No NUMBER OF HOURS: 4 SECURITIES TRADING HOURS: 0 START DATE: 01/02/2024
ADDRESS: 3900 Ashworth Road, West Des Moines IA 50265, United States
DESCRIPTION: Run Board meetings in the absence of the President (approximately 2x per year). Organize and coordinate funeral services and luncheon for members. Help plan and staff fundraisers. Do not touch cash. All handled by Treasurer.

3) LUTHERAN WOMEN MISSION LEAGUE
POSITION: President NATURE: Volunteer Lutheran Women's Mission Committee where we direct missionary funds of approximately $3000/year.Do fundraisers for the church and manage funeral planning for members or their families.
INVESTMENT RELATED: No NUMBER OF HOURS: 5 SECURITIES TRADING HOURS: 0 START DATE: 09/01/2025
ADDRESS: 3900 Ashworth Road, West Des Moines IA 50265, United States
DESCRIPTION: Run Board Meetings and General Meetings each occurring once a month except during summer. Organize and coordinate funeral services and luncheon for family members. Help plan and staff fundraisers. Do not touch cash as is all handled by the Treasurer.

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
Termination	2
Judgment/Lien	2

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 2

Reporting Source:	Firm
Firm Name:	IAC
Termination Type:	Permitted to Resign
Termination Date:	03/30/2016
Allegations:	Ms. Jackson was permitted to resign after an allegation she failed to detect irregularity in an account that occurred over a number of years (which is under FINRA review, having been self-reported).
Product Type:	Other: NO PRODUCT

Reporting Source:	Individual
Firm Name:	INVESTMENT ADVISORS CORP
Termination Type:	Permitted to Resign
Termination Date:	03/30/2016
Allegations:	MS. JACKSON WAS PERMITTED TO RESIGN AFTER AN ALLEGATION SHE FAILED TO DETECT IRREGULARITY IN AN ACCOUNT THAT OCCURRED OVER A NUMBER OF YEARS (WHICH IS UNDER FINRA REVIEW, HAVING BEEN SELF-REPORTED).
Product Type:	Other: NO PRODUCT

Disclosure 2 of 2

Reporting Source:	Firm
Firm Name:	BDFS

Termination Type:	Permitted to Resign
Termination Date:	03/30/2016
Allegations:	Ms. Jackson was permitted to resign after an allegation she failed to detect irregularity in an account that occurred over a number of years (which is under FINRA review, having been self-reported).
Product Type:	Other: NO PRODUCT

Reporting Source:	Individual
Firm Name:	Broker Dealer Financial Services Corp
Termination Type:	Permitted to Resign
Termination Date:	03/30/2016
Allegations:	MS. Jackson was permitted to resign after an allegation she failed to detect irregularity in an account that occurred over a number of years (which is under FINRA review, having been self-reported).
Product Type:	No Product
Broker Statement	Cause Exam # 20160490188 was closed due to no findings on October 4, 2016.

Judgment/Lien

This disclosure event involves an unsatisfied and outstanding judgment or lien against the Investment Adviser Representative.

Disclosure 1 of 2

Reporting Source:	Individual
Judgment/Lien Holder:	Internal Revenue Service
Judgment/Lien Amount:	$123,372.65
Judgment/Lien Type:	Tax
Date Filed with Court:	01/29/2026
Date Individual Learned:	02/13/2026
Type of Court:	State Court
Name of Court:	Polk Courthouse
Location of Court:	Des Moines, IA
Docket/Case #:	532323026
Judgment/Lien Outstanding?	Yes

Disclosure 2 of 2

Reporting Source:	Individual
Judgment/Lien Holder:	State of Iowa
Judgment/Lien Amount:	$33,867.87
Judgment/Lien Type:	Tax
Date Filed with Court:	04/01/2024
Date Individual Learned:	04/10/2024
Type of Court:	State Court
Name of Court:	State of Iowa, Polk County
Location of Court:	State of Iowa Polk County
Docket/Case #:	18311
Judgment/Lien Outstanding?	Yes
Broker Statement	I had [REDACTED] for 3 years 2018-2020 and initially no medical insurance. Working with tax agency to prevent and reconcile.

End of Report

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