BrokerCheck Report

OMNI FINANCIAL SECURITIES, INC.

CRD# 29320

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.

About BrokerCheck®

BrokerCheck offers information on all current, and many former, registered securities brokers, and all current and former registered securities firms. FINRA strongly encourages investors to use BrokerCheck to check the background of securities brokers and brokerage firms before deciding to conduct, or continue to conduct, business with them.

- **What is included in a BrokerCheck report?**
- BrokerCheck reports for individual brokers include information such as employment history, professional qualifications, disciplinary actions, criminal convictions, civil judgments and arbitration awards. BrokerCheck reports for brokerage firms include information on a firm's profile, history, and operations, as well as many of the same disclosure events mentioned above.
- Please note that the information contained in a BrokerCheck 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 broker or brokerage firm, or concluded through a negotiated settlement with no admission or finding of wrongdoing.
- **Where did this information come from?**
- The information contained in BrokerCheck comes from FINRA's Central Registration Depository, or CRD® and is a combination of:
  - information FINRA and/or the Securities and Exchange Commission (SEC) require brokers and brokerage firms to submit as part of the registration and licensing process, and
  - information that regulators report regarding disciplinary actions or allegations against firms or brokers.
- **How current is this information?**
- Generally, active brokerage firms and brokers are required to update their professional and disciplinary information in CRD within 30 days. Under most circumstances, information reported by brokerage firms, brokers and regulators is available in BrokerCheck the next business day.
- **What if I want to check the background of an investment adviser firm or investment adviser representative?**
- To check the background of an investment adviser firm or representative, you can search for the firm or individual in BrokerCheck. If your search is successful, click on the link provided to view the available licensing and registration information in the SEC's Investment Adviser Public Disclosure (IAPD) website at https://www.adviserinfo.sec.gov. In the alternative, you may search the IAPD website directly or contact your state securities regulator at http://www.finra.org/Investors/ToolsCalculators/BrokerCheck/P455414.
- **Are there other resources I can use to check the background of investment professionals?**
- FINRA recommends that you learn as much as possible about an investment professional before deciding to work with them. Your state securities regulator can help you research brokers and investment adviser representatives doing business in your state.
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Thank you for using FINRA BrokerCheck.

Using this site/information means that you accept the FINRA BrokerCheck Terms and Conditions. A complete list of Terms and Conditions can be found at

brokercheck.finra.org

For additional information about the contents of this report, please refer to the User Guidance or www.finra.org/brokercheck. It provides a glossary of terms and a list of frequently asked questions, as well as additional resources. For more information about FINRA, visit www.finra.org.

OMNI FINANCIAL SECURITIES, INC.

CRD# 29320

SEC# 8-44034

Main Office Location

1900 POLARIS PARKWAY, SUITE 450
COLUMBUS, OH 43240
Regulated by FINRA Chicago Office

Mailing Address

1900 POLARIS PARKWAY, SUITE 450
COLUMBUS, OH 43240

Business Telephone Number

614-438-5300

Report Summary for this Firm

This report summary provides an overview of the brokerage firm. Additional information for this firm can be found in the detailed report.

Firm Profile

This firm is classified as a corporation.

This firm was formed in Ohio on 07/08/1991.

Its fiscal year ends in December.

Firm History

Information relating to the brokerage firm's history such as other business names and successions (e.g., mergers, acquisitions) can be found in the detailed report.

Firm Operations

This firm is registered with:

- the SEC
- 1 Self-Regulatory Organization
- 12 U.S. states and territories

Is this brokerage firm currently suspended with any regulator? **No**

This firm conducts 4 types of businesses.

This firm is affiliated with financial or investment institutions.

This firm does not have referral or financial arrangements with other brokers or dealers.

Disclosure Events

Brokerage firms are required to disclose certain criminal matters, regulatory actions, civil judicial proceedings and financial matters in which the firm or one of its control affiliates has been involved.

Are there events disclosed about this firm? **Yes**

The following types of disclosures have been reported:

Type	Count
Regulatory Event	1

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Firm Profile

This firm is classified as a corporation.

This firm was formed in Ohio on 07/08/1991.

Its fiscal year ends in December.

Firm Names and Locations

This section provides the brokerage firm's full legal name, "Doing Business As" name, business and mailing addresses, telephone number, and any alternate name by which the firm conducts business and where such name is used.

OMNI FINANCIAL SECURITIES, INC.

Doing business as OMNI FINANCIAL SECURITIES, INC.

CRD# 29320

SEC# 8-44034

Main Office Location

1900 POLARIS PARKWAY, SUITE 450
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Firm Profile

This section provides information relating to all direct owners and executive officers of the brokerage firm.

Direct Owners and Executive Officers

Legal Name & CRD# (if any):	CENTERPOINT STEWARDSHIP, INC.
Is this a domestic or foreign entity or an individual?	Domestic Entity
Position	PARENT COMPANY
Position Start Date	04/2008
Percentage of Ownership	75% or more
Does this owner direct the management or policies of the firm?	Yes
Is this a public reporting company?	No

Legal Name & CRD# (if any):	MILLIKEN, RICHARD RYAN 3217681
Is this a domestic or foreign entity or an individual?	Individual
Position	VP OPERATIONS, 2ND PRINCIPAL (LIMITED), CHIEF COMPLIANCE OFFICER
Position Start Date	11/2002
Percentage of Ownership	Less than 5%
Does this owner direct the management or policies of the firm?	Yes
Is this a public reporting company?	No

Legal Name & CRD# (if any):	OSTRANDER, ROBERT VAN RENSSELAER 731229
Is this a domestic or foreign entity or an individual?	Individual
Position	PRESIDENT, GENERAL PRINCIPAL
Position Start Date	06/1999

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Firm Profile

Direct Owners and Executive Officers (continued)

Percentage of Ownership	Less than 5%
Does this owner direct the management or policies of the firm?	Yes
Is this a public reporting company?	No

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Firm Profile

This section provides information relating to any indirect owners of the brokerage firm.

Indirect Owners

Legal Name & CRD# (if any):	OSTRANDER, ROBERT VAN RENSSELAER 731229
Is this a domestic or foreign entity or an individual?	Individual
Company through which indirect ownership is established	CENTERPOINT STEWARDSHIP, INC.
Relationship to Direct Owner	PRESIDENT
Relationship Established	01/2011
Percentage of Ownership	75% or more
Does this owner direct the management or policies of the firm?	Yes
Is this a public reporting company?	No

Legal Name & CRD# (if any):	MILLIKEN, RICHARD RYAN 3217681
Is this a domestic or foreign entity or an individual?	Individual
Company through which indirect ownership is established	CENTERPOINT STEWARDSHIP, INC.
Relationship to Direct Owner	OWNER
Relationship Established	01/2011
Percentage of Ownership	Other General Partners
Does this owner direct the management or policies of the firm?	No
Is this a public reporting company?	No

Legal Name & CRD# (if any):	NEDD, TYUS

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Firm Profile

Indirect Owners (continued)

	6610392
Is this a domestic or foreign entity or an individual?	Individual
Company through which indirect ownership is established	CENTERPOINT STEWARDSHIP, INC.
Relationship to Direct Owner	OWNER
Relationship Established	01/2011
Percentage of Ownership	Other General Partners
Does this owner direct the management or policies of the firm?	No
Is this a public reporting company?	No

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Firm History

This section provides information relating to any successions (e.g., mergers, acquisitions) involving the firm.

No information reported.

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Firm Operations

Registrations

This section provides information about the regulators (Securities and Exchange Commission (SEC), self-regulatory organizations (SROs), and U.S. states and territories) with which the brokerage firm is currently registered and licensed, the date the license became effective, and certain information about the firm's SEC registration.

This firm is currently registered with the SEC, 1 SRO and 12 U.S. states and territories.

Federal Regulator	Status	Date Effective
SEC	Approved	10/16/1991

SEC Registration Questions

This firm is registered with the SEC as:

A broker-dealer: Yes

A broker-dealer and government securities broker or dealer: No

A government securities broker or dealer only: No

This firm has ceased activity as a government securities broker or dealer: No

Self-Regulatory Organization	Status	Date Effective
FINRA	Approved	01/03/1992

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Firm Operations

Registrations (continued)

U.S. States & Territories	Status	Date Effective
California	Approved	01/24/2013
Florida	Approved	05/10/2006
Georgia	Approved	06/17/2003
Illinois	Approved	10/25/2016
Indiana	Approved	05/17/1993
Michigan	Approved	09/19/2011
New Hampshire	Approved	08/03/2016
North Carolina	Approved	10/08/2020
Ohio	Approved	01/02/1992
Pennsylvania	Approved	01/28/2016
Texas	Approved	03/13/2014
Washington	Approved	05/21/2012

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Firm Operations

Types of Business

This section provides the types of business, including non-securities business, the brokerage firm is engaged in or expects to be engaged in.

This firm currently conducts 4 types of businesses.

Types of Business

Mutual fund retailer
Broker or dealer selling variable life insurance or annuities
Broker or dealer involved in a networking, kiosk or similar arrangment with a: insurance company or agency
Other - OMNI FINANCIAL SECURITIES IN CONJUNCTION WITH SWS RISK MANAGEMENT AGENCY, INC. SELLS VARIABLE INSURANCE PRODUCTS.

Other Types of Business

This firm does not effect transactions in commodities, commodity futures, or commodity options.
This firm does not engage in other non-securities business.

Non-Securities Business Description:

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Firm Operations

Clearing Arrangements

This firm does not hold or maintain funds or securities or provide clearing services for other broker-dealer(s).

Introducing Arrangements

This firm does not refer or introduce customers to other brokers and dealers.

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Firm Operations

Industry Arrangements

This firm does not have books or records maintained by a third party.

This firm does not have accounts, funds, or securities maintained by a third party.

This firm does not have customer accounts, funds, or securities maintained by a third party.

Control Persons/Financing

This firm does not have individuals who control its management or policies through agreement.

This firm does not have individuals who wholly or partly finance the firm's business.

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Firm Operations

Organization Affiliates

This section provides information on control relationships the firm has with other firms in the securities, investment advisory, or banking business.

This firm is, directly or indirectly:

- **in control of**
- **controlled by**
- **or under common control with**

the following partnerships, corporations, or other organizations engaged in the securities or investment advisory business.

SWS RISK MANAGEMENT AGENCY, INC. is under common control with the firm.

Business Address:	1900 POLARIS PKWY SUITE 450 COLUMBUS, OH 43240
Effective Date:	03/06/2013
Foreign Entity:	No
Country:	
Securities Activities:	No
Investment Advisory Activities:	No
Description:	THIS IS AN INSURANCE AGENCY THAT WE USE TO WRITE LIFE, DISABILITY, HEALTH AND LONG-TERM CARE INSURANCE POLICIES.

SWS ADVISORS, INC. is under common control with the firm.

CRD #:	120054
Business Address:	1900 POLARIS PARKWAY, SUITE 450 COLUMBUS, OH 43240
Effective Date:	08/01/1981
Foreign Entity:	No
Country:	
Securities Activities:	No
Investment Advisory Activities:	Yes
Description:	SWS ADVISORS, INC. AND OMNI FINANCIAL SECURITIES, INC. ARE WHOLLY OWNED SUBSIDIARIES OF CENTERPOINT STEWARDSHIP, INC.

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Firm Operations

Organization Affiliates (continued)

This firm is not directly or indirectly, controlled by the following:

- **bank holding company**
- **national bank**
- **state member bank of the Federal Reserve System**
- **state non-member bank**
- **savings bank or association**
- **credit union**
- **or foreign bank**

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Disclosure Events

All firms registered to sell securities or provide investment advice are required to disclose regulatory actions, criminal or civil judicial proceedings, and certain financial matters in which the firm or one of its control affiliates has been involved. For your convenience, below is a matrix of the number and status of disclosure events involving this brokerage firm or one of its control affiliates. Further information regarding these events can be found in the subsequent pages of this report.

	Pending	Final	On Appeal
Regulatory Event	0	1	0

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Disclosure Event Details

What you should know about reported disclosure events:

1. **BrokerCheck provides details for any disclosure event that was reported in CRD. It also includes summary information regarding FINRA arbitration awards in cases where the brokerage firm was named as a respondent.**
2. **Certain thresholds must be met before an event is reported to CRD, for example:**
   - A law enforcement agency must file formal charges before a brokerage firm is required to disclose a particular criminal event.
3. **Disclosure events in BrokerCheck reports come from different sources:**
   - Disclosure events for this brokerage firm were reported by the firm and/or regulators. When the firm and a regulator report information for the same event, both versions of the event will appear in the BrokerCheck report. The different versions will be separated by a solid line with the reporting source labeled.
4. **There are different statuses and dispositions for disclosure events:**
   - A disclosure event may have a status of *pending, on appeal,* or *final.*
     - A "pending" event involves allegations that have not been proven or formally adjudicated.
     - An event that is "on appeal" involves allegations that have been adjudicated but are currently being appealed.
     - A "final" event has been concluded and its resolution is not subject to change.
   - A final 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 involves an agreement by the parties to resolve the matter. Please note that firms may choose to settle customer disputes or regulatory matters for business or other reasons.
     - A "resolved" matter usually involves no payment to the customer and no finding of wrongdoing on the part of the individual broker. Such matters generally involve customer disputes.
5. **You may wish to contact the brokerage firm to obtain further information regarding any of the disclosure events contained in this BrokerCheck report.**

Regulatory - Final

This type of disclosure event involves (1) a final, formal proceeding initiated by a regulatory authority (e.g., a state securities agency, self-regulatory organization, federal regulator such as the U.S. Securities and Exchange Commission, foreign financial regulatory body) for a violation of investment-related rules or regulations; or (2) a revocation or suspension of the authority of a brokerage firm or its control affiliate to act as an attorney, accountant or federal contractor.

Disclosure 1 of 1

Reporting Source:	Regulator
Current Status:	Final

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Allegations:	
Initiated By:	NATIONAL ASSOCIATION OF SECURITIES DEALERS, INC.
Date Initiated:	05/05/1994
Docket/Case Number:	C8B940004
Principal Product Type:	
Other Product Type(s):	
Principal Sanction(s)/Relief Sought:	
Other Sanction(s)/Relief Sought:	
Resolution:	Consent
Resolution Date:	05/05/1994
Sanctions Ordered:	Censure Monetary/Fine $2,500.00
Other Sanctions Ordered:	
Sanction Details:	
Regulator Statement	ON MAY 5, 1994, DISTRICT NO. 8 NOTIFIED DIVERSIFIED CAPITAL MARKETS, INC. AND THOMAS LEO DOOLEY, III THAT THE LETTER OF ACCEPTANCE, WAIVER AND CONSENT NO. C8B940004 WAS ACCEPTED; THEREFORE, THEY ARE CENSURED AND FINED $2,500, JOINTLY AND SEVERALLY - (ARTICLE III, SECTION 1 OF THE RULES OF FAIR PRACTICE AND SECTION 15g OF THE EXCHANGE ACT - RESPONDENT MEMBER, ACTING THROUGH RESPONDENT DOOLEY, FAILED TO TIMELY PROVIDE RISK DISCLOSURE DOCUMENT PRIOR TO EFFECTING TRANSACTIONS IN CERTAIN SECURITIES IN CUSTOMER ACCOUNTS; FAILED TO DISCLOSE THE NUMBER OF SHARES FOR WHICH ITS BID AND ASK QUOTES WERE FIRM; FAILED TO DOCUMENT THAT REPRESENTATIVES OF THE FIRM HAD VERBALLY DISCLOSED QUOTES PRIOR TO TRANSACTIONS; FAILED TO DISCLOSE THE AGGREGATE COMPENSATION RECEIVED BY THE FIRM WHEN IT CONDUCTED PRINCIPAL TRANSACTIONS; FAILED TO DISCLOSE THE SALES PERSON'S COMPENSATION; AND, FAILED TO CONSPICUOUSLY INCLUDE, ON CUSTOMER ACCOUNT STATEMENTS, DISCLOSURES CONCERNING MARKET VALUE OF CERTAIN SECURITIES). ***$2,500 J&S PAID ON 10/4/94 INVOICE #94-8B-648***

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Reporting Source:	Firm
Current Status:	Final
Allegations:	FAILED TO PROVIDE RISK DISCLOSURE; FAILED TO DOCUMENT VERBALLY DISCLOSED QUOTES PRIOR TO TRANSACTIONS - NO ALLEGED DAMAGES OR CLAIMS.
Initiated By:	NATIONAL ASSOCIATION OF SECURITIES DEALERS
Date Initiated:	05/05/1994
Docket/Case Number:	C8B940004
Principal Product Type:	Equity - OTC
Other Product Type(s):	
Principal Sanction(s)/Relief Sought:	Censure
Other Sanction(s)/Relief Sought:	NONE
Resolution:	Acceptance, Waiver & Consent(AWC)
Resolution Date:	05/05/1994
Sanctions Ordered:	Censure Monetary/Fine $2,500.00
Other Sanctions Ordered:	
Sanction Details:	FINE OF $2,500.00 WAS LEVIED AGAINST APPLICANT THE FULL FINE WAS PAID ON MAY 5, 1994. NO PORTION WAS WAIVED.
Firm Statement	CASE CLOSED.

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End of Report

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