BrokerCheck Report

ROBERT GLENN WARREN

CRD# 1025032

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.

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.

ROBERT G. WARREN

CRD# 1025032

Currently employed by and registered with the following Firm(s):

B **OSAIC WEALTH, INC.**
7110 N Fresno Street
SUITE 120
FRESNO, CA 93720
CRD# 23131
Registered with this firm since: 11/02/2018

Report Summary for this Broker

This report summary provides an overview of the broker's professional background and conduct. Additional information can be found in the detailed report.

Broker Qualifications

This broker is registered with:

- 1 Self-Regulatory Organization
- 7 U.S. states and territories

This broker has passed:

- 1 Principal/Supervisory Exam
- 3 General Industry/Product Exams
- 1 State Securities Law Exam

Registration History

This broker was previously registered with the following securities firm(s):

B **SIGNATOR INVESTORS, INC.**
CRD# 468
FRESNO, CA
03/2017 - 11/2018

B **SAGEPOINT FINANCIAL, INC.**
CRD# 133763
FRESNO, CA
03/2014 - 03/2017

B **CENTAURUS FINANCIAL, INC.**
CRD# 30833
FRESNO, CA
11/2010 - 04/2014

Disclosure Events

All individuals registered to sell securities or provide investment advice are required to disclose customer complaints and arbitrations, regulatory actions, employment terminations, bankruptcy filings, and criminal or civil judicial proceedings.

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

The following types of disclosures have been reported:

Type	Count
Customer Dispute	3

Broker Qualifications

Registrations

This section provides the self-regulatory organizations (SROs) and U.S. states/territories the broker is currently registered and licensed with, the category of each license, and the date on which it became effective. This section also provides, for every brokerage firm with which the broker is currently employed, the address of each branch where the broker works.

This individual is currently registered with 1 SRO and is licensed in 7 U.S. states and territories through his or her employer.

Employment 1 of 1

Firm Name: **OSAIC WEALTH, INC.**

Main Office Address: **18700 N. HAYDEN ROAD**
SUITE 255
SCOTTSDALE, AZ 85255

Firm CRD#: **23131**

	SRO	Category	Status	Date
B	FINRA	Direct Participation Programs	Approved	11/02/2018
B	FINRA	Invest. Co and Variable Contracts	Approved	11/02/2018
B	FINRA	Investment Co./Variable Contracts Prin	Approved	11/02/2018

	U.S. State/ Territory	Category	Status	Date
B	Arizona	Agent	Approved	12/16/2019
B	California	Agent	Approved	11/02/2018
B	Nevada	Agent	Approved	11/21/2019
B	Oklahoma	Agent	Approved	08/21/2020
B	Tennessee	Agent	Approved	11/15/2021
B	Texas	Agent	Approved	11/03/2019
B	Utah	Agent	Approved	08/16/2022

Branch Office Locations

OSAIC WEALTH, INC.

Broker Qualifications

Employment 1 of 1, continued

7110 N Fresno Street
SUITE 120
FRESNO, CA 93720

Broker Qualifications

Industry Exams this Broker has Passed

This section includes all securities industry exams that the broker has passed. Under limited circumstances, a broker may attain a registration after receiving an exam waiver based on exams the broker has passed and/or qualifying work experience. Any exam waivers that the broker has received are not included below. A passed exam or exam waiver does not permit a broker to do business without an active SRO or state registration.

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
B	Investment Company Products/Variable Contracts Principal Examination	Series 26	10/30/2003

General Industry/Product Exams

	Exam	Category	Date
B	Securities Industry Essentials Examination	SIE	10/01/2018
B	Direct Participation Programs Representative Examination	Series 22	08/21/1987
B	Investment Company Products/Variable Contracts Representative Examination	Series 6	01/20/1982

State Securities Law Exams

	Exam	Category	Date
B	Uniform Securities Agent State Law Examination	Series 63	11/17/2005

Additional information about the above exams or other exams FINRA administers to brokers and other securities professionals can be found at www.finra.org/brokerqualifications/registeredrep/.

Broker Qualifications

Professional Designations

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

No information reported.

Registration and Employment History

Registration History

The broker previously was registered with the following firms:

	Registration Dates	Firm Name	CRD#	Branch Location
B	03/2017 - 11/2018	SIGNATOR INVESTORS, INC.	468	FRESNO, CA
B	03/2014 - 03/2017	SAGEPOINT FINANCIAL, INC.	133763	FRESNO, CA
B	11/2010 - 04/2014	CENTAURUS FINANCIAL, INC.	30833	FRESNO, CA
B	10/1999 - 11/2010	SUNSET FINANCIAL SERVICES, INC.	3538	FRESNO, CA
B	02/1999 - 10/1999	AMERITAS INVESTMENT CORP.	14869	LINCOLN, NE
B	06/1998 - 01/1999	MONY SECURITIES CORP.	4386	NEW YORK, NY
B	11/1996 - 07/1998	NYLIFE SECURITIES INC.	5167	NEW YORK, NY
B	05/1983 - 11/1996	JOHN HANCOCK DISTRIBUTORS, INC.	468	BOSTON, MA
B	05/1983 - 11/1996	JOHN HANCOCK MUTUAL LIFE INSURANCE COMPANY	5181	BOSTON, MA
B	01/1982 - 01/1983	THE EQUITABLE LIFE ASSURANCE SOCIETY OF THE UNITED STATES	4039	

Employment History

This section provides up to 10 years of an individual broker's employment history as reported by the individual broker on the most recently filed Form U4.

Please note that the broker is required to provide this information only while registered with FINRA or a national securities exchange and the information is not updated via Form U4 after the broker ceases to be registered. Therefore, an employment end date of "Present" may not reflect the broker's current employment status.

Employment	Employer Name	Position	Investment Related	Employer Location
11/2018 - Present	OSAIC WEALTH, INC.	REGISTERED REP	Y	FRESNO, CA, United States
03/2017 - 11/2018	SII	REG REP	Y	NASHVILLE, TN, United States
03/2014 - 03/2017	SAGEPOINT FINANCIAL	REG REP	Y	FRESNO, CA, United States

Registration and Employment History

Other Business Activities

This section includes information, if any, as provided by the broker regarding other business activities the broker 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) PILLAR INSURANCE PARTNERS LLC
POSITION: Principal NATURE: Pillar Insurance Partners is a LLC, that offers Property and Casualty Insurance services. Auto/Home Insurance. INVESTMENT RELATED: Yes NUMBER OF HOURS: 4 SECURITIES TRADING HOURS: 2 START DATE: 12/02/2016
ADDRESS: 7110 North Fresno Street, Suite 120, Fresno CA 93720, United States
DESCRIPTION: Principal

2) PILLAR ADVISOR GROUP INC
POSITION: CEO NATURE: Corporation INVESTMENT RELATED: Yes NUMBER OF HOURS: 2 SECURITIES TRADING HOURS: 2 START DATE: 12/05/2022
ADDRESS: 7110 North Fresno Street, Suite 120, Fresno CA 93720, United States
DESCRIPTION: Pass thru Corporation for tax purposes, employee payroll tax etc.

3) PILLAR FINANCIAL GROUP
POSITION: CEO NATURE: Pillar Financial Group INVESTMENT RELATED: Yes NUMBER OF HOURS: 160 SECURITIES TRADING HOURS: 130 START DATE: 10/08/2015
ADDRESS: 7110 North Fresno Street, Suite 120, Fresno CA 93720, United States
DESCRIPTION: Sales/marketing of securities and insurance products.

Disclosure Events

What you should know about reported disclosure events:

1. All individuals registered to sell securities or provide investment advice are required to disclose customer complaints and arbitrations, regulatory actions, employment terminations, bankruptcy filings, and criminal or civil judicial proceedings.

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 broker is required to disclose a particular criminal event.
   - A customer dispute must involve allegations that a broker engaged in activity that violates certain rules or conduct governing the industry and that the activity resulted in damages of at least $5,000.
   -
3. **Disclosure events in BrokerCheck reports come from different sources:**
   - As mentioned at the beginning of this report, information contained in BrokerCheck comes from brokers, brokerage 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 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 brokers and brokerage 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.

For your convenience, below is a matrix of the number and status of disclosure events involving this broker. Further information regarding these events can be found in the subsequent pages of this report. You also may wish to contact the broker to obtain further information regarding these events.

	Pending	Final	On Appeal
Customer Dispute	0	3	N/A

Disclosure Event Details

When evaluating this information, please keep in mind that a discloure event may be pending or involve allegations that are contested and have not been resolved or proven. The matter may, in the end, be withdrawn, dismissed, resolved in favor of the broker, or concluded through a negotiated settlement for certain business reasons (e.g., to maintain customer relationships or to limit the litigation costs associated with disputing the allegations) with no admission or finding of wrongdoing.

This report provides the information exactly as it was reported to CRD and therefore some of the specific data fields contained in the report may be blank if the information was not provided to CRD.

Customer Dispute - Settled

This type of disclosure event involves a consumer-initiated, investment-related complaint, arbitration proceeding or civil suit containing allegations of sale practice violations against the broker that resulted in a monetary settlement to the customer.

Disclosure 1 of 3

Reporting Source:	Firm
Employing firm when activities occurred which led to the complaint:	SUNSET FINANCIAL SERVICES, INC.
Allegations:	THE ALLEGATIONS MADE IN THE COMPLAINT ARE RELATED TO THE SALE OF A REAL ESTATE INVESTMENT TRUST MADE IN 2010. THE COMPLAINT ALLEGES THAT SUNSET FINANCIAL, ACTING THROUGH WARREN, VIOLATED CALIFORNIA COMMON LAW OF FRAUD, BREACH OF FIDUCIARY DUTY, NEGLIGENT FAILURE TO SUPERVISE, AND NEGLIGENCE IN THE PURCHASE OF THESE SECURITIES.
Product Type:	Direct Investment-DPP & LP Interests
Alleged Damages:	$250,000.00
Is this an oral complaint?	No
Is this a written complaint?	No
Is this an arbitration/CFTC reparation or civil litigation?	Yes
Arbitration/Reparation forum or court name and location:	FINRA ARBITRATION
Docket/Case #:	12-00251
Filing date of arbitration/CFTC reparation or civil litigation:	01/19/2012

Customer Complaint Information

Date Complaint Received: 03/02/2012

Complaint Pending? No

Status: Settled

Status Date: 03/29/2013

Settlement Amount: $110,000.00

Individual Contribution Amount: $0.00

Reporting Source: Broker

Employing firm when activities occurred which led to the complaint: SUNSET FINANCIAL SERVICES, INC.

Allegations: THE ALLEGATIONS WERE RELATED TO THE SALE OF A REAL ESTATE INVESTMENT TRUST MADE IN 2010. COMPLAINT ALLEGES THAT SUNSET FINANCIAL, ACTING THROUGH WARREN, VIOLATED CALIFORNIA COMMON LAW OF FRAUD, BREACH OF FIDUCIARY DUTY, NEGLIGENT FAILURE TO SUPERVISE AND NEGLIGENCE IN THE SECURITIES.

Product Type: Direct Investment-DPP & LP Interests

Alleged Damages: $250,000.00

Is this an oral complaint? No

Is this a written complaint? No

Is this an arbitration/CFTC reparation or civil litigation? Yes

Arbitration/Reparation forum or court name and location: FINRA

Docket/Case #: 12-00251

Filing date of arbitration/CFTC reparation or civil litigation: 01/19/2012

Customer Complaint Information

Date Complaint Received: 04/09/2012

Complaint Pending?	No
Status:	Settled
Status Date:	03/29/2013
Settlement Amount:	$110,000.00
Individual Contribution Amount:	$0.00

Disclosure 2 of 3

Reporting Source:	Firm
Employing firm when activities occurred which led to the complaint:	SUNSET FINANCIAL SERVICES, INC.
Allegations:	THE ALLEGATIONS MADE IN THE COMPLAINT ARE RELATED TO THE SALE OF FOUR DIRECT INVESTMENTS BETWEEN JUNE 2006 AND DECEMBER 2008. THE COMPLAINT ALLEGES THAT SUNSET FINANCIAL, ACTING THROUGH WARREN, VIOLATED FEDERAL AND STATE SECURITIES LAWS, BREACH OF CONTRACT, COMMON LAW FRAUD, BREACH OF FIDUCIARY DUTY, NEGLIGENCE AND GROSS NEGLIGENCE IN THE PURCHASE OF THESE SECURITIES.
Product Type:	Direct Investment-DPP & LP Interests
Alleged Damages:	$950,000.00
Is this an oral complaint?	No
Is this a written complaint?	No
Is this an arbitration/CFTC reparation or civil litigation?	Yes
Arbitration/Reparation forum or court name and location:	FINRA ARBITRATION
Docket/Case #:	11-04264
Filing date of arbitration/CFTC reparation or civil litigation:	11/11/2011

Customer Complaint Information

Date Complaint Received:	12/29/2011

Complaint Pending?	No
Status:	Settled
Status Date:	02/27/2013
Settlement Amount:	$400,000.00
Individual Contribution Amount:	$0.00

Reporting Source:	Broker
Employing firm when activities occurred which led to the complaint:	SUNSET FINANCIAL SERVICES, INC.
Allegations:	THE ALLEGATIONS MADE IN THE COMPLAINT ARE RELATED TO THE SALE OF FOUR DIRECT INVESTMENTS BETWEEN JUNE 2006 AND DECEMBER 2008. THE COMPLAINT ALLEGES THAT SUNSET FINANCIAL, ACTING THROUGH WARREN, VIOLATED FEDERAL AND STATE SECURITIES LAW, BREACH OF CONTRACT, COMMON LAW FRAUD, BREACH OF FIDUCIARY DUTY, NEGLIGENCE AND GROSS NEGLIGENCE IN THE PURCHASE OF THESE SECURITIES.
Product Type:	Direct Investment-DPP & LP Interests
Alleged Damages:	$950,000.00
Is this an oral complaint?	No
Is this a written complaint?	No
Is this an arbitration/CFTC reparation or civil litigation?	Yes
Arbitration/Reparation forum or court name and location:	FINRA
Docket/Case #:	11-04264
Filing date of arbitration/CFTC reparation or civil litigation:	11/11/2011

Customer Complaint Information

Date Complaint Received:	01/18/2012
Complaint Pending?	No

Status: Settled

Status Date: 02/27/2013

Settlement Amount: $400,000.00

Individual Contribution Amount: $0.00

Disclosure 3 of 3

Reporting Source: Broker

Employing firm when activities occurred which led to the complaint: SUNSET FINANCIAL SERVICES, INC.

Allegations: COMPLAINT NOTICE WAS SENT BY THE CALIFORNIA DEPARTMENT OF INSURANCE ON 08/21/06 TO AMERUS INSURANCE COMPANY. THE CUSTOMER CLAIMS THEY PAID OVER $21,000 IN PENALTIES TO REPLACE INSURANCE CONTRACTS. THE CUSTOMERS ARE SEEKING $59,000 FOR WHAT THEY CLAIM ARE THEIR TOTAL LOSSES.

Product Type: Insurance

Alleged Damages: $59,000.00

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: 09/01/2006

Complaint Pending? No

Status: Settled

Status Date: 05/07/2007

Settlement Amount: $59,739.08

Individual Contribution Amount: $0.00

Broker Statement THE [CUSTOMERS] WERE CUSTOMERS OF A DECEASED AGENT. THEIR COMPLAINT ORIGINATED DUE TO MARKET LOSSES ON THEIR VARIABLE LIFE POLICIES. AS A BRANCH MANAGER, MY GOAL WAS TO ASSIST THE

CLIENTS IN PRESERVATION OF THEIR INSURANCE POLICIES.

End of Report

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