

BrokerCheck Report

JOHNNY GLENN EMERSON

CRD# 1076825

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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.



JOHNNY G. EMERSON

CRD# 1076825

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

IA OSAIC WEALTH, INC.
837 E 33RD STREET
Edmond, OK 73013
CRD# 23131
Registered with this firm since: 11/02/2018

B OSAIC WEALTH, INC.
837 E 33RD STREET
Edmond, OK 73013
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
- 2 State Securities Law Exams

Registration History

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

IA SIGNATOR INVESTORS, INC.
CRD# 468
BOSTON, MA
01/2018 - 11/2018

B SIGNATOR INVESTORS, INC.
CRD# 468
Edmond, OK
05/2016 - 11/2018

B TRANSAMERICA FINANCIAL ADVISORS, INC
CRD# 16164
OKLAHOMA CITY, OK
04/2001 - 05/2016

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
Regulatory Event	1
Termination	1



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	General Securities Principal	Approved	11/02/2018
B	FINRA	General Securities Representative	Approved	11/02/2018

	U.S. State/ Territory	Category	Status	Date
B	Arkansas	Agent	Approved	01/08/2020
B	California	Agent	Approved	11/02/2018
B	Colorado	Agent	Approved	11/02/2018
B	Florida	Agent	Approved	11/02/2018
B	Hawaii	Agent	Approved	01/03/2025
B	Oklahoma	Agent	Approved	11/02/2018
IA	Oklahoma	Investment Adviser Representative	Approved	11/02/2018
B	Texas	Agent	Approved	11/02/2018
IA	Texas	Investment Adviser Representative	Restricted Approval	01/11/2019

Branch Office Locations

Broker Qualifications



Employment 1 of 1, continued

OSAIC WEALTH, INC.

837 E 33RD STREET

Edmond, OK 73013



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 2 state securities law exams.

Principal/Supervisory Exams

Exam	Category	Date
B General Securities Principal Examination	Series 24	10/09/1985

General Industry/Product Exams

Exam	Category	Date
B Securities Industry Essentials Examination	SIE	10/01/2018
B General Securities Representative Examination	Series 7	05/18/1985
B Investment Company Products/Variable Contracts Representative Examination	Series 6	10/20/1983

State Securities Law Exams

Exam	Category	Date
IA Uniform Investment Adviser Law Examination	Series 65	11/28/2017
B Uniform Securities Agent State Law Examination	Series 63	06/19/1984

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
IA 01/2018 - 11/2018	SIGNATOR INVESTORS, INC.	468	Edmond, OK
B 05/2016 - 11/2018	SIGNATOR INVESTORS, INC.	468	Edmond, OK
B 04/2001 - 05/2016	TRANSAMERICA FINANCIAL ADVISORS, INC	16164	OKLAHOMA CITY, OK
B 02/1997 - 04/2001	LIFEMARK SECURITIES CORP.	16204	ROCHESTER, NY
B 04/1990 - 08/1997	HARTFORD EQUITY SALES COMPANY INC.	6604	HARTFORD, CT
B 08/1988 - 12/1989	CNA INVESTOR SERVICES, INC.	7360	NEW YORK, NY
B 06/1985 - 05/1987	HERITAGE-PARK SECURITIES, LTD.	10124	
B 10/1983 - 07/1985	MUTUAL BENEFIT FINANCIAL SERVICE COMPANY	4882	

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	ROYAL ALLIANCE ASSOCIATES, INC.	Registered Rep	Y	Edmond, OK, United States
05/2016 - 11/2018	SIGNATOR INVESTORS, INC.	Reg Rep	Y	OKLAHOMA CITY, OK, United States
04/2001 - 05/2016	INTERSECURITIES, INC.	REG. REP.	Y	OKLAHOMA CITY, OK, United States

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.

Registration and Employment History



Other Business Activities, continued

1. MID-AMERICA MARKETING CORP./ DBA EMERSON AND COMPANY

POSITION: President 100% owner NATURE: Corporation/ INVESTMENT RELATED: Yes NUMBER OF HOURS: 200 SECURITIES TRADING

HOURS: 200 START DATE: 02/11/1999

ADDRESS: 837 East 33rd Street, Edmond OK 73013, United States

DESCRIPTION: President 100 % stock holder / Runs Company

2. EMERSON AND COMPANY

POSITION: Financial, Insurance, And Investment Services NATURE: Sole Proprietorship INVESTMENT RELATED: Yes NUMBER OF HOURS:

160 SECURITIES TRADING HOURS: 160 START DATE: 02/02/1984

ADDRESS: 837 East 33 rd Street, Edmond OK 73013, United States

DESCRIPTION: Sales/marketing of securities, investment advisory 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.
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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
Regulatory Event	0	1	0
Termination	N/A	1	N/A



Disclosure Event Details

When evaluating this information, please keep in mind that a disclosure 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.

Regulatory - Final

This type of disclosure event may involve (1) a final, formal proceeding initiated by a regulatory authority (e.g., a state securities agency, self-regulatory organization, federal regulatory such as the Securities and Exchange Commission, foreign financial regulatory body) for a violation of investment-related rules or regulations; or (2) a revocation or suspension of a broker'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:	10/07/1986
Docket/Case Number:	KC373
Employing firm when activity occurred which led to the regulatory action:	HERITAGE PARK SECURITIES L.T.D.
Product Type:	
Other Product Type(s):	
Allegations:	
Current Status:	Final
Resolution:	Decision & Order of Offer of Settlement
Resolution Date:	06/16/1987
Sanctions Ordered:	Censure Monetary/Fine \$500.00

**Other Sanctions Ordered:****Sanction Details:****Regulator Statement**

COMPLAINT NO. KC-373 FILED OCTOBER 7, 1986, BY DISTRICT NO. 4 AGAINST RESPONDENTS HERITAGE-PARK SECURITIES, LTD. AND JOHN G. EMERSON ALLEGING VIOLATIONS OF ARTICLE III, SECTION 1 OF THE RULES OF FAIR PRACTICE IN THAT RESPONDENT MEMBER, ACTING THROUGH RESPONDENT EMERSON, FAILED TO RESPOND TO THE ASSOCIATION'S FORMAL WRITTEN REQUESTS FOR INFORMATION MADE PURSUANT TO ARTICLE IV, SECTION 5 OF THE RULES OF FAIR PRACTICE. DECISION RENDERED JUNE 16, 1987, WHEREIN THE OFFER OF SETTLEMENT SUBMITTED BY THE RESPONDENTS WAS ACCEPTED; THEREFORE, THEY ARE CENSURED AND FINED \$500.00, JOINTLY AND SEVERALLY. ***** \$500.00 FINE & COST PAID 11/17/87 *****

Reporting Source:
Regulatory Action Initiated By:
Sanction(s) Sought:
Other Sanction(s) Sought:
Date Initiated:
Docket/Case Number:
Employing firm when activity occurred which led to the regulatory action:

Broker
 NASD DISTRICT 4
 Censure
 10/07/1986
 KC373
 HERITAGE PARK SECURITIES L.T.D.

Product Type:
Other Product Type(s):
Allegations:

Other
 NO PRODUCT
 I WAS THE PRINCIPAL OF HERITAGE PARK SECURITIES AND WHEN I SOLD THE FIRM THE MONTHLY REPORT WAS NOT FILED ON TIME AND THAT'S THE COMPLAINT I WAS THE PRINCIPAL SO IT'S ON MY RECORD.

Current Status:

Final

Resolution:

Decision & Order of Offer of Settlement



Resolution Date: 06/16/1987

Sanctions Ordered: Censure
Monetary/Fine \$500.00

Other Sanctions Ordered:

Sanction Details: FINE OF \$500 PAID 11/17/87. WHEN I WAS IN PROCESS OF SELLING MY OWN BROKER DEALER AND THE NEW OWNERS FAILED TO GET A MONTHLY REPORT "FOCUS REPORT" THE FINANCIAL STATEMENT REQUIRED TO BE FILED EACH MONTH IT WAS LATE DURING THE TRANSFER, THEY PAID THE 500.00 FINE BECAUSE IT WAS THEIR FAULT, "BUT ON MY RECORD BECAUSE I WAS THE PRINCIPAL.

Broker Statement I COULD OF WENT TO A HEARING AND PROTESTED THE 500.00 FINE FOR THE MONTHLY REPORT. THE 500.00 FINE WAS A STANDARD FINE AND I DID NOT THINK I WOULD ACCOMPLISH ANYTHING BY GOING TO KANSAS CITY BUT FRUSTRATION AND WHEN THE COMPANY PURCHASING MY BROKER DEALER SAID THEY WOULD PAY BECAUSE THEY DROPE THE BALL I LEFT THEM.



Employment Separation After Allegations

This type of disclosure event involves a situation where the broker voluntarily resigned, was discharged, or was permitted to resign after being accused of (1) violating investment-related statutes, regulations, rules or industry standards of conduct; (2) fraud or the wrongful taking of property; or (3) failure to supervise in connection with investment-related statutes, regulations, rules, or industry standards of conduct.

Disclosure 1 of 1

Reporting Source:	Broker
Employer Name:	LIFEMARK SECURITIES
Termination Type:	Voluntary Resignation
Termination Date:	04/25/2001
Allegations:	THAT I DID NOT FOLLOW THEIR PROCEDURES
Product Type:	Other
Other Product Types:	NONE
Broker Statement	I RESIGNED 4/25/01 AND I FOUND OUT LATER THAT THEY ARE BEING AUDITED BY THE S.E.C. THEY CALLED ME LATER IN THE DAY AND TOLD ME IF I WAITED EVERYTHING WOULD BE O.K. I DID NOT KNOW ABOUT THEIR AUDIT BUT WAS IN THE PLANNING STAGE TO LEAVE THEM FOR MONTHS. THEY WARNED THAT THEY WOULD PUT IN THE RECORDS THAT I WAS TERMINATED FOR CAUSE AND AS USUAL NOW THIS TOO IS IN THE COMPUTER IN THE SKY AND WE ALL GET TO SPEND HRS. DOING REPORTS. THEY SAY I DID NOT FOLLOW THEIR PROCEDURES FOR PAPERWORK.

End of Report



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