

BrokerCheck Report

LISA SCOTT LAGORIO

CRD# 1287270

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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.

LISA S. LAGORIO

CRD# 1287270

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

IA OSAIC WEALTH, INC.
 2240 THIRD ST
 LIVERMORE, CA 94550
 CRD# 23131
 Registered with this firm since: 06/14/2024

B OSAIC WEALTH, INC.
 2240 THIRD ST
 LIVERMORE, CA 94550
 CRD# 23131
 Registered with this firm since: 06/14/2024

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
- 15 U.S. states and territories

This broker has passed:

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

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

- IA SECURITIES AMERICA ADVISORS, INC.**
 CRD# 110518
 LA VISTA, NE
 11/2017 - 06/2024
- B SECURITIES AMERICA, INC.**
 CRD# 10205
 LIVERMORE, CA
 11/2017 - 06/2024
- IA NATIONAL PLANNING CORPORATION ("NPC OF AMERICA" IN FL & NY)**
 CRD# 29604
 LOS ANGELES, CA
 02/2009 - 11/2017

**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? **No**



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 15 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	06/14/2024
B	FINRA	Invest. Co and Variable Contracts	Approved	06/14/2024

	U.S. State/ Territory	Category	Status	Date
B	California	Agent	Approved	06/14/2024
IA	California	Investment Adviser Representative	Approved	06/14/2024
B	Colorado	Agent	Approved	06/14/2024
B	Connecticut	Agent	Approved	06/14/2024
B	Florida	Agent	Approved	06/14/2024
B	Hawaii	Agent	Approved	06/14/2024
B	Idaho	Agent	Approved	06/14/2024
B	Massachusetts	Agent	Approved	06/14/2024
B	Minnesota	Agent	Approved	06/14/2024
B	Montana	Agent	Approved	06/14/2024
B	Nevada	Agent	Approved	06/14/2024



Broker Qualifications

Employment 1 of 1, continued

	U.S. State/ Territory	Category	Status	Date
B	New York	Agent	Approved	06/14/2024
B	Oregon	Agent	Approved	06/14/2024
B	Texas	Agent	Approved	09/26/2024
IA	Texas	Investment Adviser Representative	Approved	09/26/2024
B	Virginia	Agent	Approved	06/27/2024
B	Washington	Agent	Approved	06/14/2024

Branch Office Locations

OSAIC WEALTH, INC.
2240 THIRD ST
LIVERMORE, CA 94550



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 0 principal/supervisory exams, 3 general industry/product exams, and 1 state securities law exam.

Principal/Supervisory Exams

Exam	Category	Date
No information reported.		

General Industry/Product Exams

Exam	Category	Date
B Securities Industry Essentials Examination	SIE	10/01/2018
B Direct Participation Programs Representative Examination	Series 22	01/29/1985
B Investment Company Products/Variable Contracts Representative Examination	Series 6	10/23/1984

State Securities Law Exams

Exam	Category	Date
B Uniform Securities Agent State Law Examination	Series 63	05/13/1986

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 **1** professional designation(s).

Certified Financial Planner

This representative holds or did hold **1** professional designation(s) that may have been used to qualify as an Investment Advisor representative. Please check with the appropriate designation authority for verification that the designation is still in effect. The contact information for these professional designation authorities can be found on the website for the North American Securities Administrators Association at <http://www.nasaa.org>



Registration and Employment History

Registration History

The broker previously was registered with the following firms:

Registration Dates	Firm Name	CRD#	Branch Location
IA 11/2017 - 06/2024	SECURITIES AMERICA ADVISORS, INC.	110518	LIVERMORE, CA
B 11/2017 - 06/2024	SECURITIES AMERICA, INC.	10205	LIVERMORE, CA
IA 02/2009 - 11/2017	NATIONAL PLANNING CORPORATION ("NPC OF AMERICA" IN FL & NY)	29604	LIVERMORE, CA
B 02/2009 - 11/2017	NATIONAL PLANNING CORPORATION	29604	LIVERMORE, CA
IA 07/2001 - 12/2013	STERLING FINANCIAL SERVICES, INC.	113646	SAN RAMON, CA
IA 07/1997 - 03/2009	ROYAL ALLIANCE ASSOCIATES, INC.	23131	SAN RAMON, CA
B 01/1994 - 03/2009	ROYAL ALLIANCE ASSOCIATES, INC.	23131	SAN RAMON, CA
B 08/1993 - 01/1994	CYPRESS CAPITAL CORPORATION	7919	
B 11/1989 - 08/1993	ROYAL ALLIANCE ASSOCIATES, INC.	23131	SCOTTSDALE, AZ
B 10/1989 - 11/1989	INTEGRATED RESOURCES EQUITY CORPORATION	6403	
B 10/1984 - 10/1989	UR FINANCIAL, INC.	10509	

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
06/2024 - Present	OSAIC WEALTH, INC.	REGISTERED REP	Y	LIVERMORE, CA, United States
11/2017 - 06/2024	Securities America Advisors	IAR	Y	LIVERMORE, CA, United States



Registration and Employment History

Employment History, continued

Employment	Employer Name	Position	Investment Related	Employer Location
11/2017 - 06/2024	Securities America, Inc.	Registered Rep	Y	LIVERMORE, CA, United States
02/2009 - 11/2017	NATIONAL PLANNING CORPORATION	REGISTERED REPRESENTATIVE	Y	LIVERMORE, CA, United States
05/2001 - 11/2017	STERLING FINANCIAL SERVICES, INC.	MANAGING MEMBER	Y	LIVERMORE, CA, 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.

1. CORNICE PROPERTIES

POSITION: Owner NATURE: Rental property management. Collecting rents, paying related bills, taxes, some utilities and maintenance.

INVESTMENT RELATED: No NUMBER OF HOURS: 1 SECURITIES TRADING HOURS: 1 START DATE: 09/25/2011

ADDRESS: 2240 Third St, Livermore CA 94550

DESCRIPTION: Please see "Nature of OBA" above.

2. LISA LAGORIO CFP

POSITION: Owner/producer NATURE: Life insurance and fixed annuity sales INVESTMENT RELATED: Yes NUMBER OF HOURS: 1

SECURITIES TRADING HOURS: 1 START DATE: 12/31/1988

ADDRESS: 2240 Third St, Livermore CA 94550

DESCRIPTION: research of Life/annuity policies for an appropriate fit for my client. Manage and monitor the policies after they are sold.

3. PERDROZZI SCHOLARSHIP FOUNDATION

POSITION: Finance Committee member NATURE: The Pedrozzi Scholarship Foundation awards scholarships to graduates of the 4 high schools of the Livermore Valley Joint Unified School District INVESTMENT RELATED: Yes NUMBER OF HOURS: 3 SECURITIES TRADING HOURS: 1 START DATE: 04/01/2013

ADDRESS: 1040 Florence Rd, Livermore CA 94550

DESCRIPTION: As a finance committee member I meet with other committee members once a month. We oversee the investment account held at Schwab under the management of the Representative from the DFA for the account. We meet with this representative once a year. We also develop the annual budget and review the foundation's financials each month.

4. COLUMBUS ADVISORS

POSITION: Associate NATURE: DBA for Investment Advisory Firm-Columbus Advisors INVESTMENT RELATED: Yes NUMBER OF HOURS: 2

SECURITIES TRADING HOURS: 2 START DATE: 03/15/2022

ADDRESS: 505 Beach Street, Suite 220, San Francisco CA 94133

DESCRIPTION: Discussions and solutions of client scenarios, product training and sales and marketing support

End of Report



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