BrokerCheck Report

WENDY SUE CASTALDY

CRD# 1369861

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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.

WENDY S. CASTALDY

CRD# 1369861

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

B **OSAIC WEALTH, INC.**
329 E MAIN STREET
SUITE 8
SMITHTOWN, NY 11787
CRD# 23131
Registered with this firm since: 09/02/2025

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
- 1 U.S. state or territory

This broker has passed:

- 3 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):

B **LPL FINANCIAL LLC**
CRD# 6413
SMITHTOWN, NY
11/2018 - 09/2025

B **H. BECK, INC.**
CRD# 1763
HAUPPAUGE, NY
04/2003 - 12/2018

B **GOLDIS FINANCIAL GROUP, INC.**
CRD# 16444
GARDEN CITY, NY
03/1987 - 04/2003

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
Customer Dispute	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 1 U.S. state or territory 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	09/02/2025
B	FINRA	General Securities Representative	Approved	09/02/2025
B	FINRA	Municipal Securities Representative	Approved	09/02/2025

	U.S. State/ Territory	Category	Status	Date
B	New York	Agent	Approved	09/02/2025

Branch Office Locations

OSAIC WEALTH, INC.
329 E MAIN STREET
SUITE 8
SMITHTOWN, NY 11787

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

Principal/Supervisory Exams

	Exam	Category	Date
B	Financial and Operations Principal Examination	Series 27	05/04/1992
B	Municipal Securities Principal Examination	Series 53	09/16/1987
B	General Securities Principal Examination	Series 24	04/29/1987

General Industry/Product Exams

	Exam	Category	Date
B	Municipal Securities Representative Examination	Series 52TO	01/02/2023
B	Securities Industry Essentials Examination	SIE	10/01/2018
B	General Securities Representative Examination	Series 7	02/21/1987

State Securities Law Exams

	Exam	Category	Date
B	Uniform Securities Agent State Law Examination	Series 63	03/18/1987

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	11/2018 - 09/2025	LPL FINANCIAL LLC	6413	SMITHTOWN, NY
B	04/2003 - 12/2018	H. BECK, INC.	1763	HAUPPAUGE, NY
B	03/1987 - 04/2003	GOLDIS FINANCIAL GROUP, INC.	16444	GARDEN CITY, NY
B	10/1994 - 06/1999	GOLDIS - PITTSBURG INSTITUTIONAL SERVICES, INC.	36754	GREAT NECK, NY

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
09/2025 - Present	OSAIC WEALTH, INC	REGISTERED ASSISTANT	Y	SMITHTOWN, NY, United States
10/1984 - Present	G&G Agency, Ltd	Executive	N	Hauppauge, NY, United States
11/2018 - 09/2025	LPL Financial	ADMINISTRATIVE ASSOCIATE	Y	San Diego, CA, United States
04/2003 - 11/2018	H. BECK, INC.	REGISTERED REP.	Y	ROCKVILLE, MD, 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)10/01/1984 - INSURANCE AGENCY - G & G Agency, Ltd. - 80% - INVESTMENT RELATED - HAUPPAUGE, NY 11788

2)04/12/2011 - MORTGAGE/REAL ESTATE SERVICES - CENTURY 21 - 10% - INVESTMENT RELATED - BABYLON, NY 11702

Registration and Employment History

Other Business Activities, continued

3)05/01/2002 - BUSINESS OWNER - CASCOM - 10% - NOT INVESTMENT RELATED - DIX HILLS, NY 11746

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:**
   - o A law enforcement agency must file formal charges before a broker is required to disclose a particular criminal event.
   - o 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.
   - o

3. **Disclosure events in BrokerCheck reports come from different sources:**
   - o 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.
   - o

4. **There are different statuses and dispositions for disclosure events:**
   - o 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.
   - o 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
Customer Dispute	0	1	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.

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:	08/17/1995
Docket/Case Number:	C10950044
Employing firm when activity occurred which led to the regulatory action:	GOLDIS FINANCIAL GROUP, INC.
Product Type:	
Other Product Type(s):	
Allegations:	
Current Status:	Final
Resolution:	Acceptance, Waiver & Consent(AWC)
Resolution Date:	08/17/1995
Sanctions Ordered:	Censure Monetary/Fine $1,000.00

Other Sanctions Ordered:

Sanction Details:

Regulator Statement

ON AUGUST 17,1995, DISTRICT NO. 10 NOTIFIED GOLDIS FINANCIAL GROUP, INC., WENDY SUE GOLDIS AND STEVEN BRUCE GOLDIS THAT THE LETTER OF ACCEPTANCE, WAIVER AND CONSENT NO. C10950044 WAS ACCEPTED: THEREFORE, RESPONDENTS MEMBER AND WENDY GOLDIS ARE
CENSURED AND FINED $1,000, JOINTLY AND SEVERALLY; AND, RESPONDENTS MEMBER AND STEVEN GOLDIS ARE CENSURED AND FINED
$2,500, JOINTLY AND SEVERALLY. - (ARTICLE III, SECTION 1 OF THE RULES OF FAIR PRACTICE - RESPONDENT MEMBER, ACTING THROUGH W. GOLDIS, ACCEPTED CHECKS FROM PUBLIC CUSTOMERS PRIOR TO THE EFFECTIVE DATE OF A PUBLIC OFFERING; RESPONDENT MEMBER, ACTING THROUGH RESPONDENT S. GOLDIS, FAILED TO MAINTAIN ITS MINIMUM NET CAPITAL REQUIREMENTS WHILE CONDUCTING A SECURITIES BUSINESS; AND, MISCALCULATED VARIOUS ADJUSTMENTS IN THE COMPUTATION OF CERTIAN SECURITIES HAIRCUTS).

$1,000.00 J&S PAID ON 9/6/95, INVOICE #95-10-530

Reporting Source:	Firm
Regulatory Action Initiated By:	NATIONAL ASSOCIATION OF SECURITIES DEALERS, INC.
Sanction(s) Sought:	
Other Sanction(s) Sought:	
Date Initiated:	08/17/1995
Docket/Case Number:	C10950044
Employing firm when activity occurred which led to the regulatory action:	GOLDIS FINANCIAL GROUP, INC.
Product Type:	
Other Product Type(s):	
Allegations:	
Current Status:	Final

Resolution:	Acceptance, Waiver & Consent(AWC)
Resolution Date:	08/17/1995
Sanctions Ordered:	Censure Monetary/Fine $1,000.00
Other Sanctions Ordered:	
Sanction Details:	

Reporting Source:	Broker
Regulatory Action Initiated By:	NATIONAL ASSOCIATION OF SECURITIES DEALER INC
Sanction(s) Sought:	
Other Sanction(s) Sought:	
Date Initiated:	08/17/1995
Docket/Case Number:	C10950044
Employing firm when activity occurred which led to the regulatory action:	GOLDIS FINANCIAL GROUP, INC.
Product Type:	
Other Product Type(s):	
Allegations:	THAT I, IN MY CAPACITY OF VICE PRESIDENT OF GOLDIS FINANCIAL GROUP INC (THE "FIRM"), FAILED TO COMPLY WITH SECTION 5(C) OF THE SECURITIES ACT OF 1933 BY ALLOWING THE FIRM TO ACCEPT NINE CHECKS FROM CUSTOMERS PRIOR TO THE EFFECTIVE DATE OF THE PUBLIC OFFERING OF MONROC, INC.
Current Status:	Final
Resolution:	Acceptance, Waiver & Consent(AWC)
Resolution Date:	08/17/1995
Sanctions Ordered:	Censure Monetary/Fine $1,000.00
Other Sanctions Ordered:	
Sanction Details:	I, ALONG WITH THE FIRM, ENTERED INTO A LETTER OF

ACCEPTANCE, WAIVER AND CONSENT PURSUANT TO WHICH THE FIRM AND
I, JOINTLY AND SEVERALLY, CONSENTED TO CENSURE AND A FINE OF $1,000.00. THIS FINE WAS PAID ON SEPTEMBER 6, 1995.

Broker Statement	Not Provided

Customer Dispute - Closed-No Action / Withdrawn / Dismissed / Denied

This type of disclosure event involves (1) a consumer-initiated, investment-related arbitration or civil suit containing allegations of sales practice violations against the individual broker that was dismissed, withdrawn, or denied; or (2) a consumer-initiated, investment-related written complaint containing allegations that the broker engaged in sales practice violations resulting in compensatory damages of at least $5,000, forgery, theft, or misappropriation, or conversion of funds or securities, which was closed without action, withdrawn, or denied.

Disclosure 1 of 1

Reporting Source: Broker

Employing firm when activities occurred which led to the complaint: GOLDIS FINANCIAL GROUP,INC

Allegations: LOSS OF PROFITS, FAILURE TO FOLLOW INSTRUCTIONS. THESE ALLEGATIONS WERE MADE AGAINST ME WHILE WORKING AT GOLDIS FINANCIAL GROUP INC.

Product Type:

Alleged Damages:

Customer Complaint Information

Date Complaint Received: 08/14/1998

Complaint Pending? No

Status: Denied

Status Date: 08/17/1998

Settlement Amount:

Individual Contribution Amount:

Broker Statement CLOSED WITHOUT MERIT.
ON AUG 7, 1998 THE CUSTOMER PURCHASED 15000 SHS OF MILESTONE SCIENTIFIC AT 1 9/16 PER SHARE AND RECEIVED VERBAL COMMUNICATION OF THE SAME SHORTLY THEREAFTER. LATER IN THE DAY,
THE CUSTOMER DISCUSSED, ANOTHER 15000 SHS OF THE SAME SECURITY W/HIS
BROKER (NOT THE UNDERSIGNED), BUT DECIDED TO WAIT UNTIL THE FOLOWING MONDAY. ON THE FOLLOWING MONDY, SHARES OF MILESTONE
SCIENTIFIC TRADED LOWER AND THE CUSTOMER ELECTED NOT TO PURCHASE ANY
ADDITIONAL SHARES. OUR ATTORNEYS RESPONDED ON AUGUST 17, 1998

TO THE CUSTOMER'S WRITTEN COMPLAINT AND HAVE NOT RECEIVED A
RESPONSE
TO DATE. FURTHER, THE CUSTOMER CONTINUES TO CONDUCT
BUSINESS WITH
HIS BROKER AND MY FIRM.

End of Report

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