BrokerCheck Report

EDWARD AARON KOFMAN

CRD# 1485064

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.

EDWARD A. KOFMAN

CRD# 1485064

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

IA **OSAIC WEALTH, INC.**
2447 SANTA CLARA AVENUE
SUITE 203
ALAMEDA, CA 94501
CRD# 23131
Registered with this firm since: 07/08/1997

B **OSAIC WEALTH, INC.**
2447 SANTA CLARA AVENUE
SUITE 203
ALAMEDA, CA 94501
CRD# 23131
Registered with this firm since: 11/19/1989

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
- 37 U.S. states and territories

This broker has passed:

- 2 Principal/Supervisory Exams
- 2 General Industry/Product Exams
- 2 State Securities Law Exams

Registration History

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

B **INTEGRATED RESOURCES EQUITY CORPORATION**
CRD# 6403
04/1986 - 11/1989

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 37 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 Representative	Approved	11/19/1989
B	FINRA	General Securities Principal	Approved	07/18/1990
B	FINRA	Municipal Fund	Approved	03/24/2003

	U.S. State/ Territory	Category	Status	Date
B	Arizona	Agent	Approved	12/24/1996
B	Arkansas	Agent	Approved	06/22/2011
B	California	Agent	Approved	11/19/1989
IA	California	Investment Adviser Representative	Approved	07/08/1997
B	Colorado	Agent	Approved	02/27/1996
B	District of Columbia	Agent	Approved	02/06/2018
B	Florida	Agent	Approved	02/29/1996
B	Georgia	Agent	Approved	10/15/2001
B	Hawaii	Agent	Approved	04/08/2011
B	Idaho	Agent	Approved	06/10/2019

Broker Qualifications

Employment 1 of 1, continued

	U.S. State/ Territory	Category	Status	Date
B	Illinois	Agent	Approved	07/10/2018
B	Indiana	Agent	Approved	07/15/2015
B	Iowa	Agent	Approved	09/04/2009
B	Kentucky	Agent	Approved	01/26/2005
B	Maine	Agent	Approved	07/20/2021
B	Maryland	Agent	Approved	05/09/2017
B	Massachusetts	Agent	Approved	02/27/1996
IA	Massachusetts	Investment Adviser Representative	Approved	12/21/2023
B	Michigan	Agent	Approved	04/22/2014
B	Mississippi	Agent	Approved	09/26/2023
B	Missouri	Agent	Approved	01/16/2024
B	Montana	Agent	Approved	04/28/2005
B	Nevada	Agent	Approved	03/19/1990
B	New Hampshire	Agent	Approved	07/20/2021
B	New Jersey	Agent	Approved	02/29/1996
B	New Mexico	Agent	Approved	03/09/2006
B	New York	Agent	Approved	02/27/1996
B	North Carolina	Agent	Approved	07/18/2016
B	Ohio	Agent	Approved	10/07/2015
B	Oregon	Agent	Approved	02/27/1996
B	Pennsylvania	Agent	Approved	01/15/1998

Broker Qualifications

Employment 1 of 1, continued

	U.S. State/ Territory	Category	Status	Date
B	Rhode Island	Agent	Approved	04/04/2003
B	South Carolina	Agent	Approved	05/27/2021
B	Tennessee	Agent	Approved	04/19/2017
B	Texas	Agent	Approved	02/12/1998
IA	Texas	Investment Adviser Representative	Approved	06/05/2024
B	Vermont	Agent	Approved	08/12/2021
B	Virginia	Agent	Approved	02/23/1999
B	Washington	Agent	Approved	02/27/1996
IA	Washington	Investment Adviser Representative	Approved	04/02/2019
B	Wisconsin	Agent	Approved	02/29/1996

Branch Office Locations

OSAIC WEALTH, INC.
2447 SANTA CLARA AVENUE
SUITE 203
ALAMEDA, CA 94501

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 2 principal/supervisory exams, 2 general industry/product exams, and 2 state securities law exams.

Principal/Supervisory Exams

	Exam	Category	Date
B	Municipal Fund Securities Principal Examination	Series 51	03/21/2003
B	General Securities Principal Examination	Series 24	06/22/1990

General Industry/Product Exams

	Exam	Category	Date
B	Securities Industry Essentials Examination	SIE	10/01/2018
B	General Securities Representative Examination	Series 7	04/19/1986

State Securities Law Exams

	Exam	Category	Date
IA	Uniform Investment Adviser Law Examination	Series 65	10/05/2001
B	Uniform Securities Agent State Law Examination	Series 63	03/16/1990

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
B 04/1986 - 11/1989	INTEGRATED RESOURCES EQUITY CORPORATION	6403	

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
09/2023 - Present	LEADING EDGE FINANCIAL DESIGN	Other- Agent of Leading Edge Financial Design	Y	ALAMEDA, CA, United States
06/2023 - Present	OSAIC WEALTH, INC	REGISTERED REP	Y	HAYWARD, CA, United States
03/1986 - 09/2023	CAL CAP PLANNING, INC.	ACCOUNT EXECUTIVE/VICE PRESIDENT	Y	HAYWARD, CA, United States
11/1989 - 06/2023	ROYAL ALLIANCE ASSOCIATES, INC.	OTHER - Representative	Y	HAYWARD, 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. ALAMEDA MEALS ON WHEELS BOARD MEMBER POSITION: Board Member - NATURE: Non-Profit - INVES RELATED: No, NUMBER OF HRS: 5 SEC HRS: 5 START DATE:01/1/1990 ADDRESS: P.O. Box 2534, Alameda CA 94501; DESCRIPTION: Member of the board of directors, serve on the finance committee. Monitor investment funds and consult with outside advisor. I participate discussions, but investment decisions are determined by vote of the committee. 2. ALAMEDA BOYS AND GIRLS CLUB BOARD MEMBER POSITION: Board Member NATURE: Non-Profit - INVEST RELATED: No, NUMBER OF HRS: 5 SEC HRS: 5 START DATE: 1/1/1990; ADDRESS: P.O. Box 1069, Alameda CA 94501 DESCRIPTION: Member of the board of directors serving on a variety of committees 3. ALAMEDA COMMUNITY FUND BOARD MEMBER POSITION: Board Member^President - NATURE: Non-Profit - INVEST RELATED: No, NUMBER OF HRS: 5 SEC HRS: 5 START DATE:

Registration and Employment History

Other Business Activities, continued

1/1/2000; ADDRESS: P.O. Box 1273, Alameda CA 94501 DESCRIPTION: President of the Board of Directors. Conduct meetings, represent the organization, serve on a variety of committees, including the finance committee that monitors the investment funds of the foundation and consults with an outside investment advisor. Investment are decisions determined by committee. 4. EDWARD KOFMAN - TEMPLE ISRAEL OF ALAMEDA FOUNDATION POSITION: Board Member/Treasurer - NATURE: Non-Profit - INVEST RELATED: No, NUMBER OF HRS: 5 SEC HOURS: 5 START DATE: 1/1/2000; ADDRESS: 3183 Mecartney Road, Alameda CA 94502 DESCRIPTION: Board Member and Treasurer. Prepare financial statements, vote on issues related to foundation governance and operations, including monitoring foundation investments with the investment committee. 5. WEDDING OFFICIANT POSITION: Wedding Officiant NATURE: Sole Proprietor INVESTMENT RELATED: No NUMBER OF HOURS: 1 SECURITIES TRADING HOURS: 0 START DATE: 12/24/2014 ADDRESS: 1701 Cornell Drive, Alameda CA 94501, United States DESCRIPTION: I was ordained through the Universal Life Church on 12-24-2014 to officiate at weddings for family and friends. I may officiate at weddings of investment clients 7. EDWARD KOFMAN - FINANCIAL EDUCATOR POSITION: Owner - NATURE: Sole Proprietorship - INVESTMENT RELATED: Yes NUMBER OF HOURS: 1 SECURITIES TRADING HOURS: 1 START DATE: 06/01/2010 ADDRESS: 2447 Santa Clara Avenue, Suite 203, Alameda CA 94501, United States DESCRIPTION: Educator on financial issues Presenting seminars (sometimes for a fee) on topics such as budgeting and debt management (non-investment related). Seminars are presented in an educational format, not a sales format. Opportunities for educational seminars on investment topics may arise and if so, only pre-approved materials like Forefield will be used 8. LEADING EDGE FINANCIAL DESIGN/EDWARD KOFMAN-FIXED INSURANCE SALES POSITION: Other - Edward A. Kofman and Agent of Leading Edge Financial Design NATURE: Sole Proprietorship INVESTMENT RELATED: No NUMBER OF HOURS: 4 SECURITIES TRADING HOURS: 4 START DATE: 05/01/1986 ADDRESS: 2447 Santa Clara Avenue, Suite 203, Alameda CA 94501, United States DESCRIPTION: Providing clients with fixed insurance products, including, but not limited to term insurance, permanent insurance, fixed annuities, long term care, disability insurance, approved group annuities 9. LEADING EDGE FINANCIAL DESIGN/EDWARD KOFMAN-MARKETING NAME: Other- Agent of Leading Edge Financial Design/ Edward Kofman NATURE: Sole Prop INVEST RELATED: Yes NUMBER OF HOURS: 200 SEC HOURS: 200 START DATE: 09/25/2023 ADDRESS: 2447 Santa Clara Avenue, Suite 203, Alameda, CA 94501. DESCRIPT: Leading Edge Financial Design is the marketing name I am using as a sole proprietor in marketing myself as providing financial products and consulting to clients. Securities, investment advisory services and some insurance products are provided as a representative of Osaic Wealth, Inc. Other insurance products are through Leading Edge Financial Design/Edward Kofman

End of Report

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