

BrokerCheck Report

LEO KENNETH MONAGHAN

CRD# 1506048

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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.

**LEO K. MONAGHAN**

CRD# 1506048

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

IA OSAIC WEALTH, INC.
 208 N. FRANKLIN ST.
 MANCHESTER, IA 52057
 CRD# 23131
 Registered with this firm since: 06/08/2015

B OSAIC WEALTH, INC.
 208 N. FRANKLIN ST.
 MANCHESTER, IA 52057
 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
- 1 U.S. state or territory

This broker has passed:

- 0 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
 08/1986 - 11/1989
- B IDS MARKETING CORPORATION**
 CRD# 6363
 05/1986 - 08/1986

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 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 Representative	Approved	11/19/1989

U.S. State/ Territory	Category	Status	Date
B Iowa	Agent	Approved	11/19/1989
IA Iowa	Investment Adviser Representative	Approved	06/08/2015

Branch Office Locations

OSAIC WEALTH, INC.
208 N. FRANKLIN ST.
MANCHESTER, IA 52057



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

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 General Securities Representative Examination	Series 7	05/17/1986

State Securities Law Exams

Exam	Category	Date
IA Uniform Investment Adviser Law Examination	Series 65	06/02/2015
B Uniform Securities Agent State Law Examination	Series 63	07/23/1986

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 **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 08/1986 - 11/1989	INTEGRATED RESOURCES EQUITY CORPORATION	6403	
B 05/1986 - 08/1986	IDS MARKETING CORPORATION	6363	

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
11/1989 - Present	ROYAL ALLIANCE ASSOCIATES, INC.	OTHER - REPRESENTATIVE	Y	MANCHESTER, IA, 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. MONAGHAN FINANCIAL SERVICES, LTD

POSITION: Employee NATURE: Corporation INVESTMENT RELATED: No NUMBER OF HOURS: 2 SECURITIES TRADING HOURS: 2 START DATE: 08/08/1986

ADDRESS: 208 N Franklin St., Manchester IA 52057, United States

DESCRIPTION: Prepare tax returns

2. MONAGHAN RENTAL

POSITION: joint owner NATURE: sole prop. INVESTMENT RELATED: Yes NUMBER OF HOURS: 1 SECURITIES TRADING HOURS: 0 START DATE: 01/01/1991

ADDRESS: 117 Crescent Dr, Manchester IA 52057, United States

DESCRIPTION: net lease. collect rent check. make sure ins and taxes are pd by renter

3. MONAGHAN FINANCIAL SERVICES, LTD

POSITION: asst NATURE: corp. INVESTMENT RELATED: Yes NUMBER OF HOURS: 1 SECURITIES TRADING HOURS: 1 START DATE: 01/01/2019



Registration and Employment History

Other Business Activities, continued

ADDRESS: 208 N Franklin St, Manchester IA 52057, United States

DESCRIPTION: licensed for life and health. answer occasional questions about life ins policies on the book. Do not solicit any new policies.

Customer service role only. Don't believe I'm even appointed by life companies anymore

4. OUR FAITH, OUR FUTURE, OUR CHILDREN

POSITION: member of advisory board NATURE: charitable educational scholarship organization INVESTMENT RELATED: No NUMBER OF

HOURS: 2 SECURITIES TRADING HOURS: 1 START DATE: 07/10/2021

ADDRESS: 1229 Mount Loretta Ave, Dubuque IA 52003, United States

DESCRIPTION: advisory committee for marketing and outreach to promote the scholarship organization. Meet twice/year with other committee members.

5. MONAGHAN FINANCIAL SERV, LTD

POSITION: holder NATURE: S-Corp -Notary Public INVESTMENT RELATED: Yes NUMBER OF HOURS: 1 SECURITIES TRADING HOURS: 1

START DATE: 04/06/1986

ADDRESS: 208 N Franklin St, Manchester IA 52057, United States

DESCRIPTION: I notarize very occasionally as needed as a free service to clients. I have never charged for my services

6. CLASS OF 1970 ENDOWMENT

POSITION: committee member NATURE: Profit/non-profit INVESTMENT RELATED: No NUMBER OF HOURS: 4 SECURITIES TRADING

HOURS: 1 START DATE: 10/15/2024

ADDRESS: 117 Crescent Dr, MANCHESTER IA 52057, United States

DESCRIPTION: help organize a scholarship fund in the name of our high school graduating class. Meet with several other former classmates to communicate the need for a scholarship fund and make contacts of former classmates to raise funds. Anticipate a goal for the entire fund to be \$10000. This is a very informal committee of our class. There are no by-laws or formal organization. This is an initiative by 3 classmates to start a recognition of high school students who have overcome great obstacles. The H S principal will make all decisions about recipients. Any funds raised will be mailed to and controlled by the Greater Community Foundation of Dubuque. We are a non-profit and the Foundation is a 501 c3b.

7. LEO MONAGHAN

POSITION: attorney in fact NATURE: Power of Attorney INVESTMENT RELATED: Yes NUMBER OF HOURS: 2 SECURITIES TRADING

HOURS: 1 START DATE: 05/02/2025

ADDRESS: 117 Crescent Dr, Manchester IA 52057, United States

DESCRIPTION: review bank records and any necessary calls to reconcile for my brother who is 83 years old and needs assistance to safeguard his financial interests

End of Report



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