BrokerCheck Report

BRIAN ROBERT PAGE

CRD# 1638729

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.

BRIAN R. PAGE

CRD# 1638729

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

IA **OSAIC WEALTH, INC.**
1450 PLAINFIELD RD
SUITE 2
DARIEN, IL 60561
CRD# 23131
Registered with this firm since: 01/19/2024

B **OSAIC WEALTH, INC.**
1450 PLAINFIELD RD
SUITE 2
DARIEN, IL 60561
CRD# 23131
Registered with this firm since: 01/19/2024

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
- 4 U.S. states and territories

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):

IA **WOODBURY FINANCIAL SERVICES, INC.**
CRD# 421
OAKDALE, MN
04/2015 - 01/2024

B **WOODBURY FINANCIAL SERVICES, INC.**
CRD# 421
DARIEN, IL
03/2015 - 01/2024

IA **LPL FINANCIAL LLC**
CRD# 6413
FORT MILL, SC
05/2010 - 03/2015

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
Criminal	1
Judgment/Lien	5

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 4 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	01/19/2024

	U.S. State/ Territory	Category	Status	Date
B	Illinois	Agent	Approved	01/19/2024
IA	Illinois	Investment Adviser Representative	Approved	01/19/2024
B	Indiana	Agent	Approved	01/19/2024
B	Michigan	Agent	Approved	01/19/2024
B	Wisconsin	Agent	Approved	01/19/2024

Branch Office Locations

OSAIC WEALTH, INC.
1450 PLAINFIELD RD
SUITE 2
DARIEN, IL 60561

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	11/28/2000

State Securities Law Exams

	Exam	Category	Date
IA	Uniform Investment Adviser Law Examination	Series 65	05/15/2010
B	Uniform Securities Agent State Law Examination	Series 63	06/01/2001

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	04/2015 - 01/2024	WOODBURY FINANCIAL SERVICES, INC.	421	DARIEN, IL
B	03/2015 - 01/2024	WOODBURY FINANCIAL SERVICES, INC.	421	DARIEN, IL
IA	05/2010 - 03/2015	LPL FINANCIAL LLC	6413	DARIEN, IL
B	05/2005 - 03/2015	LPL FINANCIAL LLC	6413	DARIEN, IL
B	05/2001 - 05/2005	PEB FINANCIAL GROUP, INC.	7708	CHICAGO, IL
B	11/2000 - 04/2001	EROOM SECURITIES L.L.C.	41257	CHICAGO, IL

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
01/2024 - Present	OSAIC WEALTH, INC.	Mass Transfer	Y	DARIEN, IL, United States
03/2015 - 01/2024	WOODBURY FINANCIAL SERVICES INC	REGISTERED REPRESENTATIVE	Y	DARIEN, IL, 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.

KIEFER FINANCIAL GROUP
POSITION: Financial Advisor NATURE: Corporation INVESTMENT RELATED: Yes NUMBER OF HOURS: 5 SECURITIES TRADING HOURS: 5
START DATE: 03/30/2011
ADDRESS: 1450 Plainfield Rd, Suite 2, Darien IL 60561, United States
DESCRIPTION: Kiefer Financial Group is a DBA that we use if we are doing joint financial advisory business or non-variable insurance

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.
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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
Criminal	0	1	0
Judgment/Lien	5	N/A	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:	CHICAGO BOARD OPTIONS EXCHANGE, INC.
Sanction(s) Sought:	Civil and Administrative Penalt(ies) /Fine(s)
Other Sanction(s) Sought:	ADDITIONALLY, IN THE EVENT THAT PAGE AGAIN BECOMES AN EXCHANGE MEMBER, HE IS REQUIRED TO COMPLETE AN UNDERTAKING WHEREBY PAGE WILL USE THE MARKET-MAKER HANDHELD TERMINAL ON A FULL-TIME, PERMANENT BASIS ("FULL-TIME" IS DEFINED HEREIN AS EXECUTING AND ENTERING AT LEAST 90% OF RESPONDENT'S MARKET-MAKER TRANSACTIONS ON THE HANDHELD TERMINAL) COMMENCING 30 DAYS FROM THE DATE THAT PAGE BEGINS TRADING AS AN EXCHANGE MEMBER.
Date Initiated:	03/30/1999
Docket/Case Number:	99-0011
Employing firm when activity occurred which led to the regulatory action:	LMB LIMITED PARTNERSHIP
Product Type:	Options
Other Product Type(s):	
Allegations:	SEE SUMMARY
Current Status:	Final

Resolution:	Decision & Order of Offer of Settlement
Resolution Date:	06/02/1999
Sanctions Ordered:	Censure Monetary/Fine $2,150.00
Other Sanctions Ordered:	ADDITIONALLY, IN THE EVENT THAT PAGE AGAIN BECOMES AN EXCHANGE MEMBER, HE IS REQUIRED TO COMPLETE AN UNDERTAKING WHEREBY PAGE WILL USE THE MARKET-MAKER HANDHELD TERMINAL ON A FULL-TIME, PERMANENT BASIS ("FULL-TIME" IS DEFINED HEREIN AS EXECUTING AND ENTERING AT LEAST 90% OF RESPONDENT'S MARKET-MAKER TRANSACTIONS ON THE HANDHELD TERMINAL) COMMENCING 30 DAYS FROM THE DATE THAT PAGE BEGINS TRADING AS AN EXCHANGE MEMBER.
Sanction Details:	BRIAN R. PAGE, A FORMER EXCHANGE MARKET-MAKER AND L.M.B. LIMITED PARTNERSHIP, AN EXCHANGE MEMBER ORGANIZATION ASSOCIATED WITH MARKET-MAKER PAGE, WERE EACH CENSURED AND JOINTLY AND SEVERALLY FINED $2,150. ADDITIONALLY, IN THE EVENT THAT PAGE AGAIN BECOMES AN EXCHANGE MEMBER, HE IS REQUIRED TO COMPLETE AN UNDERTAKING WHEREBY PAGE WILL USE THE MARKET-MAKER HANDHELD TERMINAL ON A FULL-TIME, PERMANENT BASIS ("FULL-TIME" IS DEFINED HEREIN AS EXECUTING AND ENTERING AT LEAST 90% OF RESPONDENT'S MARKET-MAKER TRANSACTIONS ON THE HANDHELD TERMINAL) COMMENCING 30 DAYS FROM THE DATE THAT PAGE BEGINS TRADING AS AN EXCHANGE MEMBER.
Regulator Statement	BRIAN R. PAGE, A FORMER EXCHANGE MARKET-MAKER AND L.M.B. LIMITED PARTNERSHIP, AN EXCHANGE MEMBER ORGANIZATION ASSOCIATED WITH MARKET-MAKER PAGE, WERE EACH CENSURED AND JOINTLY AND SEVERALLY FINED $2,150. ADDITIONALLY, IN THE EVENT THAT PAGE AGAIN BECOMES AN EXCHANGE MEMBER, HE IS REQUIRED TO COMPLETE AN UNDERTAKING WHEREBY PAGE WILL USE THE MARKET-MAKER HANDHELD TERMINAL ON A FULL-TIME, PERMANENT BASIS ("FULL-TIME" IS DEFINED HEREIN AS EXECUTING AND ENTERING AT LEAST 90% OF RESPONDENT'S MARKET-MAKER TRANSACTIONS ON THE HANDHELD TERMINAL) COMMENCING 30 DAYS FROM THE DATE THAT PAGE BEGINS TRADING AS AN EXCHANGE MEMBER. THESE SANCTIONS WERE IMPOSED FOR THE FOLLOWING CONDUCT. DURING THE PERIODS OF TIME FROM ON OR ABOUT DECEMBER 21, 1997 THROUGH ON OR ABOUT JANUARY 20, 1998, AND FROM ON OR ABOUT JUNE 21, 1998 THROUGH ON OR ABOUT AUGUST 20, 1998, PAGE, ACTING ON BEHALF OF L.M.B. LIMITED PARTNERSHIP, FAILED TO RECORD ACCURATE TRANSACTION TIMES ON NUMEROUS TRADE TICKETS AND/OR RECORD ACCURATE TRANSACTION TIMES IN A LEGIBLE MANNER ON NUMEROUS TRADE TICKETS. (CBOE RULE 6.51(A).01.)

Reporting Source:	Broker
Regulatory Action Initiated By:	CHICAGO BOARD OPTIONS EXCHANGE, INC.
Sanction(s) Sought:	Civil and Administrative Penalt(ies) /Fine(s)
Other Sanction(s) Sought:	IN THE EVENT THAT PAGE BECOMES AN EXCHANGE MEMBER, PAGE MUST COMPLETE AN UNDERTAKING WHEREBY HE WILL USE THE MAKET-MAKER HANDHELD TERMINAL ON A FULL-TIME, PERMANENT BASIS COMMENCING 30 DAYS FROM THE DATE THAT PAGE BEGINS TRADING AS AN EXCHANGE MEMBER.
Date Initiated:	03/30/1999
Docket/Case Number:	99-0011
Employing firm when activity occurred which led to the regulatory action:	LMB LIMITED PARTNERSHIP
Product Type:	Options
Other Product Type(s):	
Allegations:	ALLEGEDLY FAILED TO RECORD, ON BEHALF OF LMB LIMITED PARTNERSHIP, ACCURATE TRANSACTION TIMES IN A LEGIBLE MANNER ON NUMEROUS TRADE TICKETS - CBOE RULE 6.51, ON OR ABOUT 12/21/97 THROUGH 1/20/98 AND 6/21/98 THROUGH 08/20/98.
Current Status:	Final
Resolution:	Decision & Order of Offer of Settlement
Resolution Date:	06/02/1999
Sanctions Ordered:	Censure Monetary/Fine $2,150.00
Other Sanctions Ordered:	IN THE EVENT THAT PAGE BECOMES AN EXCHANGE MEMBER, PAGE MUST COMPLETE AN UNDERTAKING WHEREBY HE WILL USE THE MAKET-MAKER HANDHELD TERMINAL ON A FULL-TIME, PERMANENT BASIS COMMENCING 30 DAYS FROM THE DATE THAT PAGE BEGINS TRADING AS AN EXCHANGE MEMBER.
Sanction Details:	FINE PAID

Criminal - Final Disposition

This type of disclosure event involves a criminal charge against the broker that has resulted in a conviction, acquittal, dismissal, or plea. The criminal matter may pertain to any felony or certain misdemeanor offenses, including bribery, perjury, forgery, counterfeiting, extortion, fraud, and wrongful taking of property.

Disclosure 1 of 1

Reporting Source:	Broker
Formal Charges were brought in:	State Court
Name of Court:	LaPorte Superior Court
Location of Court:	LaPorte County, Indiana
Docket/Case #:	46D04-1705F6484
Charge Date:	11/04/2016
Charge(s) 1 of 1	
Formal Charge(s)/Description:	On 11/04/2016 Mr. Page was accused of issuing a check in the amount of $1000 for the payment of or to acquire money or other property, knowing that the check would not be paid or honored in the usual course of business.
No of Counts:	1
Felony or Misdemeanor:	Felony
Plea for each charge:	Pre Trial Diversion Agreement
Disposition of charge:	Dismissed
Current Status:	Final
Status Date:	09/11/2017
Disposition Date:	09/11/2017
Sentence/Penalty:	Per the terms of the Pre-trial diversion agreement, dated 9/11/2017 Mr. Page was assigned $1047.50 in restitution costs and $334 in court costs and filing fees. These were paid on 9/11/2017."

Judgment / Lien

This type of disclosure event involves an unsatisfied and outstanding judgments or liens against the broker.

Disclosure 1 of 5

Reporting Source:	Broker
Judgment/Lien Holder:	IRS
Judgment/Lien Amount:	$42,088.36
Judgment/Lien Type:	Tax
Date Filed with Court:	11/05/2018
Date Individual Learned:	12/11/2018
Type of Court:	State Court
Name of Court:	Cook County
Location of Court:	Chicago, IL
Docket/Case #:	1830904188
Judgment/Lien Outstanding?	Yes

Disclosure 2 of 5

Reporting Source:	Broker
Judgment/Lien Holder:	IRS
Judgment/Lien Amount:	$50,286.09
Judgment/Lien Type:	Tax
Date Filed with Court:	07/28/2016
Date Individual Learned:	07/28/2016
Type of Court:	State Court
Name of Court:	COOK COUNTY RECORDER
Location of Court:	CHICAGO, IL
Docket/Case #:	162101187
Judgment/Lien Outstanding?	Yes

Disclosure 3 of 5

Reporting Source:	Broker
Judgment/Lien Holder:	IRS
Judgment/Lien Amount:	$19,314.04
Judgment/Lien Type:	Tax
Date Filed with Court:	11/03/2016
Date Individual Learned:	11/03/2016
Type of Court:	State Court
Name of Court:	COOK COUNTY RECORDER
Location of Court:	CHICAGO, IL
Docket/Case #:	1630801157
Judgment/Lien Outstanding?	Yes

Disclosure 4 of 5

Reporting Source:	Broker
Judgment/Lien Holder:	IRS
Judgment/Lien Amount:	$39,011.00
Judgment/Lien Type:	Tax
Date Filed with Court:	10/05/2012
Type of Court:	COUNTY
Name of Court:	COOK COUNTY REGISTER
Location of Court:	CHICAGO, IL
Docket/Case #:	UNKNOWN
Judgment/Lien Outstanding?	Yes
Broker Statement	ON 04/04/2013 IS WHEN REP BECAME AWARE OF LIEN. HE HAD NO KNOWLEDGE UNTIL FIRM ADVISED HIM THAT THIS WAS ON HIS CREDIT REPORT.

Disclosure 5 of 5

Reporting Source:	Broker

Judgment/Lien Holder:	IRS
Judgment/Lien Amount:	$28,165.00
Judgment/Lien Type:	Tax
Date Filed with Court:	10/05/2012
Type of Court:	COUNTY
Name of Court:	COOK COUNTY REGISTER
Location of Court:	CHICAGO, IL
Docket/Case #:	UNKNOWN
Judgment/Lien Outstanding?	Yes
Broker Statement	ON 04/04/2013 IS WHEN REP BECAME AWARE OF LIEN. HE HAD NO KNOWLEDGE UNTIL FIRM ADVISED HIM THAT THIS WAS ON HIS CREDIT REPORT.

End of Report

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