

BrokerCheck Report

ROBERT ANTHONY BOLEBRUCH

CRD# 1777060

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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.



ROBERT A. BOLEBRUCH
CRD# 1777060

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

- IA OSAIC WEALTH, INC.**
18700 N. HAYDEN ROAD
SUITE 255
SCOTTSDALE, AZ 85255
CRD# 23131
Registered with this firm since: 10/11/2024
- B OSAIC WEALTH, INC.**
320 Old Country Rd
Garden City, NY 11530
CRD# 23131
Registered with this firm since: 10/11/2024

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
- 18 U.S. states and territories



This broker has passed:

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

Registration History

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

- IA AMERICAN PORTFOLIOS ADVISORS, INC**
CRD# 112697
HOLBROOK, NY
08/2009 - 10/2024
- B AMERICAN PORTFOLIOS FINANCIAL SERVICES, INC.**
CRD# 18487
Garden City, NY
02/2009 - 10/2024
- B SANDGRAIN SECURITIES, INC.**
CRD# 26004
GARDEN CITY, NY
08/1996 - 03/2009

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
Customer Dispute	4



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 18 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 Principal	Approved	10/11/2024
B	FINRA	General Securities Representative	Approved	10/11/2024

	U.S. State/ Territory	Category	Status	Date
B	Alaska	Agent	Approved	10/11/2024
B	California	Agent	Approved	10/11/2024
B	Connecticut	Agent	Approved	10/11/2024
B	Delaware	Agent	Approved	10/11/2024
B	Florida	Agent	Approved	10/11/2024
B	Georgia	Agent	Approved	10/11/2024
B	Maryland	Agent	Approved	10/11/2024
B	Massachusetts	Agent	Approved	10/11/2024
B	New Jersey	Agent	Approved	10/11/2024
B	New Mexico	Agent	Approved	10/11/2024
B	New York	Agent	Approved	10/11/2024



Broker Qualifications

Employment 1 of 1, continued

	U.S. State/ Territory	Category	Status	Date
IA	New York	Investment Adviser Representative	Approved	10/11/2024
B	North Carolina	Agent	Approved	10/11/2024
B	Ohio	Agent	Approved	10/11/2024
B	Pennsylvania	Agent	Approved	10/11/2024
B	South Carolina	Agent	Approved	10/11/2024
B	Vermont	Agent	Approved	10/11/2024
B	Virginia	Agent	Approved	10/11/2024
B	Wisconsin	Agent	Approved	10/11/2024

Branch Office Locations

OSAIC WEALTH, INC.
 18700 N. HAYDEN ROAD
 SUITE 255
 SCOTTSDALE, AZ 85255

OSAIC WEALTH, INC.
 320 Old Country Rd
 Garden City, NY 11530



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

Principal/Supervisory Exams

Exam	Category	Date
B General Securities Principal Examination	Series 24	02/20/1998

General Industry/Product Exams

Exam	Category	Date
B Securities Industry Essentials Examination	SIE	10/01/2018
B General Securities Representative Examination	Series 7	02/20/1988

State Securities Law Exams

Exam	Category	Date
B IA Uniform Combined State Law Examination	Series 66	08/23/2009
B Uniform Securities Agent State Law Examination	Series 63	03/11/1988

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 08/2009 - 10/2024	AMERICAN PORTFOLIOS ADVISORS, INC	112697	HOLBROOK, NY
B 02/2009 - 10/2024	AMERICAN PORTFOLIOS FINANCIAL SERVICES, INC.	18487	Garden City, NY
B 08/1996 - 03/2009	SANDGRAIN SECURITIES, INC.	26004	GARDEN CITY, NY
B 05/1990 - 08/1996	PRUDENTIAL SECURITIES INCORPORATED	7471	NEW YORK, NY
B 03/1988 - 04/1990	PAINEWEBBER INCORPORATED	8174	WEEHAWKEN, NJ
B 02/1988 - 03/1988	L. F. ROTHSCHILD & CO. INCORPORATED	501	

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
10/2024 - Present	OSAIC WEALTH, INC.	Mass Transfer	Y	SCOTTSDALE, AZ, United States
02/2009 - 10/2024	AMERICAN PORTFOLIOS	REGISTERED REPRESENTATIVE	Y	ROCKVILLE CENTRE, NY, 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.

No information reported.

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.
 -
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
Customer Dispute	0	4	N/A



Disclosure Event Details

When evaluating this information, please keep in mind that a disclosure 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.

Customer Dispute - Settled

This type of disclosure event involves a consumer-initiated, investment-related complaint, arbitration proceeding or civil suit containing allegations of sale practice violations against the broker that resulted in a monetary settlement to the customer.

Disclosure 1 of 4

Reporting Source: Regulator

Employing firm when activities occurred which led to the complaint: PRUDENTIAL SECURITIES INCORPORATED

Allegations: BRCH OF FIDUCIARY DT; UNAUTHORIZED TRADING; CHURNING; ACCOUNT RELATED - FAILURE TO SUPERVISE

Product Type:

Alleged Damages: \$150,000.00

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: NASD - CASE #97-03813

Date Notice/Process Served: 08/26/1997

Arbitration Pending? No

Disposition: Settled

Disposition Date: 09/11/1998

Disposition Detail: CASE IS CLOSED, SETTLED
*****CASE SETTLED*****

Reporting Source: Firm



Employing firm when activities occurred which led to the complaint: PRUDENTIAL SECURITIES INCORPORATED

Allegations: CLAIMANT ALLEGES UNAUTHORIZED TRADING, CHURNING, EXCESSIVE MARGIN AND OVERCONCENTRATION IN GNMAS WITH ALLEGED COMPENSATORY DAMAGES OF APPROXIMATELY \$150,000.00

Product Type:

Alleged Damages: \$150,000.00

Customer Complaint Information

Date Complaint Received:

Complaint Pending? No

Status: Arbitration/Reparation

Status Date: 09/11/1998

Settlement Amount:

Individual Contribution Amount:

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: NASD; 97-03813

Date Notice/Process Served: 08/26/1997

Arbitration Pending? No

Disposition: Settled

Disposition Date: 09/11/1998

Monetary Compensation Amount: \$20,000.00

Individual Contribution Amount:

Firm Statement CLAIMANT, [CUSTOMER] DISMISSED ALL CLAIMS AGAINST FA ROBERT BOLEBRUCH.
NOT PROVIDED



Reporting Source: Broker

Employing firm when activities occurred which led to the complaint: PRUDENTIAL SECURITIES INCORPORATED

Allegations: DISMISSED 9/15/1998-CLAIMANT- [CUSTOMER]
DISMISSED ALL CLAIMS AGAINST F.A. ROBERT A. BOLEBRUCH.

Product Type:

Alleged Damages: \$150,000.00

Customer Complaint Information

Date Complaint Received:

Complaint Pending? No

Status: Arbitration/Reparation

Status Date: 09/11/1998

Settlement Amount:

Individual Contribution Amount:

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: NASD; 97-03813

Date Notice/Process Served: 08/26/1997

Arbitration Pending? No

Disposition: Settled

Disposition Date: 09/11/1998

Monetary Compensation Amount: \$20,000.00

Individual Contribution Amount:

Broker Statement I AM REQUESTING THAT [CUSTOMER'S] CLAIM #97-03813 BE SWITCHED TO NON-REPORTING STATUS. THIS CLAIM WAS DISMISSED ON SEPTEMBER 15, 1998 WILL ALL CLAIMS AGAINST ME ALSO DISMISSED. [CUSTOMER'S] WAS DISMISSED DUE TO THE EVIDENCE. [SETTLED FOR \$20,000] [CUSTOMER'S] OWN COPIES SHOWED THAT HE WAS AND



CONTINUE TO BE A SOFISTICATED INVESTOR IN 6-8 RACE HORSES, WITH AN AVERAGE INCOME EXCEEDING \$250,000, VARIOUS REAL ESTATE DEALS AND VARIOUS BROKERAGE ACCOUNTS ALL USING MARGIN.

Disclosure 2 of 4

Reporting Source: Broker

Employing firm when activities occurred which led to the complaint: PRUDENTIAL SECURITIES INCORPORATED

Allegations: UNAUTHORIZED TRADE, CHURNING, FAILURE TO FOLLOW DIRECTIONS, UNSUITABILITY

Product Type:

Alleged Damages: \$110,000.00

Customer Complaint Information

Date Complaint Received:

Complaint Pending? No

Status: Arbitration/Reparation

Status Date: 07/05/1995

Settlement Amount:

Individual Contribution Amount:

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: NEW YORK STOCK EXCHANGE; 94-4444

Date Notice/Process Served: 01/01/1995

Arbitration Pending? No

Disposition: Settled

Disposition Date: 07/05/1995

Monetary Compensation Amount: \$15,000.00

Individual Contribution Amount:

**Broker Statement**

[CUSTOMER] DISMISSED ROBERT BOLEBRUCH FROM THE CASE WITHOUT LIABILITY. PRUDENTIAL SETTLED WITH [CUSTOMER] FOR \$15,000. DROPPING ME WAS PART OF THE SETTLEMENT. I HAVE REQUESTED THE RELEASE FROM PRUDENTIAL SECURITIES. PRIOR TO THE ARBITRATION, [CUSTOMER] BROUGHT AN ACTION AGAINST SMITH BARNEY FOR THE SAME TYPE OF TRADING. [CUSTOMER'S] ACCOUNT WAS TRADED BY HER HUSBAND [SPOUSE] WHO HAD A POFI FOR THE ACCOUNT. [SPOUSE] IS A FINANCIAL CONSULTANT. HOLDS A SECURITY LICENSE & HAS PUBLISHED SEVERAL OPTION STRATEGIES.

Disclosure 3 of 4

Reporting Source: Regulator

Employing firm when activities occurred which led to the complaint: PRUDENTIAL SECURITIES, INC.

Allegations: SUITABILITY; CHURNING

Product Type:

Alleged Damages: \$150,000.00

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: NASD - CASE #93-04052

Date Notice/Process Served: 11/29/1993

Arbitration Pending? No

Disposition: Settled

Disposition Date: 07/14/1994

Disposition Detail: CASE IS CLOSED, SETTLED
Not Provided

Reporting Source: Broker

Employing firm when activities occurred which led to the complaint: PRUDENTIAL SECURITIES, INC.

Allegations: CUSTOMER [CUSTOMER] ALLEGED MISREPRESENTATION,



UNSUITABILITY, AND UNAUTHORIZED TRADES INVOLVING PURCHASE
AND
SALE OF MUNICIPAL BONDS AND MUTUAL FUNDS WITH ALLEGED
DAMAGES
OF \$150,000.00.

Product Type:

Alleged Damages: \$150,000.00

Customer Complaint Information

Date Complaint Received:

Complaint Pending? No

Status: Arbitration/Reparation

Status Date:

Settlement Amount:

**Individual Contribution
Amount:**

Arbitration Information

**Arbitration/Reparation Claim
filed with and Docket/Case
No.:** NATIONAL ASSOCIATION OF SECURITIES DEALERS, INC.; 93-04052

Date Notice/Process Served: 11/29/1993

Arbitration Pending? No

Disposition: Settled

Disposition Date: 07/14/1994

**Monetary Compensation
Amount:** \$57,000.00

**Individual Contribution
Amount:**

Broker Statement

CASE WAS SETTLED FOR \$57,000.
I AGREED TO SETTLE THIS CASE BASED ON [CUSTOMER'S]
CLAIM. EXCEPT FOR THE ALLEGED CLAIM OF UNAUTHORIZED TRADING. I
HAVE NEVER DONE AN UNAUTHORIZED TRADE IN [CUSTOMER'S] OR
ANYONE
ELSE'S ACCOUNT. I STRONGLY DENY ANY SUCH ACCUSATION TO THAT
EFFECT. I WROTE MY ABOVE STATEMENT ORIGINALLY ON 8/1/94 AND WAS
TOLD THAT IT WOULD BE ENTERED AS SUCH. I WAS ALSO TOLD TO



SETTLE THIS CASE BY PRUDENTIAL ADVICE.

Disclosure 4 of 4

Reporting Source: Regulator

Employing firm when activities occurred which led to the complaint: PRUDENTIAL SECURITIES, INC.

Allegations: SUITABILITY; CHURNING; BRCH OF FIDUCIARY DT

Product Type:

Alleged Damages: \$75,000.00

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: UNKNOWN - CASE #93-01282

Date Notice/Process Served: 04/23/1993

Arbitration Pending? No

Disposition: Settled

Disposition Date: 12/05/1994

Disposition Detail: CASE CLOSED,SETTLED/OTHER ACTUAL/COMPENSATORY DAMAGES, RELIEF REQUEST IS WITHDRAWN/SETTLED/ETC, AWARD AMOUNT JOINTLY AND SEVERALLY; PUNITIVE/EXEMPLARY DAMAGES, RELIEF REQUEST IS WITHDRAWN/SETTLED/ETC, AWARD AMOUNT JOINTLY AND SEVERALLY; ATTORNEY'S FEES, RELIEF REQUEST IS WITHDRAWN/SETTLED/ETC, AWARD AMOUNT JOINTLY AND SEVERALLY; OTHER MONETARY RELIEF, RELIEF REQUEST IS WITHDRAWN/SETTLED/ETC, AWARD AMOUNT JOINTLY AND SEVERALLY

Reporting Source: Broker

Employing firm when activities occurred which led to the complaint: PRUDENTIAL SECURITIES, INC.

Allegations: WIFE AND EXECUTOR OF SEATE OF [THIRD PARTY] BROUGHT ARBITRATION CLAIM ALLEGING UNAUTHORIZED, UNSUITABLE



AND
EXCESSIVE. TRADING IN [THIRD PARTY] ACCOUNT. WITH ALLEGED
DAMAGES OF \$75,000.00.

Product Type:

Alleged Damages: \$75,000.00

Customer Complaint Information

Date Complaint Received:

Complaint Pending? No

Status: Arbitration/Reparation

Status Date:

Settlement Amount:

**Individual Contribution
Amount:**

Arbitration Information

**Arbitration/Reparation Claim
filed with and Docket/Case
No.:** NATIONAL ASSOCIATION OF SECURITIES DEALERS, INC.; 93-01282

Date Notice/Process Served: 04/23/1993

Arbitration Pending? No

Disposition: Settled

Disposition Date: 12/05/1994

**Monetary Compensation
Amount:** \$12,000.00

**Individual Contribution
Amount:**

Broker Statement

CASE WAS SETTLED FOR \$12,000.00 ONLY TO AVOID
THE COSTS ASSOCIATED WITH LITIGATING MATTER OVER SEVERAL DAYS
IN CLEVELAND, OH.
CASE WAS SETTLED FOR \$12,000.00 ONLY TO AVOID THE
COSTS ASSOCIATED WITH LITIGATING MATTER OVER SEVERAL DAYS IN
CLEVELAND, OH. I AGREED TO THE SETTLEMENT OF THIS CASE BY
PRUDENTIAL SEC. BUT NOT TO THE ACCUSATION BY THE [THIRD PARTY]
ESTATE.
EACH TRADE IN THIS ACCOUNT WAS DISCUSSEDM REASONABLE AND
SUITABLE FOR WHAT [THIRD PARTY] INTENDED THEM TO BE. HE WAS MY



FRIEND AND MY CLIENT. HIS SONS ACCUSATIONS WERE AND ARE WITHOUT MERIT. PRUDENTIAL SETTLED THIS CASE, AS I WAS TOLD IT WAS A FORM OF PROFESSIONAL COURTESY BETWEEN THE ATTORNEYS.

End of Report



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