

BrokerCheck Report

SAMUEL CABOT CLARK

CRD# 2205783

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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.

**SAMUEL C. CLARK**

CRD# 2205783

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

IA OSAIC WEALTH, INC.
 10610 SOUTH JORDAN GATEWAY
 SUITE 210
 SOUTH JORDAN, UT 84095
 CRD# 23131
 Registered with this firm since: 04/02/2013

B OSAIC WEALTH, INC.
 10610 SOUTH JORDAN GATEWAY
 SUITE 210
 SOUTH JORDAN, UT 84095
 CRD# 23131
 Registered with this firm since: 03/06/2013

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
- 19 U.S. states and territories

This broker has passed:

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

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

- IA LINCOLN FINANCIAL ADVISORS CORPORATION**
 CRD# 3978
 FORT WAYNE, IN
 08/1999 - 03/2013
- B LINCOLN FINANCIAL ADVISORS CORPORATION**
 CRD# 3978
 SALT LAKE CITY, UT
 07/1999 - 03/2013
- B THE LINCOLN NATIONAL LIFE INSURANCE COMPANY**
 CRD# 2580
 SALT LAKE CITY, UT
 07/1999 - 05/2006

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	2
Termination	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 19 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	03/06/2013
B	FINRA	Invest. Co and Variable Contracts	Approved	03/06/2013

	U.S. State/ Territory	Category	Status	Date
B	Alabama	Agent	Approved	04/22/2025
B	Arizona	Agent	Approved	11/02/2018
B	California	Agent	Approved	04/24/2013
IA	California	Investment Adviser Representative	Approved	09/22/2014
B	Colorado	Agent	Approved	06/25/2014
IA	Colorado	Investment Adviser Representative	Approved	09/30/2014
B	Florida	Agent	Approved	08/08/2013
IA	Florida	Investment Adviser Representative	Approved	09/22/2014
B	Georgia	Agent	Approved	10/27/2021
B	Idaho	Agent	Approved	03/06/2013
IA	Idaho	Investment Adviser Representative	Approved	04/02/2013



Broker Qualifications

Employment 1 of 1, continued

	U.S. State/ Territory	Category	Status	Date
B	Michigan	Agent	Approved	06/19/2013
IA	Michigan	Investment Adviser Representative	Approved	09/22/2014
B	Minnesota	Agent	Approved	08/12/2019
B	Montana	Agent	Approved	03/16/2023
B	New Mexico	Agent	Approved	03/26/2018
B	Oregon	Agent	Approved	08/01/2018
B	Pennsylvania	Agent	Approved	11/15/2024
B	Texas	Agent	Approved	05/16/2024
IA	Texas	Investment Adviser Representative	Restricted Approval	05/14/2024
B	Utah	Agent	Approved	04/01/2013
IA	Utah	Investment Adviser Representative	Approved	04/02/2013
B	Virginia	Agent	Approved	08/21/2021
B	Washington	Agent	Approved	03/06/2013
IA	Washington	Investment Adviser Representative	Approved	05/22/2013
B	Wisconsin	Agent	Approved	06/20/2016
IA	Wisconsin	Investment Adviser Representative	Approved	06/20/2016
B	Wyoming	Agent	Approved	03/06/2013

Branch Office Locations

OSAIC WEALTH, INC.
 10610 SOUTH JORDAN GATEWAY
 SUITE 210
 SOUTH JORDAN, UT 84095

Broker Qualifications



Employment 1 of 1, continued



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, 3 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	12/21/2003
B Investment Company Products/Variable Contracts Representative Examination	Series 6	01/21/1992

State Securities Law Exams

Exam	Category	Date
IA Uniform Investment Adviser Law Examination	Series 65	04/28/1999
B Uniform Securities Agent State Law Examination	Series 63	04/15/1992

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 08/1999 - 03/2013	LINCOLN FINANCIAL ADVISORS CORPORATION	3978	SALT LAKE CITY, UT
B 07/1999 - 03/2013	LINCOLN FINANCIAL ADVISORS CORPORATION	3978	SALT LAKE CITY, UT
B 07/1999 - 05/2006	THE LINCOLN NATIONAL LIFE INSURANCE COMPANY	2580	SALT LAKE CITY, UT
B 04/1992 - 09/1999	SIGNATOR INVESTORS, INC.	468	BOSTON, MA
B 04/1992 - 05/1997	JOHN HANCOCK MUTUAL LIFE INSURANCE COMPANY	5181	BOSTON, MA
B 01/1992 - 02/1992	FIDELITY BROKERAGE SERVICES, INC.	7784	SMITHFIELD, RI

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
02/2013 - Present	ROYAL ALLIANCE	REGISTERED REP	Y	SALT LAKE CITY, UT, 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) INTEGRATED FINANCIAL GROUP

POSITION: Partner - NATURE: Limited Liability Company - INVESTMENT RELATED: Yes NUMBER OF HOURS: 2 SECURITIES TRADING

HOURS: 8 START DATE: 01/01/2008

ADDRESS: 10610 South Jordan Gateway, Suite 210, South Jordan UT 84095, United States

DESCRIPTION: the preparation, sale of annuities, life insurance, long term care, and disability insurance



Registration and Employment History

Other Business Activities, continued

2) MEGA HOLDINGS LLC

POSITION: MANAGER NATURE: OWNS RENTAL HOME INVESTMENT RELATED: NO NUMBER OF HOURS: 1 SECURITIES TRADING
HOURS: 1 START DATE: 02/02/2015
ADDRESS: 13511 FAIR HILL CT, DRAPER UT 84020
DESCRIPTION: LOOK OVER MORTGAGE STATEMENTS

3) FULLARK LLC

POSITION: LIMITED PARTNER NATURE: INVESTMENT INVESTMENT RELATED: NO NUMBER OF HOURS: 1 SECURITIES TRADING
HOURS: 1 START DATE: 01/01/2015
ADDRESS: 13511 FAIR HILL CT, DRAPER UT 84020
DESCRIPTION: NONE

4) INTEGRATED 106 LLC

POSITION: manager NATURE: An llc that we will eventually have our business building in and pay rent INVESTMENT RELATED: No NUMBER
OF HOURS: 1 SECURITIES TRADING HOURS: 1 START DATE: 10/27/2017
ADDRESS: 10610 South Jordan Gateway, Suite 210, South Jordan UT 84095, United States
DESCRIPTION: yearly tax return

5) S-CLARK CONSULTING

POSITION: President NATURE: S- Corporation INVESTMENT RELATED: No NUMBER OF HOURS: 40 SECURITIES TRADING HOURS: 40
START DATE: 04/01/2013
ADDRESS: 10610 South Jordan Gateway, Suite 210, South jordan UT 84095, United States
DESCRIPTION: Oversee my personal financial planning and recieves my commissions

6) S&S INVESTMENTS LLC

POSITION: Owner - NATURE: LLC INVESTMENT RELATED: No NUMBER OF HOURS: 1 SECURITIES TRADING HOURS: 1 START DATE:
01/01/2000
ADDRESS: 13511 fair hill ct, Draper UT 84020, United States
DESCRIPTION: Estate planning LLC with Family
Hold some investments

7. KKCT HELENA, LLC

POSITION: Partner NATURE: To hold a minority interest in a Multifamily commercial real estate project in Helena MT INVESTMENT RELATED:
Yes NUMBER OF HOURS: 1 SECURITIES TRADING HOURS: 0 START DATE: 07/31/2025
ADDRESS: 968 W Chapel Ridge Drive, SUITE 210, South Jordan UT 84095-7839, United States
DESCRIPTION: No Formal Duties

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	2	N/A
Termination	N/A	1	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 2

Reporting Source:	Broker
Employing firm when activities occurred which led to the complaint:	ROYAL ALLIANCE ASSOCIATES, INC.
Allegations:	Claimant alleges the representative recommended an investment that was unsuitable.
Product Type:	Other: BDC
Alleged Damages:	\$1,000,000.00
Is this an oral complaint?	No
Is this a written complaint?	No
Is this an arbitration/CFTC reparation or civil litigation?	Yes
Arbitration/Reparation forum or court name and location:	FINRA ARBITRATION
Docket/Case #:	21-01482
Filing date of arbitration/CFTC reparation or civil litigation:	06/09/2021

Customer Complaint Information

Date Complaint Received: 06/10/2021



Complaint Pending?	No
Status:	Settled
Status Date:	09/20/2022
Settlement Amount:	\$150,000.00
Individual Contribution Amount:	\$0.00
Broker Statement	The client invested in an approved program, and the program was consistent with Claimant's risk tolerance and investment objectives. This matter was settled by the broker dealer without my involvement solely to avoid the needless expense and inconvenience of arbitration. The investment was suitable and performed well despite current market conditions.

Disclosure 2 of 2

Reporting Source:	Broker
Employing firm when activities occurred which led to the complaint:	LINCOLN FINANCIAL ADVISORS
Allegations:	CLAIMANTS ALLEGE THE REPRESENTATIVE IN EARLY 2007 SOLICITED AND RECOMMENDED THE PURCHASE OF A LIFE INSURANCE POLICY AS AN INVESTMENT WITH THE INTENT TO LATER SELL THE POLICY TO INVESTORS IN A SECONDARY MARKET FOR SUBSTANTIAL RETURNS. CLAIMANTS FURTHER ALLEGE THEY WERE NOT TOLD OF THE RISKS ASSOCIATED WITH THIS TYPE OF INVESTMENT.
Product Type:	Insurance
Alleged Damages:	\$0.00
Alleged Damages Amount Explanation (if amount not exact):	DAMAGES ARE BELIEVED TO BE GREATER THAN \$5000.00 AND WILL BE DETERMINED AT THE HEARING.
Is this an oral complaint?	No
Is this a written complaint?	Yes
Is this an arbitration/CFTC reparation or civil litigation?	Yes
Arbitration/Reparation forum or court name and location:	FINRA



Docket/Case #: 11-00565
Filing date of arbitration/CFTC reparation or civil litigation: 02/09/2011

Customer Complaint Information

Date Complaint Received: 03/07/2011
Complaint Pending? No
Status: Settled
Status Date: 07/10/2012
Settlement Amount: \$1,300,000.00
Individual Contribution Amount: \$0.00

Broker Statement

THE LINCOLN REPRESENTATIVES REFERRED THE INSURANCE TO THIRD PARTY CONSULTANTS TO EVALUATE AND DETERMINE THE NEED, OPTIONS, AND RISKS OF THE ACQUIRING LIFE INSURANCE AND ITS EVENTUAL DISPOSITION. IT WAS NOT DETERMINED THAT THE LIFE INSURANCE WOULD EVENTUALLY BE SOLD FOR INVESTMENT OR THAT IT WOULD BE USED FOR ESTATE LIQUIDITY AT THE INSURED'S DEATH WHEN THE INSURANCE WAS ACQUIRED. EITHER OPTION WAS A LEGITIMATE OPTION OF THE INSURANCE CONTRACT. THE LINCOLN REPRESENTATIVES WERE NOT INVOLVED IN THE INSURANCE COMPANY SELECTION; THEY WERE NOT LISTED ON THE APPLICATION AS SOLICITORS OR INVOLVED IN THE PROCESSING AND PLACEMENT OF THE INSURANCE CONTRACTS.

THE LINCOLN REPRESENTATIVES WERE NOT RESPONDENTS TO THE ARBITRATION AND DID NOT CONTRIBUTE IN ANY WAY TO THIS SETTLEMENT EITHER PERSONALLY OR THROUGH THEIR E&O COVERAGE.



Employment Separation After Allegations

This type of disclosure event involves a situation where the broker voluntarily resigned, was discharged, or was permitted to resign after being accused of (1) violating investment-related statutes, regulations, rules or industry standards of conduct; (2) fraud or the wrongful taking of property; or (3) failure to supervise in connection with investment-related statutes, regulations, rules, or industry standards of conduct.

Disclosure 1 of 1

Reporting Source: Firm

Employer Name: LINCOLN FINANCIAL ADVISORS CORPORATION

Termination Type: Discharged

Termination Date: 02/21/2013

Allegations: REGISTERED REPRESENTATIVE WAS TERMINATED FOR VIOLATIONS OF FIRM POLICY REGARDING COMMUNICATIONS WITH THE PUBLIC INCLUDING A VIOLATION OF FIRM POLICY RELATED TO CLIENT COMMUNICATIONS INVOLVING THE SOLICITATION OF PRIVATE PLACEMENTS.

Product Type: Other: PRIVATE PLACEMENT

Reporting Source: Broker

Employer Name: LINCOLN FINANCIAL

Termination Type: Discharged

Termination Date: 02/21/2013

Allegations: REGISTERED REPRESENTATIVE WAS TERMINATED FOR VIOLATIONS OF FIRM POLICY REGARDING COMMUNICATIONS WITH THE PUBLIC INCLUDING A VIOLATION OF FIRM POLICY RELATED TO CLIENT COMMUNICATIONS INVOLVING THE SOLICITATION OF PRIVATE PLACEMENTS.

Product Type: Other: PRIVATE PLACEMENT

Broker Statement WE ARE WAITING FOR U5 LANGUAGE TO COME OUT. I GAVE MY RESINATION ON 02/14/2013. I WAS GIVING THE RIGHT TO APPEAL ON 02/11/2013, AND I CHOOSE NOT TO DO SO.

End of Report



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