

BrokerCheck Report

BRIAN PAUL CONNOR

CRD# 2602637

<u>Section Title</u>	<u>Page(s)</u>
Report Summary	1
Broker Qualifications	2 - 4
Registration and Employment History	6
Disclosure Events	7



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.

**BRIAN P. CONNOR**

CRD# 2602637

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

IA OSAIC WEALTH, INC.
 VENICE, FL
 CRD# 23131
 Registered with this firm since: 09/01/2023

B OSAIC WEALTH, INC.
 VENICE, FL
 CRD# 23131
 Registered with this firm since: 09/01/2023

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
- 13 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 SAGEPOINT FINANCIAL, INC.**
 CRD# 133763
 PHOENIX, AZ
 04/2013 - 09/2023
- B SAGEPOINT FINANCIAL, INC.**
 CRD# 133763
 VENICE, FL
 03/2013 - 09/2023
- IA ASSET & FINANCIAL PLANNING, LTD**
 CRD# 110709
 POUGHKEEPSIE, NY
 06/2008 - 04/2013

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
Customer Dispute	3



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 13 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	09/01/2023
B	FINRA	Invest. Co and Variable Contracts	Approved	09/01/2023

	U.S. State/ Territory	Category	Status	Date
B	Connecticut	Agent	Approved	09/01/2023
B	Florida	Agent	Approved	09/01/2023
IA	Florida	Investment Adviser Representative	Approved	09/01/2023
B	Indiana	Agent	Approved	09/01/2023
B	Maine	Agent	Approved	09/01/2023
B	Massachusetts	Agent	Approved	09/01/2023
B	Michigan	Agent	Approved	09/01/2023
B	Minnesota	Agent	Approved	03/13/2025
B	New Hampshire	Agent	Approved	09/01/2023
B	New York	Agent	Approved	09/01/2023
B	Ohio	Agent	Approved	11/03/2023

Broker Qualifications



Employment 1 of 1, continued

	U.S. State/ Territory	Category	Status	Date
B	Pennsylvania	Agent	Approved	09/01/2023
B	Vermont	Agent	Approved	09/01/2023
B	Virginia	Agent	Approved	09/01/2023

Branch Office Locations

OSAIC WEALTH, INC.
VENICE, FL



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	10/24/2006
B Investment Company Products/Variable Contracts Representative Examination	Series 6	02/21/2000

State Securities Law Exams

Exam	Category	Date
B IA Uniform Combined State Law Examination	Series 66	05/01/2008
B Uniform Securities Agent State Law Examination	Series 63	09/25/2003

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 04/2013 - 09/2023	SAGEPOINT FINANCIAL, INC.	133763	VENICE, FL
B 03/2013 - 09/2023	SAGEPOINT FINANCIAL, INC.	133763	VENICE, FL
IA 06/2008 - 04/2013	ASSET & FINANCIAL PLANNING, LTD	110709	NOKOMIS, FL
B 10/2005 - 04/2013	PRIME CAPITAL SERVICES, INC.	18334	NOKOMIS, FL
IA 02/2000 - 08/2004	INTERSECURITIES, INC.	16164	SARASOTA , FL
B 02/2000 - 08/2004	INTERSECURITIES, INC.	16164	PHILADELPHIA, PA

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	OSAIC WEALTH, INC.	Mass Transfer	Y	VENICE, FL, United States
03/2013 - 09/2023	SAGEPOINT FINANCIAL	REGISTERED REPRESENTATIVE	N	NORTH PORT, FL, 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. ASSET WEALTH MANAGEMENT SERVICES INC.

POSITION: President NATURE: Corporation INVESTMENT RELATED: Yes NUMBER OF HOURS: 120 SECURITIES TRADING HOURS: 120
START DATE: 12/12/2013

ADDRESS: 9210 Falcon Ct, Venice FL 34293, United States

DESCRIPTION: This corporation encompasses my duties as an RIAR and insurance representative and will replace Asset America Insurance Services as my existing corp. as of 1/01/2014

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
Customer Dispute	0	3	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.

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: NASD

Sanction(s) Sought:

Other Sanction(s) Sought:

Date Initiated: 04/29/2005

Docket/Case Number: [04-04166](#)

Employing firm when activity occurred which led to the regulatory action:

Product Type: No Product

Other Product Type(s):

Allegations: BRIAN P. CONNOR FAILED TO COMPLY WITH AN ARBITRATION AWARD OR SETTLEMENT AGREEMENT OR TO SATISFACTORILY RESPOND TO AN NASD REQUEST TO PROVIDE INFORMATION CONCERNING THE STATUS OF COMPLIANCE.

Current Status: Final

Resolution: Order



Resolution Date:	04/29/2005
Sanctions Ordered:	Suspension
Other Sanctions Ordered:	
Sanction Details:	NASD REGISTRATION SUSPENDED APRIL 29, 2005 FOR FAILING TO COMPLY WITH AN ARBITRATION AWARD OR SETTLEMENT AGREEMENT IN ARBITRATION CASE #04-04166 OR TO SATISFACTORILY RESPOND TO AN NASD REQUEST TO PROVIDE INFORMATION CONCERNING THE STATUS OF COMPLIANCE.
Regulator Statement	SUSPENSION LIFTED MAY 12, 2005.
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Reporting Source:	Broker
Regulatory Action Initiated By:	NASD
Sanction(s) Sought:	Suspension
Other Sanction(s) Sought:	
Date Initiated:	05/01/2005
Docket/Case Number:	04-04166
Employing firm when activity occurred which led to the regulatory action:	GLOBAL FINANCIAL ADVISORY
Product Type:	Mutual Fund(s)
Other Product Type(s):	
Allegations:	NASD NEVER NOTIFIED BY COMPLIANCE DEPARTMENT OF GLOBAL FINANCIAL ADVISORY THAT AWARD WAS PAID ON TIME AND PROOF SUBMITTED OF THAT FACT.
Current Status:	Final
Resolution:	Other
Resolution Date:	07/01/2005
Broker Statement	NASD SUSPENSION RESULTED FROM NOT BEING NOTIFIED THAT AWARD WAS PAID. PROOF OF PAYMENT WAS SENT TO NASD AFTER SUSPENSION RESULTING IN SUSPENSION BEING LIFTED.



Customer Dispute - Award / Judgment

This type of disclosure event involves a final, consumer-initiated, investment-related arbitration or civil suit containing allegations of sales practice violations against the broker that resulted in an arbitration award or civil judgment for the customer.

Disclosure 1 of 1

Reporting Source: Regulator

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

Allegations: FAILURE TO FOLLOW INSTRUCTIONS BY FAILING TO IMMEDIATELY TRANSFER AN IRA ACCOUNT WHEN REQUESTED, DUE TO LACK OF AUTHORIZATION

Product Type: Mutual Fund(s)

Other Product Type(s): ANNUITY

Alleged Damages: \$11,874.98

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: [NASD - CASE #04-04166](#)

Date Notice/Process Served: 06/10/2004

Arbitration Pending? No

Disposition: Award

Disposition Date: 01/31/2005

Disposition Detail: CONNOR IS LIABLE FOR \$8586.00 PLUS INTEREST

Reporting Source: Firm

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

Allegations: REGARDING A PROPOSED VARIABLE ANNUITY PURCHASE IN AUGUST 2002, THE CUSTOMER ALLEGES SHE SUFFERED LOSSES TO HER MUTUAL FUNDS DUE TO PROCESSING AND DELAYS INCURRED AS A RESULT OF THE REPRESENTATIVE'S OVERSIGHTS AND/OR OMISSION IN OBTAINING ALL THE NECESSARY REQUIRED AUTHORIZATION.



Product Type: Mutual Fund(s)
Other Product Type(s): VARIABLE ANNUITY
Alleged Damages: \$11,874.00

Customer Complaint Information

Date Complaint Received: 02/04/2003
Complaint Pending? No
Status: Arbitration/Reparation
Status Date: 06/21/2004
Settlement Amount:

Individual Contribution Amount:

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: [NASD ARBITRATION NO. 04-04166](#)

Date Notice/Process Served: 06/21/2004
Arbitration Pending? No
Disposition: Award to Customer
Disposition Date: 02/16/2005
Monetary Compensation Amount: \$12,752.36
Individual Contribution Amount: \$9,564.27

Firm Statement CLIENT WAS AWARDED A TOTAL OF \$11,448 PLUS INTEREST AT 3% PER ANNUM FROM 7/1/02-12/30/04 ALONG WITH THE \$425 IN FILING FEES. THE REPRESENTATIVE WAS RESPONSIBLE FOR \$8,586 PLUS INTEREST AT 3% PER ANNUM FROM 7/1/02-12/30/04 ALONG WITH \$318.75 FOR FILING FEES. ISI WAS LIABLE FOR THE REMAINING AMOUNT.

Reporting Source: Broker
Employing firm when activities occurred which led to the complaint: INTERSECURITIES, INC.



Allegations: REGARDING A PROPOSED VARIABLE ANNUITY PURCHASE IN AUGUST 2002, THE CUSTOMER ALLEGES SHE SUFFERED LOSSES TO HER MUTUAL FUNDS DUE TO PROCESSING AND DELAYS INCURRED AS A RESULT OF THE REPRESENTATIVE'S OVERSIGHTS AND/OR OMISSION IN OBTAINING ALL THE NECESSARY REQUIRED AUTHORIZATION.

Product Type: Mutual Fund(s)

Other Product Type(s): VARIABLE ANNUITY

Alleged Damages: \$11,874.00

Customer Complaint Information

Date Complaint Received: 02/04/2003

Complaint Pending? No

Status: Arbitration/Reparation

Status Date: 02/16/2005

Settlement Amount:

Individual Contribution Amount:

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: [NASD DISPUTE RESOLUTION ARBITRATION NO. 04-04166](#)

Date Notice/Process Served: 02/16/2005

Arbitration Pending? No

Disposition: Award to Customer

Disposition Date: 02/16/2005

Monetary Compensation Amount: \$11,448.00

Individual Contribution Amount: \$9,382.15



Customer Dispute - Settled

This type of disclosure event involves (1) a consumer-initiated, investment-related arbitration or civil suit containing allegations of sales practice violations against the individual broker that was dismissed, withdrawn, or denied; or (2) a consumer-initiated, investment-related written complaint

Disclosure 1 of 1

Reporting Source:	Broker
Employing firm when activities occurred which led to the complaint:	PRIME CAPITAL SERVICES, INC.
Allegations:	CLIENT CLAIMS THAT THE RECOMMENDATION TO PURCHASE A VARIABLE ANNUITY AND TO INVEST IN A MANAGED BROKERAGE ACCOUNT IN FEBRUARY 2008 WERE UNSUITABLE.
Product Type:	Annuity-Variable Other: MANAGED ACCOUNT
Alleged Damages:	\$176,000.00
Is this an oral complaint?	No
Is this a written complaint?	Yes
Is this an arbitration/CFTC reparation or civil litigation?	No

Customer Complaint Information

Date Complaint Received:	02/02/2010
Complaint Pending?	No
Status:	Settled
Status Date:	04/06/2010
Settlement Amount:	\$10,000.00
Individual Contribution Amount:	\$1,861.00
Broker Statement	CLIENT, WITH LONG-TIME INVESTMENT EXPERIENCE, UNDERSTOOD HE WAS INVESTED IN THE SECURITIES MARKETS BUT NEVER THOUGHT HIS INVESTMENTS COULD DECLINE AS MUCH AS THEY DID. ACTIVE MANAGEMENT OF THE ACCOUNTS KEPT THE RESULTS WELL ABOVE INDEX AVERAGES DURING THE WORST ECONOMIC CONDITIONS SINCE THE DEPRESSION.



Customer Dispute - Closed-No Action / Withdrawn / Dismissed / Denied

This type of disclosure event involves (1) a consumer-initiated, investment-related arbitration or civil suit containing allegations of sales practice violations against the individual broker that was dismissed, withdrawn, or denied; or (2) a consumer-initiated, investment-related written complaint containing allegations that the broker engaged in sales practice violations resulting in compensatory damages of at least \$5,000, forgery, theft, or misappropriation, or conversion of funds or securities, which was closed without action, withdrawn, or denied.

Disclosure 1 of 1

Reporting Source: Broker

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

Allegations: REGARDING THE PURCHASE OF TWO VARIABLE ANNUITIES IN MAY OF 2002, THE CUSTOMER ALLEGES THE CONTRACTS ARE UNSUITABLE AND DOES NOT NEED THE TAX DEFERRAL AND THE HIGHER COSTS AFFILIATED WITH A VARIABLE ANNUITY.

Product Type: Annuity(ies) - Variable

Alleged Damages: \$413,857.00

Customer Complaint Information

Date Complaint Received: 07/15/2002

Complaint Pending? No

Status: Denied

Status Date: 08/16/2002

Settlement Amount:

Individual Contribution Amount:

Broker Statement AFTER A REVIEW OF THE CLIENT'S FILE, THE REPRESENTATIVE'S RESPONSE AND THE ISSUING INSURANCE COMPANY REGARDING THIS MATTER, IT APPEARS THE POLICIES WERE ACCURATELY AND HONESTLY PRESENTED AND THE CUSTOMER HAD SUFFICIENT INFORMATION TO MAKE AN INFORMED DECISION. COMPLAINT DENIED.

End of Report



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