BrokerCheck Report

SCOTT DOUGLAS HARWELL

CRD# 2693610

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.
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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.

SCOTT D. HARWELL

CRD# 2693610

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

IA **OSAIC WEALTH, INC.**
5401 S KIRKMAN ROAD
SUITE 310
ORLANDO, FL 32819
CRD# 23131
Registered with this firm since: 06/14/2024

B **OSAIC WEALTH, INC.**
5401 S KIRKMAN ROAD
SUITE 310
ORLANDO, FL 32819
CRD# 23131
Registered with this firm since: 06/14/2024

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
- 22 U.S. states and territories

This broker has passed:

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

Registration History

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

IA **SECURITIES AMERICA ADVISORS, INC.**
CRD# 110518
LA VISTA, NE
08/2007 - 06/2024

B **SECURITIES AMERICA, INC.**
CRD# 10205
ORLANDO, FL
07/2007 - 06/2024

IA **BROOKSTREET CAPITAL MANAGEMENT**
CRD# 14667
SAN JUAN CAPISTRANO, CA
06/2003 - 07/2007

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

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 22 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	06/14/2024
B	FINRA	General Securities Representative	Approved	06/14/2024
B	FINRA	Invest. Co and Variable Contracts	Approved	06/14/2024
B	FINRA	Operations Professional	Approved	06/14/2024

	U.S. State/ Territory	Category	Status	Date
B	Alabama	Agent	Approved	06/14/2024
B	Arkansas	Agent	Approved	06/14/2024
B	Colorado	Agent	Approved	05/16/2025
B	Connecticut	Agent	Approved	06/11/2025
B	Florida	Agent	Approved	06/14/2024
IA	Florida	Investment Adviser Representative	Approved	06/14/2024
B	Georgia	Agent	Approved	06/14/2024
IA	Georgia	Investment Adviser Representative	Approved	06/14/2024
B	Illinois	Agent	Approved	06/14/2024

Broker Qualifications

Employment 1 of 1, continued

	U.S. State/ Territory	Category	Status	Date
B	Indiana	Agent	Approved	06/14/2024
B	Kentucky	Agent	Approved	06/14/2024
B	Maryland	Agent	Approved	06/14/2024
B	Michigan	Agent	Approved	06/14/2024
B	Minnesota	Agent	Approved	06/14/2024
B	Mississippi	Agent	Approved	06/14/2024
B	Missouri	Agent	Approved	06/14/2024
B	New Hampshire	Agent	Approved	06/14/2024
B	New York	Agent	Approved	06/14/2024
B	North Carolina	Agent	Approved	06/14/2024
B	Ohio	Agent	Approved	06/14/2024
B	Oregon	Agent	Approved	06/14/2024
B	South Carolina	Agent	Approved	06/14/2024
B	Vermont	Agent	Approved	06/14/2024
B	Virginia	Agent	Approved	06/14/2024

Branch Office Locations

OSAIC WEALTH, INC.
5401 S KIRKMAN ROAD
SUITE 310
ORLANDO, FL 32819

OSAIC WEALTH, INC.
MARIETTA, GA

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

Principal/Supervisory Exams

	Exam	Category	Date
B	General Securities Principal Examination	Series 24	02/22/2005

General Industry/Product Exams

	Exam	Category	Date
B	Operations Professional Examination	Series 99TO	01/02/2023
B	Securities Industry Essentials Examination	SIE	10/01/2018
B	General Securities Representative Examination	Series 7	02/22/1999
B	Investment Company Products/Variable Contracts Representative Examination	Series 6	01/19/1996

State Securities Law Exams

	Exam	Category	Date
B IA	Uniform Combined State Law Examination	Series 66	03/21/2005
B	Uniform Securities Agent State Law Examination	Series 63	03/09/1998

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	08/2007 - 06/2024	SECURITIES AMERICA ADVISORS, INC.	110518	ORLANDO, FL
B	07/2007 - 06/2024	SECURITIES AMERICA, INC.	10205	ORLANDO, FL
IA	06/2003 - 07/2007	BROOKSTREET CAPITAL MANAGEMENT	14667	ORLANDO, FL
B	11/2002 - 07/2007	BROOKSTREET SECURITIES CORPORATION	14667	ORLANDO, FL
IA	09/2002 - 10/2002	COMMONWEALTH FINANCIAL NETWORK	8032	ORLANDO, FL
B	09/2002 - 10/2002	COMMONWEALTH FINANCIAL NETWORK	8032	WALTHAM, MA
B	07/2001 - 10/2002	PRUDENTIAL SECURITIES INCORPORATED	7471	NEW YORK, NY
IA	07/2001 - 10/2002	PRUDENTIAL SECURITIES INCORPORATED	7471	ORLANDO, FL
B	05/1999 - 08/2001	JANNEY MONTGOMERY SCOTT LLC	463	PHILADELPHIA, PA
B	09/1998 - 05/1999	WM FINANCIAL SERVICES, INC.	599	IRVINE, CA
B	03/1996 - 11/1998	JOHN HANCOCK DISTRIBUTORS, INC.	468	BOSTON, MA
B	03/1996 - 05/1997	JOHN HANCOCK MUTUAL LIFE INSURANCE COMPANY	5181	BOSTON, MA

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
06/2024 - Present	OSAIC WEALTH, INC.	Mass Transfer	Y	ORLANDO, FL, United States
06/2024 - Present	OSAIC WEALTH, INC.	Mass Transfer	Y	ORLANDO, FL, United States

Registration and Employment History

Employment History, continued

Employment	Employer Name	Position	Investment Related	Employer Location
01/2005 - Present	PRIVATE ASSET MANAGEMENT LLC.	INSURANCE AGENT / MEMBER	Y	ORLANDO, FL, United States
08/2007 - 06/2024	SECURITIES AMERICA ADVISORS, INC	INVESTMENT ADVISOR REPRESENTATIVE	Y	ORLANDO, FL, United States
07/2007 - 06/2024	SECURITIES AMERICA, INC	REGISTERED REPRESENTATIVE	Y	ORLANDO, 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.

INSURANCE SALES
POSITION: Owner - Agent NATURE: INSURANCE SALES - AGENT - START DATE: 02/1996 - LOCATED AT 5401 S KIRKMAN ROAD Ste. 310, ORLANDO, FL 32819 INVESTMENT RELATED: Yes NUMBER OF HOURS: 10 SECURITIES TRADING HOURS: 10 START DATE: 02/01/1996 ADDRESS: 5401 S. Kirkman Road, Suite 310, Orlando FL 32819 DESCRIPTION: Insurance products

PRIVATE ASSET MANAGEMENT, LLC
POSITION: Owner / Member NATURE: PRIVATE ASSET MANAGEMENT LLC, FINANCIAL SERVICES, MEMBER AND OWNER INVESTMENT RELATED: Yes NUMBER OF HOURS: 10 SECURITIES TRADING HOURS: 10 START DATE: 01/01/2005 ADDRESS: 5401 S. Kirkman Road, Suite 310, Orlando FL 32819 DESCRIPTION: Insurance products fixed, long term care, life insurance, etc.

WEALTH ADVISORS, LLC
POSITION: Manager NATURE: WEATLH ADVISORS LLC, FINANCIAL SERVICES, OWNER, 20% TIME SPENT INVESTMENT RELATED: Yes NUMBER OF HOURS: 20 SECURITIES TRADING HOURS: 20 START DATE: 09/06/2018 ADDRESS: 5401 S. Kirkman Road, Suite 310, Orlando FL 32819 DESCRIPTION: Advisory, insurance, marketing, etc.

THE HARWELL FAMILY FOUNDATION INC.
POSITION: Treasury NATURE: Charity INVESTMENT RELATED: No NUMBER OF HOURS: 4 SECURITIES TRADING HOURS: 1 START DATE: 02/15/2019 ADDRESS: 5401 S. Kirkman Road, Suite 310, Orlando FL 32819 DESCRIPTION: Treasury

CORSA PERFORMANCE GROUP, LLC
POSITION: Member NATURE: Personal estate planning and holding personal vehicles. INVESTMENT RELATED: No NUMBER OF HOURS: 1 SECURITIES TRADING HOURS: 1 START DATE: 10/18/2021 ADDRESS: 415 N Benton Ave, Helena MT 59601 DESCRIPTION: Ownership of personal vehicles

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:**
   - o A law enforcement agency must file formal charges before a broker is required to disclose a particular criminal event.
   - o 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.
   - o
3. **Disclosure events in BrokerCheck reports come from different sources:**
   - o 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.
   - o
4. **There are different statuses and dispositions for disclosure events:**
   - o 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.
   - o 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	1	1	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.

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:	Firm
Employing firm when activities occurred which led to the complaint:	JANNEY MONTGOMERY SCOTT LLC
Allegations:	UNAUTHORIZED TRADING AND FEE DISPUTE
Product Type:	Money Market Fund(s)
Alleged Damages:	$7,714.71

Customer Complaint Information

Date Complaint Received:	08/30/2001
Complaint Pending?	No
Status:	Denied
Status Date:	03/08/2002
Settlement Amount:	
Individual Contribution Amount:	
Firm Statement	THE FIRM RESPONDED TO THE CLIENTS AND DENIED ALL CLAIMS. THERE HAS BEEN NO FURTHER ACTION BY THE CLIENTS AND THE FIRM CONSIDERS THE MATTER CLOSED.

Reporting Source:	Broker
Employing firm when activities occurred which led to the complaint:	JANNEY MONTGOMERY SCOTT LLC
Allegations:	UNAUTHORIZED TRADING AND FEE DISPUTE
Product Type:	Money Market Fund(s)
Alleged Damages:	$7,714.71

Customer Complaint Information

Date Complaint Received:	08/30/2001
Complaint Pending?	No
Status:	Denied
Status Date:	03/08/2002
Settlement Amount:	
Individual Contribution Amount:	
Broker Statement	THE FIRM RESPONDED TO THE CLIENTS AND DENIED ALL CLAIMS. THERE HAS BEEN NO FURTHER ACTION BY THE CLIENTS AND THE FIRM CONSIDERS THE MATTER CLOSED.

Customer Dispute - Pending

This type of disclosure event involves (1) a pending consumer-initiated, investment-related arbitration or civil suit that contains allegations of sales practice violations against the broker; or (2) a pending, 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.

Disclosure 1 of 1

Reporting Source: Broker

Employing firm when activities occurred which led to the complaint: PSI

Allegations: CLIENT ALLEGES HIS MUTUAL FUND DID NOT TRANSFER TO HIS PSI ACCOUNT AND ALLEGES THAT HIS FA TRANSFERRED IT TO HIS OWN NAME.

Product Type: Mutual Fund(s)

Alleged Damages: $145,000.00

Customer Complaint Information

Date Complaint Received: 07/08/2002

Complaint Pending? Yes

Settlement Amount:

Individual Contribution Amount:

Broker Statement THIS CLAIM IS COMPLETELY WITHOUT MERIT. THE MUTUAL FUND WAS BEING HELD IN PSI'S HOUSE ACCOUNT CUSTODIAN FOR THE CLIENT. THERE WAS CLEARLY NO MISAPPROPRIATION. OR THEFT IN THIS MATTER.

End of Report

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