BrokerCheck Report

CHRISTOPHER SCOTT MCNEIL

CRD# 2803363

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.

CHRISTOPHER S. MCNEIL

CRD# 2803363

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

IA **OSAIC WEALTH, INC.**
30 E CAMPBELL ST
STE 200
EDMOND, OK 73034
CRD# 23131
Registered with this firm since: 01/19/2024

B **OSAIC WEALTH, INC.**
30 E CAMPBELL ST
STE 200
EDMOND, OK 73034
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
- 16 U.S. states and territories

This broker has passed:

- 1 Principal/Supervisory Exam
- 3 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
06/2023 - 01/2024

B **WOODBURY FINANCIAL SERVICES, INC.**
CRD# 421
EDMOND, OK
05/2023 - 01/2024

IA **LPL FINANCIAL LLC**
CRD# 6413
FORT MILL, SC
02/2012 - 06/2023

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	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 16 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	01/19/2024
B	FINRA	General Securities Representative	Approved	01/19/2024

	U.S. State/ Territory	Category	Status	Date
B	California	Agent	Approved	01/19/2024
B	Colorado	Agent	Approved	01/19/2024
B	Illinois	Agent	Approved	01/19/2024
B	Indiana	Agent	Approved	01/19/2024
B	Iowa	Agent	Approved	01/19/2024
B	Michigan	Agent	Approved	01/19/2024
B	Minnesota	Agent	Approved	01/19/2024
B	Missouri	Agent	Approved	01/19/2024
B	Nevada	Agent	Approved	01/19/2024
B	North Carolina	Agent	Approved	01/19/2024
IA	North Carolina	Investment Adviser Representative	Approved	01/19/2024

Broker Qualifications

Employment 1 of 1, continued

	U.S. State/ Territory	Category	Status	Date
B	Ohio	Agent	Approved	01/19/2024
B	Oklahoma	Agent	Approved	01/19/2024
IA	Oklahoma	Investment Adviser Representative	Approved	01/19/2024
B	South Carolina	Agent	Approved	06/17/2025
B	Tennessee	Agent	Approved	01/19/2024
B	Texas	Agent	Approved	01/19/2024
IA	Texas	Investment Adviser Representative	Approved	01/19/2024
B	Wisconsin	Agent	Approved	01/19/2024

Branch Office Locations

OSAIC WEALTH, INC.
30 E CAMPBELL ST
STE 200
EDMOND, OK 73034

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

Principal/Supervisory Exams

	Exam	Category	Date
B	General Securities Principal Examination	Series 24	05/17/2007

General Industry/Product Exams

	Exam	Category	Date
B	Securities Industry Essentials Examination	SIE	10/01/2018
B	Futures Managed Funds Examination	Series 31	02/13/1997
B	General Securities Representative Examination	Series 7	01/24/1997

State Securities Law Exams

	Exam	Category	Date
IA	Uniform Investment Adviser Law Examination	Series 65	02/10/1997
B	Uniform Securities Agent State Law Examination	Series 63	02/03/1997

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	06/2023 - 01/2024	WOODBURY FINANCIAL SERVICES, INC.	421	EDMOND, OK
B	05/2023 - 01/2024	WOODBURY FINANCIAL SERVICES, INC.	421	EDMOND, OK
B	02/2012 - 06/2023	LPL FINANCIAL LLC	6413	EDMOND, OK
IA	02/2012 - 06/2023	LPL FINANCIAL LLC	6413	EDMOND, OK
B	02/2009 - 02/2012	WADDELL & REED, INC.	866	EDMOND, OK
IA	02/2009 - 02/2012	WADDELL & REED, INC.	866	EDMOND, OK
B	10/2008 - 12/2008	CHASE INVESTMENT SERVICES CORP.	25574	NAPERVILLE, IL
IA	10/2008 - 12/2008	CHASE INVESTMENT SERVICES CORP.	25574	NAPERVILLE, IL
B	01/2007 - 10/2008	WACHOVIA SECURITIES FINANCIAL NETWORK, LLC	11025	ORLAND PARK, IL
IA	01/2007 - 10/2008	WACHOVIA SECURITIES FINANCIAL NETWORK, LLC	11025	ORLAND PARK, IL
IA	03/1998 - 01/2007	MORGAN STANLEY	7556	CHICAGO, IL
B	01/1997 - 01/2007	MORGAN STANLEY DW INC.	7556	CHICAGO, IL
B	01/1997 - 02/1997	CHICAGO PARTNERSHIP BOARD, INC.	22163	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.	REGISTERED REPRESENTATIVE	Y	EDMOND, OK, United States

Registration and Employment History

Employment History, continued

Employment	Employer Name	Position	Investment Related	Employer Location
11/2011 - Present	NEW YORK SOCIETY OF SECURITY ANALYSTS	OKLAHOMA CHAPTER MEMBER	N	NEW YORK CITY, NY, United States
05/2023 - 01/2024	WOODBURY FINANCIAL SERVICES INC	REGISTERED REPRESENTATIVE	Y	EDMOND, OK, United States
02/2012 - 05/2023	LPL FINANCIAL	REGISTERED REPRESENTATIVE	Y	EDMOND, OK, United States
02/2009 - 06/2019	MCNEIL WEALTH MANAGEMENT	PRESIDENT	Y	EDMOND, OK, 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	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:	Broker
Employing firm when activities occurred which led to the complaint:	WADDELL & REED, INC.
Allegations:	CUSTOMER ALLEGES THAT RR PLACED HER INVESTMENT IN UNSUITABLE FUNDS IN JULY 2011.
Product Type:	Mutual Fund
Alleged Damages:	$0.00
Alleged Damages Amount Explanation (if amount not exact):	FIRM HAS MADE A GOOD FAITH DETERMINATION THAT THE ALLEGED DAMAGES EXCEED $5000.
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:	12/06/2011
Complaint Pending?	No
Status:	Denied

Status Date:	01/30/2012
Settlement Amount:	
Individual Contribution Amount:	
Broker Statement	CLIENT CONTACTED ME IN FEBRUARY 2011 SEEKING MY HELP IN ACHIEVING GREATER RETURNS ON HER GROWTH ASSETS AND AN OVERALL IMPROVEMENT IN THE LEVEL OF SERVICE SHE RECEIVED. HER BROKER AT THE TIME HAD ALL OF HER MONEY INVESTED IN A FEE-BASED ARRANGEMENT WHICH SHE COMPLAINED "NEVER CHANGED." AND AFTER YEARS OF UNDERPERFORMING BOTH HER EXPECTATIONS FOR INVESTMENT RETURN AS WELL AS COSTLINESS OF FEES, SHE SOUGHT MY HELP. I MET WITH THE CLIENT SEVERAL TIMES FROM FEBRUARY THROUGH THE SPRING, AND AT EACH MEETING REVIEWED WITH HER MY SUGGESTIONS FOR CHANGES WITHIN HER PORTFOLIO. WE REMOVED THE FEE-BASED ARRANGEMENT FOR THE MAJORITY OF HER ASSETS, THUS SAVING HER THOUSANDS OF DOLLARS PER YEAR IN FEES. WE THEN ALLOCATED HER RETIREMENT ACCOUNT INTO A WELL-DIVERSIFIED PORTFOLIO WHICH INCLUDED BOND FUNDS, STOCKS, STOCK FUNDS, GOLD, AND OTHER INVESTMENT SELECTIONS. THE CLIENT APPROVED THE USE OF THESE ITEMS BEFORE WE INVESTED A SINGLE DOLLAR OF HER MONEY, AND WAS MADE WELL AWARE OF EACH INVESTMENT I PROPOSED MONTHS AND MONTHS PRIOR TO OUR EVER AGREEING TO WORK WITH ONE ANOTHER. IN FACT, IN E-MAILS SENT TO ME, SHE SPOKE OF HER REVIEWING THE INVESTMENTS ONLINE AND EVEN GOING TO MUTUAL FUND COMPANY WEBSITES TO REVIEW FEES AND EXPENSES AND RETURNS, ETC. THIS CLIENT IS VERY SHARP AND KNEW EXACTLY EVERY FACET OF HER SOON-TO-BE PORTFOLIO. SHE APPROVED THE INVESTMENT OF HER IRA INTO THIS PORTFOLIO. AFTER THE INVESTMENTS WERE MADE, WE REVIEWED THE PORTFOLIO IN PERSON AT HER KITCHEN TABLE APPROXIMATELY ONE WEEK LATER. CLIENT WAS ALWAYS EXTREMELY WELL AWARE OF ALL ITEMS SHE OWNED AND NEVER VOICED ANY CONCERNS OF ANY KIND. WE CONTINUED TO SPEAK ABOUT HER INVESTMENTS ALL THROUGH THE SUMMER. SOMETIME IN AUGUST, AS THE MARKETS BECAME QUITE VOLATILE, WE MADE SEVERAL CHANGES TO THE PORTFOLIO, NAMELY, TRANSITIONING SOME INVESTMENTS INTO CASH FOR SAFETY, UNTIL MARKET CONDITIONS IMPROVED. AS THE MARKET CONTINUED TO DETERIORATE, THE CLIENT'S MOOD CHANGED AND HER INVESTMENT-OBJECTIVE SEEMED TO CHANGE QUITE FREQUENTLY. AFTER SPEAKING WITH HER VERBALLY AND VIA E-MAIL, IT SOON BECAME CLEAR TO ME THAT OUR RELATIONSHIP WOULD NO LONGER WORK FOR EITHER OF US AND THAT

SHE MIGHT BE BETTER SUITED TO WORK WITH SOMEONE CLOSER TO HER HOME AND MORE ABLE TO CHANGE THE DIRECTION OF THE ACCOUNT AS OFTEN AS THE CLIENT NOW SOUGHT.
IN RETALIATION FOR MY SUGGESTION THAT SHE CHANGE FIRMS AND CHANGE ADVISORS, CLIENT HAS FILED THIS COMPLAINT. CLIENT HAS FOR YEARS OWNED STOCK RELATED MUTUAL FUNDS AND HAS GAINED AND LOST MONEY BEFORE. FOR HER TO NOW CLAIM THAT SHE SHOULDN'T HAVE OWNED STOCK FUNDS IS PREPOSTEROUS. TO THIS DAY, CLIENT STILL OWNS STOCK FUNDS AND STILL KEEPS A NEARLY 20% OF HER NET WORTH IN AN UNINSURED BOND THROUGH A LOCAL CHURCH, WHICH IS EXTREMELY RISKY. HER INCONSISTENCY IN THIS AREA SHOWS ME THAT SHE WAS HURT BY MY SUGGESTION AND WISHES TO CAUSE ME AND MY FAMILY HARM, WHICH SHE HAS CERTAINLY DONE WITH THIS COMPLAINT. CLIENT WAS AWARE THAT I HAD NEVER HAD A COMPLAINT AGAINST MY RECORD AND WAS QUITE PROUD OF THAT. WITH THIS COMPLAINT SHE HAS FOREVER TARNISHED MY RECORD, WHICH I BELIEVE IS HER ONLY OBJECTIVE.

End of Report

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