

BrokerCheck Report

JAYAPRAKASH MOHANBHAI PATEL

CRD# 2973297

<u>Section Title</u>	<u>Page(s)</u>
Report Summary	1
Broker Qualifications	2 - 5
Registration and Employment History	7 - 8



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.

**JAYAPRAKASH M. PATEL**

CRD# 2973297

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

IA OSAIC WEALTH, INC.
 9729 COGDILL RD, SUITE 303
 Knoxville, TN 37932
 CRD# 23131
 Registered with this firm since: 06/14/2024

B OSAIC WEALTH, INC.
 9729 COGDILL RD, SUITE 303
 Knoxville, TN 37932
 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
- 31 U.S. states and territories

This broker has passed:

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

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

- IA SECURITIES AMERICA ADVISORS, INC.**
 CRD# 110518
 LA VISTA, NE
 10/2020 - 06/2024
- B SECURITIES AMERICA, INC.**
 CRD# 10205
 Knoxville, TN
 09/2020 - 06/2024
- B SECURITIES SERVICE NETWORK, LLC**
 CRD# 13318
 Knoxville, TN
 09/1998 - 11/2020

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? **No**



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 31 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	Financial and Operations Principal	Approved	06/14/2024
B	FINRA	General Securities Principal	Approved	06/14/2024
B	FINRA	General Securities Representative	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	Arizona	Agent	Approved	06/14/2024
B	California	Agent	Approved	06/14/2024
B	Colorado	Agent	Approved	06/14/2024
B	Connecticut	Agent	Approved	06/14/2024
B	Delaware	Agent	Approved	06/14/2024
B	District of Columbia	Agent	Approved	06/14/2024
B	Florida	Agent	Approved	06/14/2024
B	Georgia	Agent	Approved	06/14/2024

Broker Qualifications



Employment 1 of 1, continued

	U.S. State/ Territory	Category	Status	Date
B	Illinois	Agent	Approved	06/14/2024
B	Indiana	Agent	Approved	06/14/2024
B	Kentucky	Agent	Approved	06/14/2024
B	Maine	Agent	Approved	06/14/2024
B	Maryland	Agent	Approved	06/14/2024
B	Michigan	Agent	Approved	06/14/2024
B	Mississippi	Agent	Approved	06/14/2024
B	Missouri	Agent	Approved	06/14/2024
B	Nebraska	Agent	Approved	06/14/2024
B	Nevada	Agent	Approved	06/14/2024
B	New Hampshire	Agent	Approved	01/30/2025
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	Pennsylvania	Agent	Approved	06/14/2024
B	South Carolina	Agent	Approved	06/14/2024
B	Tennessee	Agent	Approved	06/14/2024
IA	Tennessee	Investment Adviser Representative	Approved	06/14/2024
B	Texas	Agent	Approved	06/14/2024
IA	Texas	Investment Adviser Representative	Restricted Approval	06/19/2024

Broker Qualifications



Employment 1 of 1, continued

	U.S. State/ Territory	Category	Status	Date
B	Virginia	Agent	Approved	06/14/2024
B	Washington	Agent	Approved	06/14/2024
B	Wisconsin	Agent	Approved	06/14/2024

Branch Office Locations

OSAIC WEALTH, INC.
9729 COGDILL RD, SUITE 303
Knoxville, TN 37932



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 2 principal/supervisory exams, 3 general industry/product exams, and 1 state securities law exam.

Principal/Supervisory Exams

Exam	Category	Date
B General Securities Principal Examination	Series 24	12/28/1999
B Financial and Operations Principal Examination	Series 27	09/08/1998

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	09/01/1999

State Securities Law Exams

Exam	Category	Date
B Uniform Securities Agent State Law Examination	Series 63	09/29/2020

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 10/2020 - 06/2024	SECURITIES AMERICA ADVISORS, INC.	110518	Knoxville, TN
B 09/2020 - 06/2024	SECURITIES AMERICA, INC.	10205	Knoxville, TN
B 09/1998 - 11/2020	SECURITIES SERVICE NETWORK, LLC	13318	Knoxville, TN
IA 01/2004 - 09/2020	SSN ADVISORY, INC.	126090	KNOXVILLE, TN

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	Knoxville, TN, United States
06/2024 - Present	OSAIC WEALTH, INC.	Mass Transfer	Y	Knoxville, TN, United States
09/2020 - 06/2024	Securities America Advisors	IAR	Y	KNOXVILLE, TN, United States
09/2020 - 06/2024	Securities America, Inc.	Registered Rep	Y	KNOXVILLE, TN, United States
04/2003 - 09/2020	SSN ADVISORY, INC.	VP, CHIEF FINANCIAL OFFICER	Y	KNOXVILLE, TN, United States
09/1997 - 09/2020	SECURITIES SERVICE NETWORK, INC.	VP, CHIEF FINANCIAL OFFICER	Y	KNOXVILLE, TN, 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. YOGI ASSOCIATES LLC

POSITION: LLC Member NATURE: LLC Member in Yogi Associates LLC INVESTMENT RELATED: No NUMBER OF HOURS: 1 SECURITIES



Registration and Employment History

Other Business Activities, continued

TRADING HOURS: 0 START DATE: 08/01/2006 ADDRESS: 3315 Orange Ave, Roanoke VA 24012 DESCRIPTION: Hotel/Motel (lodging)

2. COGDILL CAPITAL LLC

POSITION: LLC Member NATURE: Cogdill Capital LLC INVESTMENT RELATED: No NUMBER OF HOURS: 5 SECURITIES TRADING HOURS: 5 START DATE: 07/01/2008 ADDRESS: 9729 Cogdill Road, Suite 301, Knoxville TN 37932 DESCRIPTION: 1% Partner (helping with day to day mgmt)

3. FORT LOUDON FINANCIAL LLC

POSITION: Managing Partner NATURE: Running securities business through SA INVESTMENT RELATED: Yes NUMBER OF HOURS: 80 SECURITIES TRADING HOURS: 80 START DATE: 07/17/2020 ADDRESS: 9447 Twin Branch Drive, Knoxville TN 37922 DESCRIPTION: Yes. Running securities practice through this entity

4. OAK RIDGE HOTEL PARTNERS

POSITION: Partner NATURE: Oak Ridge Hotel Partners INVESTMENT RELATED: No NUMBER OF HOURS: 0 SECURITIES TRADING HOURS: 0 START DATE: 08/01/2012 ADDRESS: 420 South Illinois Avenue, Oak Ridge TN 37830 DESCRIPTION: Partner 5% in hotel

5. DBA - Fort Loudon Financial LLC

6. JAYAPRAKASH M. PATEL

POSITION: Notary NATURE: Notary INVESTMENT RELATED: No NUMBER OF HOURS: 0 SECURITIES TRADING HOURS: 0 START DATE: 04/01/2012 ADDRESS: 9447 Twin Branch Drive, Knoxville TN 37922 DESCRIPTION: I serve as a notary

7. JAYAPRAKASH M. PATEL, CPA

POSITION: Owner of practice NATURE: CPA business INVESTMENT RELATED: No NUMBER OF HOURS: 30 SECURITIES TRADING HOURS: 5 START DATE: 01/01/1998 ADDRESS: 9447 Twin Branch Drive, Knoxville TN 37922 DESCRIPTION: Tax preparation, bookkeeping, payroll services

8. FORT LOUDON FINANCIAL LLC

POSITION: Managing Partner NATURE: Running securities business through Osaic Wealth INVESTMENT RELATED: Yes NUMBER OF HOURS: 80 SECURITIES TRADING HOURS: 80 START DATE: 07/17/2020 ADDRESS: 9729 Cogdill Road, Suite 303, Knoxville TN 37932, United States DESCRIPTION: Yes. Running securities practice through this entity

9. PIGEON FORGE HOTEL COMPLEX LLC

POSITION: LLC Member NATURE: LLC INVESTMENT RELATED: No NUMBER OF HOURS: 0 SECURITIES TRADING HOURS: 0 START DATE: 10/07/2024 ADDRESS: 395 Jake Thomas Road, Pigeon Forge TN 37863, United States DESCRIPTION: LLC Member

End of Report



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