BrokerCheck Report

SARA JANE ANDRES

CRD# 2985300

Section Title

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.

SARA J. ANDRES

CRD# 2985300

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

IA **SHAREBUILDER 401K**
Spearfish, SD
CRD# 300537
Registered with this firm since: 01/16/2020

B **WOLFPACK BROKERAGE SERVICES**
500 7TH AVE
8TH FLOOR
NEW YORK, NY 10018
CRD# 337229
Registered with this firm since: 07/13/2026

B **BOSONIC SECURITIES**
3761 W BEARTOOTH LOOP
SPEARFISH, SD 57783
CRD# 317012
Registered with this firm since: 06/13/2024

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
- 3 U.S. states and territories

This broker has passed:

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

Registration History

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

B **SEQUENCE FINANCIAL SPECIALISTS LLC**
CRD# 132915
FLORENCE, SC
06/2024 - 04/2026

B **DEALMAKER SECURITIES**
CRD# 315324
MELVILLE, NY
03/2022 - 06/2022

B **BENCHMARK INVESTMENTS, LLC**
CRD# 103792
NEW YORK, NY
05/2020 - 02/2022

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 3 U.S. states and territories through his or her employer.

Employment 1 of 3

Firm Name: **BOSONIC SECURITIES**

Main Office Address: **3761 W BEARTOOTH LOOP**
SPEARFISH, SD 57783

Firm CRD#: **317012**

	SRO	Category	Status	Date
B	FINRA	Compliance Officer	Approved	06/13/2024
B	FINRA	General Securities Principal	Approved	06/13/2024
B	FINRA	General Securities Representative	Approved	06/13/2024
B	FINRA	Municipal Securities Principal	Approved	06/13/2024
B	FINRA	Municipal Securities Representative	Approved	06/13/2024
B	FINRA	Registered Options Principal	Approved	06/13/2024
B	FINRA	Securities Trader	Approved	06/13/2024

	U.S. State/ Territory	Category	Status	Date
B	California	Agent	Approved	06/13/2024
B	South Dakota	Agent	Approved	03/25/2026

Branch Office Locations

BOSONIC SECURITIES
3761 W BEARTOOTH LOOP
SPEARFISH, SD 57783

Broker Qualifications

Employment 2 of 3

Firm Name: **SHAREBUILDER 401K**

Main Office Address: **801 SECOND AVE**
SUITE 1400
SEATTLE, WA 98104

Firm CRD#: **300537**

	U.S. State/ Territory	Category	Status	Date
IA	South Dakota	Investment Adviser Representative	Approved	01/16/2020
IA	Washington	Investment Adviser Representative	Approved	03/04/2021

Branch Office Locations

801 SECOND AVE
SUITE 1400
SEATTLE, WA 98104

Spearfish, SD

Employment 3 of 3

Firm Name: **WOLFPACK BROKERAGE SERVICES**

Main Office Address: **500 7TH AVE**
8TH FLOOR
NEW YORK, NY 10018

Firm CRD#: **337229**

	SRO	Category	Status	Date
B	FINRA	Compliance Officer	Approved	07/13/2026
B	FINRA	General Securities Principal	Approved	07/13/2026
B	FINRA	General Securities Representative	Approved	07/13/2026
B	FINRA	Limited Representative-Prvt Scrts Ofrngs	Approved	07/13/2026

Broker Qualifications

Employment 3 of 3, continued

	SRO	Category	Status	Date
B	FINRA	Municipal Securities Principal	Approved	07/13/2026
B	FINRA	Municipal Securities Representative	Approved	07/13/2026
B	FINRA	Private Securities Offerings Principal	Approved	07/13/2026
B	FINRA	Registered Options Principal	Approved	07/13/2026
B	FINRA	Securities Trader	Approved	07/13/2026

Branch Office Locations

WOLFPACK BROKERAGE SERVICES
500 7TH AVE
8TH FLOOR
NEW YORK, NY 10018

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 4 principal/supervisory exams, 6 general industry/product exams, and 2 state securities law exams.

Principal/Supervisory Exams

	Exam	Category	Date
B	Compliance Officer Examination	Series 14	06/04/2024
B	Municipal Securities Principal Examination	Series 53	01/12/2024
B	Registered Options Principal Examination	Series 4	01/12/2024
B	General Securities Principal Examination	Series 24	02/03/2000

General Industry/Product Exams

	Exam	Category	Date
B	Limited Representative-Private Securities Offerings	Series 82TO	07/13/2026
B	Securities Trader Exam	Series 57TO	01/02/2023
B	Municipal Securities Representative Examination	Series 52TO	01/02/2023
B	Securities Industry Essentials Examination	SIE	07/21/2018
B	Limited Representative-Equity Trader Exam	Series 55	06/08/2004
B	General Securities Representative Examination	Series 7	04/22/1998

State Securities Law Exams

	Exam	Category	Date
IA	Uniform Investment Adviser Law Examination	Series 65	12/12/2002
B	Uniform Securities Agent State Law Examination	Series 63	04/24/1998

Additional information about the above exams or other exams FINRA administers to brokers and other securities professionals can be found at

Broker Qualifications

Industry Exams this Broker has Passed, continued

www.finra.org/brokerqualifications/registeredrep/.

Broker Qualifications

Professional Designations

This section details that the representative has reported **0** professional designation(s).

No information reported.

Only professional designations listed in Question 8 of the Form U4 will appear in this section if the appropriate box is checked and verified by the issuing organization at the time of the filing. Learn more about eligible designations at IARD and NASAA.

Registration and Employment History

Registration History

The broker previously was registered with the following firms:

	Registration Dates	Firm Name	CRD#	Branch Location
B	06/2024 - 04/2026	SEQUENCE FINANCIAL SPECIALISTS LLC	132915	FLORENCE, SC
B	03/2022 - 06/2022	DEALMAKER SECURITIES	315324	MELVILLE, NY
B	05/2020 - 02/2022	BENCHMARK INVESTMENTS, LLC	103792	NEW YORK, NY
B	06/2017 - 07/2018	M FINANCIAL SECURITIES MARKETING, INC.	139304	PORTLAND, OR
IA	06/2017 - 07/2018	M HOLDINGS SECURITIES, INC.	43285	PORTLAND, OR
B	06/2017 - 07/2018	M HOLDINGS SECURITIES, INC.	43285	PORTLAND, OR
IA	09/2013 - 02/2016	CAPITAL ONE ADVISORS, LLC	136865	SEATTLE, WA
B	09/2013 - 02/2016	CAPITAL ONE INVESTING, LLC	45744	SEATTLE, WA
IA	07/2012 - 07/2013	AMERITAS INVESTMENT CORP	14869	LINCOLN, NE
B	05/2012 - 07/2013	AMERITAS INVESTMENT CORP.	14869	LINCOLN, NE
IA	04/2010 - 04/2012	TD AMERITRADE, INC.	7870	BELLEVUE, NE
B	04/2006 - 04/2012	TD AMERITRADE, INC.	7870	OMAHA, NE
IA	03/2003 - 04/2012	AMERIVEST INVESTMENT MANAGEMENT, LLC	111514	BELLEVUE, NE
B	01/2002 - 04/2012	TD AMERITRADE CLEARING, INC.	5633	OMAHA, NE
B	06/2009 - 05/2010	THINKORSWIM, INC.	106069	CHICAGO, IL
B	05/1998 - 12/2001	AMERITRADE	36559	BELLEVUE, NE

Employment History

Registration and Employment History

Employment History, continued

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
07/2026 - Present	Wolfpack Brokerage Services	CCO	Y	New York, NY, United States
06/2026 - Present	MSX Securities LLC	President	Y	Irvine, CA, United States
06/2024 - Present	Bosonic Securities	CEO/CCO	Y	Spearfish, SD, United States
09/2018 - Present	ShareBuilder 401K, LLc	Compliance & Risk Consultant	Y	Seattle, WA, United States
08/2018 - Present	Antestari, LLC	President	Y	Portland, OR, United States
06/2024 - 04/2026	Sequence Financial Specialists	Supervisory	Y	Florence, SC, United States
08/2021 - 06/2022	DealMaker Securities LLC	Chief Compliance Officer	Y	Melville, NY, United States
05/2020 - 02/2022	BENCHMARK INVESTMENTS, INC	Registered Principal	Y	Stockbridge, GA, United States
06/2017 - 06/2018	M Financial	VP, CCO	Y	Portland, OR, United States
01/2016 - 06/2017	SELF EMPLOYED	CONSULTANT/EXPERT WITNESS	Y	KIRKLAND, WA, 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) Antestari LLC
- Yes, investment releated
- 3761 Beartooth Loop, Spearfish, SD 57783
- Risk & compliance consulitng / expert witness
- President
- 08/2018
- 100hrs/mo
- 90hrs/mo during trading hrs
- Provide consulation, advice & materials to B/Ds & RIAs regarding management, risk & compliance matters. Serve as expert witness

End of Report

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