

BrokerCheck Report

FRANK MARK ADKISSON

CRD# 3085737

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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:
 - o 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
 - o 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.

FRANK M. ADKISSON

CRD# 3085737

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

- B** **OSAIC WEALTH, INC.**
 3628 N 163rd PLAZA
 Omaha, NE 68116
 CRD# 23131
 Registered with this firm since: 11/05/2015

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
- 7 U.S. states and territories

This broker has passed:

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

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

- B** **FIRST INDEPENDENT FINANCIAL SERVICES, INC.**
 CRD# 128904
 OMAHA, NE
 02/2011 - 11/2015
- B** **PFS INVESTMENTS INC.**
 CRD# 10111
 OMAHA, NE
 08/1998 - 02/2011

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 7 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	Invest. Co and Variable Contracts	Approved	11/05/2015
B	FINRA	Investment Co./Variable Contracts Prin	Approved	11/05/2015

	U.S. State/ Territory	Category	Status	Date
B	California	Agent	Approved	11/05/2015
B	Colorado	Agent	Approved	09/10/2021
B	Iowa	Agent	Approved	11/05/2015
B	Kansas	Agent	Approved	12/15/2021
B	Missouri	Agent	Approved	06/03/2021
B	Nebraska	Agent	Approved	11/05/2015
B	Oklahoma	Agent	Approved	11/05/2015

Branch Office Locations

OSAIC WEALTH, INC.
3628 N 163rd PLAZA
Omaha, NE 68116

Broker Qualifications



Employment 1 of 1, continued



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

Principal/Supervisory Exams

Exam	Category	Date
B Investment Company Products/Variable Contracts Principal Examination	Series 26	06/20/2006

General Industry/Product Exams

Exam	Category	Date
B Securities Industry Essentials Examination	SIE	10/01/2018
B Investment Company Products/Variable Contracts Representative Examination	Series 6	08/07/1998

State Securities Law Exams

Exam	Category	Date
B Uniform Securities Agent State Law Examination	Series 63	08/07/1998

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
B 02/2011 - 11/2015	FIRST INDEPENDENT FINANCIAL SERVICES, INC.	128904	OMAHA, NE
B 08/1998 - 02/2011	PFS INVESTMENTS INC.	10111	OMAHA, NE

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
11/2015 - Present	ROYAL ALLIANCE ASSOCIATES, INC	REGISTERED REPRESENTATIVE	Y	OMAHA, NE, United States
01/2011 - Present	NATIONAL SENIOR INSURANCE	AGENT	N	OMAHA, NE, United States
08/2006 - Present	PACIFIC COAST LEAGUE	OFFICIAL SCORER	N	ROUND ROCK, TX, United States
07/1990 - Present	WEST CORP	VOICE TALENT	N	OMAHA, NE, United States
02/1990 - Present	FRANK ADKISSON	INDEPENDENT VOICEOVER TALENT	N	OMAHA, NE, 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) BASEBALL OFFICIAL SCORING

POSITION: Official Scorer NATURE: Sole Proprietorship INVESTMENT RELATED: No NUMBER OF HOURS: 1 SECURITIES TRADING

HOURS: 0 START DATE: 07/01/2006

ADDRESS: 15205 Camden Cir, Omaha NE 68116-8459, United States

DESCRIPTION: Official scorer on a part-time basis for MiLB professional baseball games. It is seasonal from April to September. I have not participated in this OBA in 2022 but both the league and I have left the door open for a possibility I may on short-notice fill in for them in a pinch.



Registration and Employment History

Other Business Activities, continued

2) FILL-IN SPORTSCASTER; POSITION: FILL-IN SPORTSCASTER; NATURE: ON SPORADIC OCCASIONS I GET ASKED TO FILL-IN ON PLAY-BY-PLAY OF HOCKEY OR BASEBALL GAMES; INVESTMENT RELATED: NO; NUMBER OF HOURS: 0; SECURITIES TRADING HOURS: 0; START DATE: 11/08/1979; ADDRESS: 15205 CAMDEN CIR, OMAHA NE 68116-8459; DESCRIPTION: CALLING A SPORTING EVENT ON THE RADIO.

3) INSURANCE SALES

POSITION: Agent NATURE: Sales of life insurance and Medicare products. INVESTMENT RELATED: Yes NUMBER OF HOURS: 160
SECURITIES TRADING HOURS: 120 START DATE: 01/01/2011
ADDRESS: 1810 N 169 Plz, Omaha NE 68118-2809, United States
DESCRIPTION: Selling and servicing clients of Medicare products as well as life insurance.

4) NATIONAL SENIOR INSURANCE

POSITION: Agent/Owner NATURE: Sales of health, life insurance and Medicare products. INVESTMENT RELATED: Yes NUMBER OF HOURS: 160
SECURITIES TRADING HOURS: 120 START DATE: 04/01/2021
ADDRESS: 3628 N 163rd Plz, Omaha NE 68116, United States
DESCRIPTION: Selling and servicing clients of Medicare products as well as life insurance. Supervising and training new agents.

5) PERSONAL TRUST

POSITION: Co-Trustee NATURE: Personal trust account INVESTMENT RELATED: Yes NUMBER OF HOURS: 0 SECURITIES TRADING HOURS: 0 START DATE: 08/12/2019
ADDRESS: 15205 Camden Cir, Omaha NE 68116, United States
DESCRIPTION: I am a co-trustee for my personal trust; inherited funds from my family trust.

End of Report



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