

BrokerCheck Report

JASON ROBERT EGGE

CRD# 3170272

<u>Section Title</u>	<u>Page(s)</u>
Report Summary	1
Broker Qualifications	2 - 4
Registration and Employment History	6 - 7



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.

**JASON R. EGGE**

CRD# 3170272

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

IA OSAIC WEALTH, INC.
 7000 UNIVERSITY AVE
 WINDSOR HEIGHTS, IA 50324
 CRD# 23131
 Registered with this firm since: 06/14/2024

B OSAIC WEALTH, INC.
 7000 UNIVERSITY AVE
 WINDSOR HEIGHTS, IA 50324
 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
- 15 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 SECURITIES AMERICA ADVISORS, INC.**
 CRD# 110518
 LA VISTA, NE
 05/2016 - 06/2024
- B SECURITIES AMERICA, INC.**
 CRD# 10205
 WINDSOR HEIGHTS, IA
 07/2015 - 06/2024
- B FINTEGRA, LLC**
 CRD# 16741
 WINDSOR HEIGHTS, IA
 01/2004 - 07/2015

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 15 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

	U.S. State/ Territory	Category	Status	Date
B	Alaska	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	Florida	Agent	Approved	06/14/2024
B	Georgia	Agent	Approved	06/25/2024
B	Illinois	Agent	Approved	06/14/2024
B	Iowa	Agent	Approved	06/14/2024
IA	Iowa	Investment Adviser Representative	Approved	06/14/2024
B	Kansas	Agent	Approved	06/14/2024



Broker Qualifications

Employment 1 of 1, continued

	U.S. State/ Territory	Category	Status	Date
B	Louisiana	Agent	Approved	06/20/2024
B	Michigan	Agent	Approved	06/14/2024
B	Minnesota	Agent	Approved	06/14/2024
B	Missouri	Agent	Approved	06/14/2024
B	Texas	Agent	Approved	06/14/2024
IA	Texas	Investment Adviser Representative	Restricted Approval	06/14/2024
B	Virginia	Agent	Approved	06/10/2025

Branch Office Locations

OSAIC WEALTH, INC.
7000 UNIVERSITY AVE
WINDSOR HEIGHTS, IA 50324



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	04/07/2000

General Industry/Product Exams

Exam	Category	Date
B Securities Industry Essentials Examination	SIE	10/01/2018
B General Securities Representative Examination	Series 7	06/30/1999
B Investment Company Products/Variable Contracts Representative Examination	Series 6	02/22/1999

State Securities Law Exams

Exam	Category	Date
IA Uniform Investment Adviser Law Examination	Series 65	05/02/2016
B Uniform Securities Agent State Law Examination	Series 63	01/19/2004

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 05/2016 - 06/2024	SECURITIES AMERICA ADVISORS, INC.	110518	WINDSOR HEIGHTS, IA
B 07/2015 - 06/2024	SECURITIES AMERICA, INC.	10205	WINDSOR HEIGHTS, IA
B 01/2004 - 07/2015	FINTEGRA, LLC	16741	WINDSOR HEIGHTS, IA
B 02/1999 - 01/2004	PRINCOR FINANCIAL SERVICES CORPORATION	1137	DES MOINES, IA

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	WINDSOR HEIGHTS, IA, United States
06/2024 - Present	OSAIC WEALTH, INC.	Mass Transfer	Y	WINDSOR HEIGHTS, IA, United States
01/2004 - Present	BANKER'S TRUST	REGISTERED REP	Y	DES MOINES, IA, United States
05/2016 - 06/2024	SECURITIES AMERICA ADVISORS	IAR	Y	WINDSOR HEIGHTS, IA, United States
07/2015 - 06/2024	SECURITIES AMERICA INC	REGISTERED REP	Y	WINDSOR HEIGHTS, IA, 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.

***BTC FINANCIAL SERVICES - DBA ONLY



Registration and Employment History

Other Business Activities, continued

***BTC FINANCIAL SECURITIES

POSITION: Financial Advisor NATURE: Osaic Wealth - POSITION: IAR - NATURE: INVESTMENT ADVISORY SERVICES - INVESTMENT RELATED: YES - START DATE: 5/2016 - ADDRESS: 7000 UNIVERSITY AVE, WINDSOR HEIGHTS IA 50324 INVESTMENT RELATED: Yes
NUMBER OF HOURS: 160 SECURITIES TRADING HOURS: 160 START DATE: 05/01/2016
ADDRESS: 7000 University Avenue, Windsor Heights IA 50324, United States
DESCRIPTION: I offer advisory services through Osaic Wealth. All of my advisory business goes through Osaic Wealth using their WMP platform.

***GREATER DES MOINES HABITAT FOR HUMANITY

POSITION: Volunteer NATURE: I volunteered with Habitat for Humanity in 2021 as a worker. I am not involved in any fund raising activity. I simply held assemble homes. INVESTMENT RELATED: No NUMBER OF HOURS: 3 SECURITIES TRADING HOURS: 0 START DATE: 07/20/2019
ADDRESS: 2200 East Euclid Ave, Des Moines IA 50317 DESCRIPTION: In the past I have volunteered with the construction of homes. I do receive pay. I am hoping to be a part of a couple projects this fall. They are on hold right now due to COVID-19.

***MEALS FROM THE HEARTLAND

POSITION: Volunteer NATURE: I volunteer to pack meals at Meals from the Heartland. I am not involved in any fundraising with this organization. I simply volunteer to put together meals. INVESTMENT RELATED: No NUMBER OF HOURS: 3 SECURITIES TRADING HOURS: 0 START DATE: 10/16/2019 ADDRESS: 357 Lincoln Way, West Des Moines IA 50265 DESCRIPTION: I go with my family to pack meals that are shipped to hungry people across the globe.

***CENTRAL PRESBYTERIAN CHURCH

POSITION: Usher NATURE: Church INVESTMENT RELATED: No NUMBER OF HOURS: 8 SECURITIES TRADING HOURS: 0 START DATE: 09/01/2024
ADDRESS: 3829 Grand Avenue, Des Moines IA 50312, United States
DESCRIPTION: I greet church members arriving for worship services on Sunday. After the service I help clean the sanctuary.

***THEODORE ROOSEVELT HIGH SCHOOL FOUNDATION

POSITION: Board Member NATURE: It is a non-profit foundation set up to support students at Roosevelt High School. INVESTMENT RELATED: No NUMBER OF HOURS: 3 SECURITIES TRADING HOURS: 0 START DATE: 09/12/2024
ADDRESS: 4419 Center Street, Des Moines IA 50312, United States
DESCRIPTION: The board helps to raise money and then distributes it to various areas of the school. The money is distributed through a grant process. For years the foundation has had a brokerage account with Pershing/Osaic. I have been listed as the registered representative. Since I am on the board now we are moving the account to Joseph Tursi in our office. The support center case in 06634810.

End of Report



This page is intentionally left blank.