

BrokerCheck Report

DAVID GEORGE MARTIN

CRD# 321111

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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:
 - 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.

**DAVID G. MARTIN**

CRD# 321111

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

IA OSAIC WEALTH, INC.
 RENO, NV
 CRD# 23131
 Registered with this firm since: 06/14/2024

B OSAIC WEALTH, INC.
 RENO, NV
 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
- 2 U.S. states and territories

This broker has passed:

- 0 Principal/Supervisory Exams
- 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
 01/2009 - 06/2024
- B SECURITIES AMERICA, INC.**
 CRD# 10205
 SAN JOSE, CA
 01/2009 - 06/2024
- IA EPLANNING ADVISORS INC**
 CRD# 109184
 ROSEVILLE, CA
 01/2008 - 01/2009

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
Judgment/Lien	10



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 2 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 Representative	Approved	06/14/2024

U.S. State/ Territory	Category	Status	Date
B California	Agent	Approved	06/14/2024
IA California	Investment Adviser Representative	Approved	06/14/2024
B Nevada	Agent	Approved	06/14/2024
IA Nevada	Investment Adviser Representative	Approved	06/14/2024

Branch Office Locations

OSAIC WEALTH, INC.
RENO, NV



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

Principal/Supervisory Exams

Exam	Category	Date
No information reported.		

General Industry/Product Exams

Exam	Category	Date
B General Securities Representative Examination	Series 7TO	01/02/2023
B Securities Industry Essentials Examination	SIE	10/01/2018
B Registered Representative Examination	Series 1	03/25/1971

State Securities Law Exams

Exam	Category	Date
IA Uniform Investment Adviser Law Examination	Series 65	01/08/2008
B Uniform Securities Agent State Law Examination	Series 63	01/02/2007

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 01/2009 - 06/2024	SECURITIES AMERICA ADVISORS, INC.	110518	SAN JOSE, CA
B 01/2009 - 06/2024	SECURITIES AMERICA, INC.	10205	SAN JOSE, CA
IA 01/2008 - 01/2009	EPLANNING ADVISORS INC	109184	ROSEVILLE, CA
B 12/2006 - 01/2009	EPLANNING SECURITIES, INC.	46000	SAN JOSE, CA
B 04/2002 - 12/2006	SAMMONS SECURITIES COMPANY, LLC	115368	SAN JOSE, CA
B 01/2002 - 04/2002	MTL EQUITY PRODUCTS, INC.	15764	FOUNTAIN HILLS, AZ
B 06/1999 - 01/2002	IAC SECURITIES, INC.	14081	TINLEY PARK, IL
B 05/1999 - 06/1999	IAC SECURITIES, INC.	14081	
B 07/1994 - 05/1999	ROYAL ALLIANCE ASSOCIATES, INC.	23131	SCOTTSDALE, AZ
B 06/1985 - 08/1994	SOARES FINANCIAL GROUP, INC.	16286	
B 07/1983 - 06/1985	CONSOLIDATED INVESTMENT SERVICES, INC.	7929	
B 01/1980 - 06/1983	UNIVERSITY SECURITIES CORPORATION	6518	
B 04/1971 - 01/1978	PHOENIX EQUITY PLANNING CORPORATION	3036	

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	SAN JOSE, CA, United States



Registration and Employment History

Employment History, continued

Employment	Employer Name	Position	Investment Related	Employer Location
06/2024 - Present	OSAIC WEALTH, INC.	Mass Transfer	Y	SAN JOSE, CA, United States
05/2008 - Present	FAMILY BUSINESS CENTERS, LLC	MANAGER	N	RENO, NV, United States
08/1982 - Present	DAVID MARTIN & ASSOCIATES INS.	OTHER - INSURANCE SALES	N	SAN JOSE, CA, United States
01/2009 - 06/2024	SECURITIES AMERICA ADVISORS, INC.	INVESTMENT ADVISOR REPRESENTATIVE	Y	SAN JOSE, CA, United States
01/2009 - 06/2024	SECURITIES AMERICA, INC.	REGISTERED REPRESENTATIVE	Y	SAN JOSE, CA, 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.

DAVID G. MARTIN & ASSOCIATES
-INSURANCE SALES-- OWNER

SECURITIES AMERICA ADVISORS
-INVESTMENT ADVISORY - IAR - INVESTMENT RELATED - START DATE: 1/2009 - LOCATED AT 2130 THE ALAMEDA SUITE 210, SAN JOSE, CA 95126

FAMILY BUSINESS CENTERS LLC
POSITION: Manager NATURE: Assisting family owned and closely held companies to develop and implement succession plans. INVESTMENT RELATED: No NUMBER OF HOURS: 40 SECURITIES TRADING HOURS: 10 START DATE: 04/15/2008 ADDRESS: 4600 Kietzke Lane, Suite E-143, Reno NV 89502 DESCRIPTION: Assist family owned and closely held businesses in developing and implementing succession plans.

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.
 -
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
Judgment/Lien	10	N/A	N/A



Disclosure Event Details

When evaluating this information, please keep in mind that a disclosure 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.

Judgment / Lien

This type of disclosure event involves an unsatisfied and outstanding judgments or liens against the broker.

Disclosure 1 of 10

Reporting Source:	Broker
Judgment/Lien Holder:	Internal Revenue Service
Judgment/Lien Amount:	\$304,833.70
Judgment/Lien Type:	Tax
Date Filed with Court:	02/07/2017
Date Individual Learned:	02/10/2017
Type of Court:	County Court
Name of Court:	Washoe County Court
Location of Court:	Reno, NV
Docket/Case #:	247067617
Judgment/Lien Outstanding?	Yes

Broker Statement

I recently received a notice of a refiling of a tax lien covering 2002, 2003 & 2004 by the IRS. My attorney who handles matters with the IRS told me that these were refiled because the IRS's automated system had released the liens in error. This happened because they had passed the 10 year statute of limitations. However, in my case they made a mistake in that my 50 month Chapter 11 bankruptcy (October 16, 2006 to December 22, 2010) and my 16 month Offer In Compromise (August 8, 2014- December 4, 2015) cancellation plus other statutory times should have been added to the statute and they should not have released them. Specifically, these three liens will now expire in 2019, 2020 and 2021. According to my attorney, the lien was issued by the Cincinnati office of the IRS which is an automated lien filing center.



The original liens were disclosed to my Broker Dealer at the time, Sammons Securities, Inc. and were also a part of the Chapter 11 Bankruptcy filing on October 16, 2006 which was also disclosed to Sammons at the time. This filing was later converted to Chapter 7 and was discharged on December 22, 2010.

Disclosure 2 of 10

Reporting Source: Broker

Judgment/Lien Holder: INTERNAL REVENUE SERVICE

Judgment/Lien Amount: \$28,224.19

Judgment/Lien Type: Tax

Date Filed with Court: 06/25/2013

Type of Court: COUNTY

Name of Court: COUNTY RECORDER

Location of Court: WASHOE COUNTY, NEVADA

Judgment/Lien Outstanding? Yes

Broker Statement THE REPRESENTATIVE DID NOT RECEIVE NOTIFICATION OF THE LIEN UNTIL JULY 2, 2013.

Disclosure 3 of 10

Reporting Source: Broker

Judgment/Lien Holder: STATE OF CALIFORNIA FRANCHISE TAX BOARD

Judgment/Lien Amount: \$14,787.74

Judgment/Lien Type: Tax

Date Filed with Court: 12/14/2011

Type of Court: FRANCHISE TAX BOARD

Name of Court: STATE OF CALIFORNIA FRANCHISE TAX BOARD

Location of Court: SACRAMENTO, CA

Docket/Case #: 1217861257

Judgment/Lien Outstanding? Yes

**Broker Statement**

BASED OF THE ADVICE OF MY ATTORNEY, WHO IS WORKING TOWARD AN AGREEMENT WITH THE FRANCHISE TAX BOARD, I HAVE NOT YET PAID THIS TAX LIABILITY.

Disclosure 4 of 10

Reporting Source: Broker

Judgment/Lien Holder: INTERNAL REVENUE SERVICE

Judgment/Lien Amount: \$9,453.88

Judgment/Lien Type: Tax

Date Filed with Court: 09/16/2011

Type of Court: COUNTY RECORDER

Name of Court: COUNTY RECORDER OF WASHOE COUNTY, NV

Location of Court: RENO, NV

Docket/Case #: 812390711

Judgment/Lien Outstanding? Yes

Broker Statement I AM WORKING WITH AN ATTORNEY AND THE IRS TO RESOLVE THESE MATTERS.

Disclosure 5 of 10

Reporting Source: Broker

Judgment/Lien Holder: INTERNAL REVENUE SERVICE

Judgment/Lien Amount: \$206,165.94

Judgment/Lien Type: Tax

Date Filed with Court: 09/16/2011

Type of Court: COUNTY RECORDER

Name of Court: COUNTY RECORDER OF WASHOE COUNTY, NV

Location of Court: RENO, NV

Docket/Case #: 812390611

Judgment/Lien Outstanding? Yes

Broker Statement I AM WORKING WITH AN ATTORNEY AND THE IRS TO RESOLVE THESE



MATTERS.

Disclosure 6 of 10

Reporting Source: Broker
Judgment/Lien Holder: INTERNAL REVENUE SERVICE
Judgment/Lien Amount: \$47,791.00
Judgment/Lien Type: Tax
Date Filed with Court: 04/12/2005
Type of Court: COUNTY COURT
Name of Court: SANTA CLARA COUNTY COURT
Location of Court: SANTA CLARA, CA
Docket/Case #: 18317499
Judgment/Lien Outstanding? Yes

Disclosure 7 of 10

Reporting Source: Broker
Judgment/Lien Holder: INTERNAL REVENUE SERVICE
Judgment/Lien Amount: \$95,877.00
Judgment/Lien Type: Tax
Date Filed with Court: 01/03/2006
Type of Court: COUNTY
Name of Court: SANTA CLARA COUNTY COURT
Location of Court: SANTA CLARA, CA
Docket/Case #: 18753063
Judgment/Lien Outstanding? Yes

Disclosure 8 of 10

Reporting Source: Broker
Judgment/Lien Holder: STATE OF CALIFORNIA



Judgment/Lien Amount: \$4,685.00
Judgment/Lien Type: Tax
Date Filed with Court: 07/01/2011
Type of Court: COUNTY COURT
Name of Court: SANTA CLARA COUNTY COURT
Location of Court: SANTA CLARA, CA
Docket/Case #: 21224405
Judgment/Lien Outstanding? Yes

Disclosure 9 of 10

Reporting Source: Broker
Judgment/Lien Holder: STATE OF CALIFORNIA
Judgment/Lien Amount: \$198,715.39
Judgment/Lien Type: Tax
Date Filed with Court: 07/01/2011

Type of Court: COUNTY
Name of Court: SANTA CLARA COUNTY COURT
Location of Court: SANTA CLARA, CA
Docket/Case #: 21224406
Judgment/Lien Outstanding? Yes
Broker Statement Lien was originally filed in Santa Clara County but extended in Sacramento County.

Disclosure 10 of 10

Reporting Source: Broker
Judgment/Lien Holder: IRS
Judgment/Lien Amount: \$189,000.00
Judgment/Lien Type: Tax



Date Filed with Court: 11/01/2004

Judgment/Lien Outstanding? Yes

Broker Statement HAD AN OUTSIDE BUSINESS WHICH DUE TO THE DOWN TURN IN THE MARKET CAUSED THE BUSINESS TO LOOSE MONEY.

End of Report



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