BrokerCheck Report

JONATHAN DAVID ROBSON

CRD# 4384151

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.

JONATHAN D. ROBSON

CRD# 4384151

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

IA **OSAIC WEALTH, INC.**
MARIETTA, GA
CRD# 23131
Registered with this firm since: 11/03/2023

B **OSAIC WEALTH, INC.**
MARIETTA, GA
CRD# 23131
Registered with this firm since: 11/03/2023

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
- 12 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 **FSC SECURITIES CORPORATION**
CRD# 7461
ATLANTA, GA
09/2016 - 11/2023

B **FSC SECURITIES CORPORATION**
CRD# 7461
MARIETTA, GA
09/2016 - 11/2023

IA **STRATOS WEALTH PARTNERS, LTD**
CRD# 153184
BEACHWOOD, OH
11/2012 - 09/2016

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
Termination	1

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 12 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	11/03/2023
B	FINRA	Invest. Co and Variable Contracts	Approved	11/03/2023

	U.S. State/ Territory	Category	Status	Date
B	Alabama	Agent	Approved	11/03/2023
IA	Alabama	Investment Adviser Representative	Approved	11/03/2023
B	California	Agent	Approved	11/03/2023
IA	California	Investment Adviser Representative	Approved	11/03/2023
B	Connecticut	Agent	Approved	11/03/2023
B	Florida	Agent	Approved	11/03/2023
IA	Florida	Investment Adviser Representative	Approved	11/03/2023
B	Georgia	Agent	Approved	11/03/2023
IA	Georgia	Investment Adviser Representative	Approved	11/03/2023
B	Michigan	Agent	Approved	03/14/2025
B	North Carolina	Agent	Approved	11/03/2023

Broker Qualifications

Employment 1 of 1, continued

	U.S. State/ Territory	Category	Status	Date
IA	North Carolina	Investment Adviser Representative	Approved	11/03/2023
B	South Carolina	Agent	Approved	11/03/2023
B	Tennessee	Agent	Approved	11/03/2023
B	Texas	Agent	Approved	01/10/2025
IA	Texas	Investment Adviser Representative	Restricted Approval	11/03/2023
B	Utah	Agent	Approved	11/03/2023
B	Virginia	Agent	Approved	11/03/2023

Branch Office Locations

OSAIC WEALTH, INC.
MARIETTA, GA

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	Securities Industry Essentials Examination	SIE	10/01/2018
B	General Securities Representative Examination	Series 7	10/06/2010
B	Investment Company Products/Variable Contracts Representative Examination	Series 6	04/14/2001

State Securities Law Exams

	Exam	Category	Date
IA	Uniform Investment Adviser Law Examination	Series 65	12/21/2004
B	Uniform Securities Agent State Law Examination	Series 63	04/21/2001

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	09/2016 - 11/2023	FSC SECURITIES CORPORATION	7461	MARIETTA, GA
IA	09/2016 - 11/2023	FSC SECURITIES CORPORATION	7461	MARIETTA, GA
IA	11/2012 - 09/2016	STRATOS WEALTH PARTNERS, LTD	153184	MARIETTA, GA
B	11/2012 - 09/2016	LPL FINANCIAL LLC	6413	MARIETTA, GA
IA	06/2010 - 11/2012	HORNOR, TOWNSEND & KENT, INC.	4031	MARIETTA, GA
B	05/2010 - 11/2012	HORNOR, TOWNSEND & KENT, INC.	4031	MARIETTA, GA
IA	05/2008 - 05/2010	LINCOLN FINANCIAL ADVISORS CORPORATION	3978	MARIETTA, GA
B	05/2008 - 05/2010	LINCOLN FINANCIAL ADVISORS CORPORATION	3978	MARIETTA, GA
IA	01/2005 - 05/2008	HORNOR, TOWNSEND & KENT, INC.	4031	MARIETTA, GA
B	04/2001 - 05/2008	HORNOR, TOWNSEND & KENT, INC.	4031	MARIETTA, GA

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
11/2023 - Present	OSAIC WEALTH, INC.	Mass Transfer	Y	MARIETTA, GA, United States
09/2016 - 11/2023	FSC SECURITIES CORP	REGISTERED REPRESENTATIVE	Y	ATLANTA, GA, United States
11/2012 - 09/2016	LPL FINANCIAL	REGISTERED REPRESENTATIVE	Y	MARIETTA, GA, United States

Registration and Employment History

Employment History, continued

Employment	Employer Name	Position	Investment Related	Employer Location
11/2012 - 09/2016	STRATOS WEALTH MANAGEMENT	REGISTERED REPRESENTATIVE	Y	MARIETTA, GA, 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) THE NICOLA JANE ROBSON 2012 INSURANCE TRUST
POSITION: Trustee NATURE: Trust for the benefit of Alexander Mohnen INVESTMENT RELATED: Yes NUMBER OF HOURS: 1 SECURITIES TRADING HOURS: 1 START DATE: 11/24/2012
ADDRESS: 3405 Dallas Highway, Building 800, Suite 820, Marietta GA 30064, United States
DESCRIPTION: Act as trustee for the benefit of my nephew, Alexander Mohnen.

2)OLD TRACE INVESTORS, LLC
POSITION: Manager/Member NATURE: Limited Liability Corporation INVESTMENT RELATED: Yes NUMBER OF HOURS: 5 SECURITIES TRADING HOURS: 5 START DATE: 01/05/2007
ADDRESS: 3405 Dallas Highway, Building 800, Suite 820, Marietta GA 30064, United States
DESCRIPTION: Manager/Member of LLC that owns an 8,000 square foot commercial office building. Duties include accounting, rental and management of the building.

3)DALLAS VILLAGES, LLC
POSITION: Manager/Member NATURE: Limited Liability Corporation INVESTMENT RELATED: Yes NUMBER OF HOURS: 5 SECURITIES TRADING HOURS: 5 START DATE: 12/18/2003
ADDRESS: 3405 Dallas Highway, Building 800, Suite 820, Marietta GA 30064, United States
DESCRIPTION: Manager/Member of LLC that owns two 6,000 square foot office buildings. Duties include accounting, rental and management of the buildings.

4) ROBSON PROPERTIES, LLC
POSITION: Manager/Member NATURE: Limited Liability Corporation. Currently only has a checking account with a $43 balance. No other assets. INVESTMENT RELATED: Yes NUMBER OF HOURS: 0 SECURITIES TRADING HOURS: 0 START DATE: 03/13/2013
ADDRESS: 3405 Dallas Highway, Building 800, Suite 820, Marietta GA 30064, United States
DESCRIPTION: Management.

5) ROBSON PLANNING GROUP
POSITION: Onwer/President NATURE: Corporation INVESTMENT RELATED: Yes NUMBER OF HOURS: 2 SECURITIES TRADING HOURS: 2 START DATE: 04/01/2001
ADDRESS: 3405 Dallas Highway, Building 800, Suite 820, Marietta GA 30064, United States
DESCRIPTION: Responsible for administration of this corporation

Registration and Employment History

Other Business Activities, continued

6) JONATHAN ROBSON
POSITION: Insurance Agent NATURE: Insurance Agent INVESTMENT RELATED: Yes NUMBER OF HOURS: 15 SECURITIES TRADING HOURS: 15 START DATE: 04/01/2001
ADDRESS: 3405 Dallas Highway, Building 800, Suite 820, Marietta GA 30064, United States
DESCRIPTION: Recommend insurance to client as appropriate

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.
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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
Termination	N/A	1	N/A

Disclosure Event Details

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

Employment Separation After Allegations

This type of disclosure event involves a situation where the broker voluntarily resigned, was discharged, or was permitted to resign after being accused of (1) violating investment-related statutes, regulations, rules or industry standards of conduct; (2) fraud or the wrongful taking of property; or (3) failure to supervise in connection with investment-related statutes, regulations, rules, or industry standards of conduct.

Disclosure 1 of 1

Reporting Source:	Firm
Employer Name:	LPL Financial LLC
Termination Type:	Discharged
Termination Date:	08/11/2016
Allegations:	Violation of Firm policy regarding private securities transactions.
Product Type:	Real Estate Security

Reporting Source:	Broker
Employer Name:	LPL
Termination Type:	Discharged
Termination Date:	08/11/2016
Allegations:	Violated firm policy regarding private securities transaction.
Product Type:	No Product
Broker Statement	In August of 2015, I introduced a client's accountant to another accountant I have had a working relationship with in the past to assist in tax planning. The client had sold a business and was concerned with the tax consequences with the transaction. The two accountants held conference calls to discuss the client's situation during which it was determined he would benefit from the use of conservation easements.

The client, based upon his accountant's recommendation, decided to move forward with the conservation easements.

In December of 2015, the accountant I introduced requested that I forward information on the easement that he determined was appropriate to the client, which included subscription documents. I forwarded the information, unaware that by doing so, I could potentially be involved in a non-registered securities transaction. I had no further involvement in the transaction after passing on the information.

In February of 2016, it was brought to my attention during a branch exam, that the information I forwarded was an issue. I explained the situation to the examiner and provided all information requested. In June of 2016, I was contacted by attorneys at LPL Financial to provided further explanation and information, and I again complied.

In August of 2016, I received a phone call from a Manager of Home Office Supervision at LPL Financial. I was informed during this call that my registration was terminated effective the close of that business day. When asked why they felt my registration should be terminated, I was told that Senior Management believed that I was involved in a non-registered securities transaction.

I did not receive any compensation, either from the transaction or through a referral fee, from anyone involved in the conservation easement. I did not assist the client in purchasing any conservation easement or in completing any of the documents. I was not involved in the transfer of any funds for the client for the purchase. I have been a registered representative since 2001 during which time I have a spotless U-4, have never filed an E&O claim, and have never been arrested or declared bankruptcy. My credit score is always in the high 700's.

End of Report

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