BrokerCheck Report

DERRICK LOUIS SWEENEY

CRD# 4413138

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.

DERRICK L. SWEENEY

CRD# 4413138

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

IA **THE AMERIFLEX GROUP**
222 E. Town Street
Suite 150
Columbus, OH 43215
CRD# 305585
Registered with this firm since: 10/26/2022

B **CAMBRIDGE INVESTMENT RESEARCH, INC.**
222 E. Town St. Ste 150
Columbus, OH 43215
CRD# 39543
Registered with this firm since: 06/27/2025

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
- 1 State Securities Law Exam

Registration History

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

B **OSAIC WEALTH, INC.**
CRD# 23131
COLUMBUS, OH
09/2023 - 07/2025

B **SAGEPOINT FINANCIAL, INC.**
CRD# 133763
COLUMBUS, OH
10/2022 - 09/2023

IA **PRINCIPAL SECURITIES, INC.**
CRD# 1137
DES MOINES, IA
06/2012 - 11/2022

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

Employment 1 of 2

Firm Name: **CAMBRIDGE INVESTMENT RESEARCH, INC.**

Main Office Address: **1776 PLEASANT PLAIN RD.**
FAIRFIELD, IA 52556-8757

Firm CRD#: **39543**

	SRO	Category	Status	Date
B	FINRA	General Securities Representative	Approved	06/27/2025
B	FINRA	Invest. Co and Variable Contracts	Approved	06/27/2025

	U.S. State/ Territory	Category	Status	Date
B	Alabama	Agent	Approved	06/27/2025
B	District of Columbia	Agent	Approved	06/27/2025
B	Florida	Agent	Approved	06/27/2025
B	Georgia	Agent	Approved	06/27/2025
B	Indiana	Agent	Approved	06/27/2025
B	Kentucky	Agent	Approved	06/27/2025
B	Maryland	Agent	Approved	06/27/2025
B	Ohio	Agent	Approved	06/27/2025
B	South Carolina	Agent	Approved	06/27/2025
B	Texas	Agent	Approved	06/27/2025
B	West Virginia	Agent	Approved	06/27/2025

Broker Qualifications

Employment 1 of 2, continued

	U.S. State/ Territory	Category	Status	Date
B	Wyoming	Agent	Approved	06/27/2025

Branch Office Locations

CAMBRIDGE INVESTMENT RESEARCH, INC.
222 E. Town St. Ste 150
Columbus, OH 43215

Employment 2 of 2

Firm Name: **THE AMERIFLEX GROUP**

Main Office Address: **8475 W. SUNSET ROAD, SUITE 101**
LAS VEGAS, NV 89113

Firm CRD#: **305585**

	U.S. State/ Territory	Category	Status	Date
IA	Ohio	Investment Adviser Representative	Approved	10/27/2022
IA	Texas	Investment Adviser Representative	Approved	10/26/2022

Branch Office Locations

222 E. Town Street
Suite 150
Columbus, OH 43215

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 1 state securities law exam.

Principal/Supervisory Exams

	Exam	Category	Date
	No information reported.		

General Industry/Product Exams

	Exam	Category	Date
B	General Securities Representative Examination	Series 7TO	12/16/2024
B	Securities Industry Essentials Examination	SIE	10/01/2018
B	Investment Company Products/Variable Contracts Representative Examination	Series 6	07/02/2001

State Securities Law Exams

	Exam	Category	Date
B	Uniform Securities Agent State Law Examination	Series 63	07/25/2008

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	09/2023 - 07/2025	OSAIC WEALTH, INC.	23131	COLUMBUS, OH
B	10/2022 - 09/2023	SAGEPOINT FINANCIAL, INC.	133763	COLUMBUS, OH
IA	06/2012 - 11/2022	PRINCIPAL SECURITIES, INC.	1137	COLUMBUS, OH
B	05/2012 - 11/2022	PRINCIPAL SECURITIES, INC.	1137	COLUMBUS, OH
B	12/2009 - 05/2012	FIFTH THIRD SECURITIES, INC.	628	COLUMBUS, OH
IA	09/2009 - 10/2009	NATCITY INVESTMENTS, INC.	17490	BUCKEYE LAKE, OH
B	07/2008 - 10/2009	NATCITY INVESTMENTS, INC.	17490	BUCKEYE LAKE, OH
B	05/2005 - 04/2008	THE HUNTINGTON INVESTMENT COMPANY	16986	COLUMBUS, OH
B	07/2001 - 10/2004	NATIONWIDE INVESTMENT SERVICES CORPORATION	7110	COLUMBUS, OH

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
06/2025 - Present	Cambridge Investment Research, Inc.	Registered Representative	Y	Fairfield, IA, United States
10/2022 - Present	The Ameriflex Group	Registered Investment Advisor	Y	Las Vegas, OH, United States
01/2020 - Present	RS ADVISORS	FINANCIAL REPRESENTATIVE	Y	COLUMBUS, OH, United States
11/2013 - Present	RYAN SMITH FINANCIAL SERVICES	FINANCIAL REP	Y	COLUMBUS, OH, United States

Registration and Employment History

Employment History, continued

Employment	Employer Name	Position	Investment Related	Employer Location
09/2023 - 06/2025	OSAIC WEALTH, INC.	REGISTERED REP	Y	COLUMBUS, OH, United States
10/2022 - 09/2023	SagePoint Financial, Inc.	Registered Representative	Y	Columbus, OH, United States
03/2016 - 10/2022	PRINCIPAL SECURITIES INC	REG REP	Y	COLUMBUS, OH, United States
05/2012 - 10/2022	PRINCIPAL LIFE INSURANCE COMPANY	AGENT	Y	COLUMBUS, OH, United States
05/2012 - 03/2016	PRINCOR FINANCIAL SERVICES CORPORATION	REGISTERED REP	N	DUBLIN, OH, 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) RS ADVISORS, 222 E Town St, Suite 150, Columbus OH 43215, United States, 12/2019, PARTNER, DBA NAME, INV REL, 160 HR/MO - 160 HR/MO TRADING.

2) THE AMERIFLEX GROUP, 8475 W Sunset Rd, Suite 101, Las Vegas NV 89113, United States, 10/2022, AGENT, RIA AFFILIATION, INV REL, 160 HR/MO - 160 HR/MO TRADING.

End of Report

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