

BrokerCheck Report

TASHA MARIE COLEMAN

CRD# 4508534

<u>Section Title</u>	<u>Page(s)</u>
Report Summary	1
Broker Qualifications	2 - 4
Registration and Employment History	6 - 8
Disclosure Events	9



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.

**TASHA M. COLEMAN**

CRD# 4508534

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

IA OSAIC WEALTH, INC.
 1970 OAKCREST AVE
 SUITE 118
 ROSEVILLE, MN 55113
 CRD# 23131
 Registered with this firm since: 09/01/2023

B OSAIC WEALTH, INC.
 1970 OAKCREST AVE
 SUITE 118
 ROSEVILLE, MN 55113
 CRD# 23131
 Registered with this firm since: 09/01/2023

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
- 22 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):

- IA SAGEPOINT FINANCIAL, INC.**
 CRD# 133763
 PHOENIX, AZ
 01/2014 - 09/2023
- B SAGEPOINT FINANCIAL, INC.**
 CRD# 133763
 ROSEVILLE, MN
 01/2010 - 09/2023
- B FELTL & COMPANY**
 CRD# 6905
 NORTH OAKS, MN
 11/2007 - 01/2010

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
Customer Dispute	2



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 22 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	09/01/2023
B	FINRA	Invest. Co and Variable Contracts	Approved	09/01/2023

	U.S. State/ Territory	Category	Status	Date
B	Alaska	Agent	Approved	09/05/2024
B	Arizona	Agent	Approved	09/01/2023
B	California	Agent	Approved	09/01/2023
B	Colorado	Agent	Approved	09/01/2023
B	Florida	Agent	Approved	09/01/2023
IA	Florida	Investment Adviser Representative	Approved	09/25/2024
B	Georgia	Agent	Approved	09/01/2023
B	Hawaii	Agent	Approved	09/01/2023
B	Idaho	Agent	Approved	09/01/2023
B	Iowa	Agent	Approved	09/01/2023
B	Kansas	Agent	Approved	02/28/2024



Broker Qualifications

Employment 1 of 1, continued

	U.S. State/ Territory	Category	Status	Date
B	Kentucky	Agent	Approved	01/09/2025
B	Minnesota	Agent	Approved	09/01/2023
IA	Minnesota	Investment Adviser Representative	Approved	09/01/2023
B	Missouri	Agent	Approved	09/01/2023
B	North Carolina	Agent	Approved	09/01/2023
B	North Dakota	Agent	Approved	09/01/2023
B	Oregon	Agent	Approved	09/11/2024
B	Pennsylvania	Agent	Approved	09/01/2023
B	Rhode Island	Agent	Approved	09/01/2023
B	Texas	Agent	Approved	09/01/2023
IA	Texas	Investment Adviser Representative	Restricted Approval	09/01/2023
B	Virginia	Agent	Approved	09/01/2023
B	West Virginia	Agent	Approved	09/01/2023
B	Wisconsin	Agent	Approved	09/01/2023

Branch Office Locations

OSAIC WEALTH, INC.
 1970 OAKCREST AVE
 SUITE 118
 ROSEVILLE, MN 55113



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 Securities Industry Essentials Examination	SIE	10/01/2018
B General Securities Representative Examination	Series 7	11/03/2004
B Investment Company Products/Variable Contracts Representative Examination	Series 6	06/07/2002

State Securities Law Exams

Exam	Category	Date
B Uniform Securities Agent State Law Examination	Series 63	08/30/2002

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 **1** professional designation(s).

Certified Financial Planner

This representative holds or did hold **1** professional designation(s) that may have been used to qualify as an Investment Advisor representative. Please check with the appropriate designation authority for verification that the designation is still in effect. The contact information for these professional designation authorities can be found on the website for the North American Securities Administrators Association at <http://www.nasaa.org>



Registration and Employment History

Registration History

The broker previously was registered with the following firms:

Registration Dates	Firm Name	CRD#	Branch Location
IA 01/2014 - 09/2023	SAGEPOINT FINANCIAL, INC.	133763	ROSEVILLE, MN
B 01/2010 - 09/2023	SAGEPOINT FINANCIAL, INC.	133763	ROSEVILLE, MN
B 11/2007 - 01/2010	FELTL & COMPANY	6905	NORTH OAKS, MN
B 02/2007 - 11/2007	INVESTMENT CENTERS OF AMERICA, INC.	16443	PINE CITY, MN
B 05/2004 - 02/2007	SII INVESTMENTS, INC.	2225	VADNAIS HEIGHTS, MN
B 07/2003 - 12/2003	INTERSECURITIES, INC.	16164	PHILADELPHIA, PA
B 06/2002 - 10/2002	WORLD GROUP SECURITIES, INC.	114473	DULUTH, 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
09/2023 - Present	OSAIC WEALTH, INC.	Mass Transfer	Y	ROSEVILLE, MN, United States
01/2010 - Present	SAGEPOINT FINANCIAL	REGISTERED ADVISOR	Y	FOREST LAKE, MN, 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. FIVE STAR WEALTH PLANNING, NO, 20001 FERN GLEN BLVD., NORTH FOREST LAKE, MN, OWNER, JAN-2010, 1HRS/MONTH, 0HR DT, LLC CREATED FOR TAX PURPOSES.
2. FIVE STAR FINANCIAL RESOURCES



Registration and Employment History

Other Business Activities, continued

POSITION: Statutory Agent - NATURE: Insurance Agency - INVESTMENT RELATED: No NUMBER OF HOURS: 2 SECURITIES TRADING HOURS: 2 START DATE: 01/01/2003

ADDRESS: 1611 Cty Rd B West #218 Roseville, MN 55113, Roseville MN 55113

DESCRIPTION: Fixed Life and annuities

3. FIXED INSURANCE, NO, 1611 CTY RD B W 218, REPRESENTATIVE, JAN-2012, 1HRS/MONTH, 1HRS DT, FIXED INSURANCE, ANNUITIES.

4. FIVE STAR WEALTH PLANNING, LLC

POSITION: OWMER NATURE: LLC INVESTMENT RELATED: NO NUMBER OF HOURS: 1 INVESTMENT RELATED HOURS: 0 START DATE: 06/16/2010

ADDRESS: 1611 CTY RD B WEST #218, ROSEVILLE MN 55113

DESCRIPTION: ONLY FOR TAX PURPOSES

5. REAL ESTATE RENTAL

POSITION: OWNER NATURE: SOLE PROPIETORSHIP INVESTMENT RELATED: NO NUMBER OF HOURS: 1 INVESTMENT RELATED HOURS: 0 START DATE: 09/03/2012

ADDRESS: 22451 EVERGREEN CIRCLE, FOREST LAKE MN 55025; DESCRIPTION: ONE RENTAL PROPERTY

6. CRYPTO CURRENCY

POSITION: Individual NATURE: Personal Trading INVESTMENT RELATED: No NUMBER OF HOURS: 1 SECURITIES TRADING HOURS: 0 START DATE: 09/29/2021

ADDRESS: 1970 Oakcrest Ave, Roseville MN 55025, United States

DESCRIPTION: Coinbase Account owned by myself. Purchased \$7,000 (.67 shares) of Bitcoin(BTC).

7. CRYPTOCURRENCY

POSITION: owner NATURE: Coinbase account. Purchase of Ethereum (ETH) 1.02 shares \$3,000. INVESTMENT RELATED: No NUMBER OF HOURS: 1 SECURITIES TRADING HOURS: 0 START DATE: 09/29/2021

ADDRESS: 1970 Oakcrest Ave, Roseville MN 55113, United States

DESCRIPTION: Personal Trading Account

8. CRYPTOCURRENCY

POSITION: owner NATURE: Coinbase account. Purchase of LTC litecoin \$1,000 (6.13 shares) INVESTMENT RELATED: No NUMBER OF HOURS: 1 SECURITIES TRADING HOURS: 0 START DATE: 09/29/2021

ADDRESS: 1970 Oakcrest Ave, Roseville MN 55113, United States

DESCRIPTION: Personal trading account

9. NU LIFE LAWN AND SNOW

POSITION: CFO NATURE: Partnership INVESTMENT RELATED: No NUMBER OF HOURS: 0 SECURITIES TRADING HOURS: 0 START DATE: 04/01/2023

ADDRESS: 13826 40th St N, Stillwater MN 55025, United States

DESCRIPTION: My husband and I purchased a lawn and snow removal company. He is running the company 100%.

Registration and Employment History



Other Business Activities, continued

10. FIVE STAR WEALTH PLANNING

POSITION: owner NATURE: Currently a CPA (Leighton Tax and Accounting) and Attorney (Toftness Kelly Law) rent an office in my suite. We have disclosure that we are separate businesses. They pay me rent each month. INVESTMENT RELATED: No NUMBER OF HOURS: 1 SECURITIES TRADING HOURS: 1 START DATE: 04/03/2023
ADDRESS: 1970 Oakcrest Ave, Roseville MN 55025, United States
DESCRIPTION: Receive rental checks

11. RENTAL REAL ESTATE

POSITION: Owner/Partner NATURE: Real Estate Rental - Partnership INVESTMENT RELATED: No NUMBER OF HOURS: 1 SECURITIES TRADING HOURS: 4 START DATE: 08/14/2023
ADDRESS: 267 S Shore Dr, Forest Lake MN 55025, United States
DESCRIPTION: Review billing and accounting

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:**
 - o A law enforcement agency must file formal charges before a broker is required to disclose a particular criminal event.
 - o 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.
 - o
3. **Disclosure events in BrokerCheck reports come from different sources:**
 - o 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.
 - o
4. **There are different statuses and dispositions for disclosure events:**
 - o 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.
 - o 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
Customer Dispute	0	2	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.

Customer Dispute - Settled

This type of disclosure event involves a consumer-initiated, investment-related complaint, arbitration proceeding or civil suit containing allegations of sale practice violations against the broker that resulted in a monetary settlement to the customer.

Disclosure 1 of 1

Reporting Source:	Broker
Employing firm when activities occurred which led to the complaint:	OSAIC WEALTH, INC.
Allegations:	Customers allege that the terms of the certificates of deposit were misrepresented.
Product Type:	CD
Alleged Damages:	\$7,914.00
Alleged Damages Amount Explanation (if amount not exact):	Client claims damages of \$7,914 plus fees.
Is this an oral complaint?	No
Is this a written complaint?	Yes
Is this an arbitration/CFTC reparation or civil litigation?	No

Customer Complaint Information

Date Complaint Received:	11/29/2023
Complaint Pending?	No
Status:	Settled
Status Date:	04/11/2024



Settlement Amount:	\$9,946.00
Individual Contribution Amount:	\$5,000.00



Customer Dispute - Closed-No Action / Withdrawn / Dismissed / Denied

This type of disclosure event involves (1) a consumer-initiated, investment-related arbitration or civil suit containing allegations of sales practice violations against the individual broker that was dismissed, withdrawn, or denied; or (2) a consumer-initiated, investment-related written complaint containing allegations that the broker engaged in sales practice violations resulting in compensatory damages of at least \$5,000, forgery, theft, or misappropriation, or conversion of funds or securities, which was closed without action, withdrawn, or denied.

Disclosure 1 of 1

Reporting Source:	Broker
Employing firm when activities occurred which led to the complaint:	OSAIC WEALTH, INC.
Allegations:	Customer alleges that representative provided poor advice in regard to the sale of a non-traded business development company.
Product Type:	Other: Non-traded business development company
Alleged Damages:	\$100,000.00
Is this an oral complaint?	No
Is this a written complaint?	Yes
Is this an arbitration/CFTC reparation or civil litigation?	No

Customer Complaint Information

Date Complaint Received:	06/06/2024
Complaint Pending?	No
Status:	Denied
Status Date:	10/01/2024
Settlement Amount:	
Individual Contribution Amount:	

End of Report



This page is intentionally left blank.