

## BrokerCheck Report

**MATTHEW LAWRENCE AGIUS**

CRD# 4736296

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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](http://brokercheck.finra.org)



For additional information about the contents of this report, please refer to the User Guidance or [www.finra.org/brokercheck](http://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](http://www.finra.org).



## MATTHEW L. AGIUS

CRD# 4736296

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

**IA OSAIC WEALTH, INC.**  
1050 El Camino Real Suite C  
Belmont, CA 94002  
CRD# 23131  
Registered with this firm since: 06/14/2024

**B OSAIC WEALTH, INC.**  
1050 El Camino Real Suite C  
Belmont, CA 94002  
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
- 8 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  
01/2018 - 06/2024
- B SECURITIES AMERICA, INC.**  
CRD# 10205  
Belmont, CA  
12/2016 - 06/2024
- IA CUE FINANCIAL GROUP, INC.**  
CRD# 21033  
SCOTTSDALE, AZ  
05/2013 - 12/2017

### 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	3



## 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 8 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	Arizona	Agent	Approved	06/14/2024
B	California	Agent	Approved	06/14/2024
IA	California	Investment Adviser Representative	Approved	06/14/2024
B	Georgia	Agent	Approved	06/14/2024
B	Maryland	Agent	Approved	06/14/2024
B	Nevada	Agent	Approved	01/02/2025
B	South Dakota	Agent	Approved	06/14/2024
B	Virginia	Agent	Approved	01/02/2025
B	Washington	Agent	Approved	01/09/2025

## Broker Qualifications



### Employment 1 of 1, continued Branch Office Locations

**OSAIC WEALTH, INC.**

1050 El Camino Real Suite C  
Belmont, CA 94002

**OSAIC WEALTH, INC.**

15425 LOS GATOS BLVD STE 101  
LOS GATOS, CA 95032

**OSAIC WEALTH, INC.**

210 REDWOOD SHORES PARKWAY  
REDWOOD CITY, CA 94065

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## 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>B</b> General Securities Principal Examination	Series 24	09/24/2009

### General Industry/Product Exams

Exam	Category	Date
<b>B</b> Securities Industry Essentials Examination	SIE	10/01/2018
<b>B</b> General Securities Representative Examination	Series 7	04/18/2006
<b>B</b> Investment Company Products/Variable Contracts Representative Examination	Series 6	12/12/2003

### State Securities Law Exams

Exam	Category	Date
<b>IA</b> Uniform Investment Adviser Law Examination	Series 65	04/30/2007
<b>B</b> Uniform Securities Agent State Law Examination	Series 63	12/17/2003

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/](http://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>IA</b> 01/2018 - 06/2024	SECURITIES AMERICA ADVISORS, INC.	110518	LOS GATOS, CA
<b>B</b> 12/2016 - 06/2024	SECURITIES AMERICA, INC.	10205	Belmont, CA
<b>IA</b> 05/2013 - 12/2017	CUE FINANCIAL GROUP, INC.	21033	SCOTTSDALE, AZ
<b>B</b> 06/2011 - 12/2016	FOOTHILL SECURITIES, INC.	1027	PALO ALTO, CA
<b>IA</b> 05/2009 - 07/2011	LPL FINANCIAL LLC	6413	BURLINGAME, CA
<b>B</b> 05/2009 - 07/2011	LPL FINANCIAL LLC	6413	BURLINGAME, CA
<b>B</b> 05/2009 - 05/2009	CHASE INVESTMENT SERVICES CORP.	25574	SANTA CLARA, CA
<b>IA</b> 05/2009 - 05/2009	CHASE INVESTMENT SERVICES CORP.	25574	SANTA CLARA, CA
<b>B</b> 04/2008 - 05/2009	WAMU INVESTMENTS, INC.	599	SANTA CLARA, CA
<b>IA</b> 04/2008 - 05/2009	WAMU INVESTMENTS, INC.	599	SANTA CLARA, CA
<b>B</b> 07/2007 - 04/2008	WELLS FARGO INVESTMENTS, LLC	10582	LIVERMORE, CA
<b>IA</b> 07/2007 - 04/2008	WELLS FARGO INVESTMENTS, LLC	10582	LIVERMORE, CA
<b>IA</b> 06/2007 - 08/2007	CITIGROUP GLOBAL MARKETS INC.	7059	SAN MATEO, CA
<b>B</b> 05/2007 - 08/2007	CITIGROUP GLOBAL MARKETS INC.	7059	SAN MATEO, CA
<b>B</b> 12/2003 - 05/2007	CITICORP INVESTMENT SERVICES	23988	SAN MATEO, CA

### 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	Belmont, 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	Belmont, CA, United States
06/2011 - Present	PROVIDENT CREDIT UNION	EMPLOYEE	Y	LOS GATOS, CA, United States
01/2018 - 06/2024	SECURITIES AMERICA ADVISORS	IAR	Y	LOS GATOS, CA, United States
12/2016 - 06/2024	SECURITIES AMERICA, INC.	REGISTERED REP	Y	LOS GATOS, CA, United States
04/2013 - 12/2017	CUE FINANCIAL GROUP, INC.	IAR	Y	LOS GATOS, CA, United States
06/2011 - 12/2016	FOOTHILL SECURITIES INC	REGISTERED REP	Y	REDWOOD SHORES, 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.

#### PROVIDENT CREDIT UNION

POSITION: Advisor NATURE: Credit Union INVESTMENT RELATED: No NUMBER OF HOURS: 160 SECURITIES TRADING HOURS: 10

START DATE: 06/01/2011

ADDRESS: 15425 Los Gatos Blvd, Los Gatos CA 95032

DESCRIPTION: Investment advisor working for/in Provident Credit Union

#### SAA

POSITION: Advisor NATURE: Advisory Business INVESTMENT RELATED: Yes NUMBER OF HOURS: 10 SECURITIES TRADING HOURS: 10

START DATE: 01/01/2018

ADDRESS: 15425 Los Gatos Blvd, Los Gatos CA 95032, United States

DESCRIPTION: Offering advisory accounts to clients.

## 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
Customer Dispute	0	3	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 3

<b>Reporting Source:</b>	Broker
<b>Employing firm when activities occurred which led to the complaint:</b>	FOOTHILL SECURITIES, INC.
<b>Allegations:</b>	THE HEIRS OF A DECEASED CLIENT COMPLAINED THAT ANNUITIZATION OF A VARIABLE ANNUITY PRIOR TO THE CLIENT'S PASSING AWAY WAS NOT APPROPRIATE.
<b>Product Type:</b>	Annuity-Fixed Annuity-Variable
<b>Alleged Damages:</b>	\$0.00
<b>Alleged Damages Amount Explanation (if amount not exact):</b>	AT THE TIME THAT [CUSTOMER'S] SONS WERE COMPLAINING TO PROVIDENT CREDIT UNION, THEY DID NOT DEMAND A SPECIFIC AMOUNT OF DAMAGES.
<b>Is this an oral complaint?</b>	No
<b>Is this a written complaint?</b>	Yes
<b>Is this an arbitration/CFTC reparation or civil litigation?</b>	No

### Customer Complaint Information

<b>Date Complaint Received:</b>	01/14/2015
<b>Complaint Pending?</b>	No
<b>Status:</b>	Settled



**Status Date:** 05/01/2015

**Settlement Amount:** \$17,500.00

**Individual Contribution Amount:** \$6,300.00

**Broker Statement**

MR. AGIUS INHERITED THE CLIENT FROM A RETIRING ADVISOR IN 2013 AND SCHEDULED A MEETING TO INTRODUCE HIMSELF AND PERFORM A PORTFOLIO REVIEW. DURING THE MEETING THE CLIENT STATED THE NEED FOR ADDITIONAL INCOME. THE PORTFOLIO REVIEW FOUND THAT FOR A CLIENT AGED 94 THE EXPOSURE TO STOCKS WAS EXCESSIVE AND AFTER DISCUSSING ALTERNATIVES THE CLIENT DECIDED TO ANNUITIZE A VA. BY ANNUITIZING THE ADDITIONAL INCOME WOULD BE PROVIDED AS WELL AS REDUCING THE EXPOSURE TO STOCKS AND PROVIDING MORE FAVORABLE TAX TREATMENT THAN STRAIGHT WITHDRAWALS. FIVE MONTHS AFTER THE ANNUITIZATION THE CLIENT PASSED AWAY AND EIGHT MONTHS AFTER PASSING THE CLIENT'S HEIRS INQUIRED OF PROVIDENT CREDIT UNION THE REASONING BEHIND ANNUITIZING. THE COMMUNICATION WAS FORWARDED TO FOOTHILL SECURITIES, INC. FOR RESPONSE AND AFTER A SERIES OF COMMUNICATIONS WITH THE BENEFICIARIES THEY INDICATED THEY WOULD BE FILING A FORMAL COMPLAINT WITH FINRA AND THE CALIFORNIA DEPARTMENT OF INSURANCE TO RESOLVE THE ISSUE. AN INTERNAL REVIEW FOUND THAT MR. AGIUS ADVISED THE CLIENT APPROPRIATELY AND FOOTHILL SECURITIES, INC. DENIES ANY WRONGDOING IN THIS MATTER.

**Disclosure 2 of 3**

**Reporting Source:** Firm

**Employing firm when activities occurred which led to the complaint:** CHASE INVESTMENT SERVICES CORP

**Allegations:** CLIENT ALLEGES SUITABILITY AND MISREPRESENTATION REGARDING EQUITIES LISTED, MUTUAL FUNDS, AND UIT INVESTMENTS.

**Product Type:** Equity Listed (Common & Preferred Stock)  
Mutual Fund  
Unit Investment Trust

**Alleged Damages:** \$388,000.00

**Arbitration Information**



**Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.):** FINRA

**Docket/Case #:** 09-05694

**Date Notice/Process Served:** 11/05/2009

**Arbitration Pending?** No

**Disposition:** Settled

**Disposition Date:** 02/09/2011

**Monetary Compensation Amount:** \$105,000.00

**Individual Contribution Amount:** \$0.00

**Reporting Source:** Broker

**Employing firm when activities occurred which led to the complaint:** CHASE INVESTMENT SERVICES CORP.

**Allegations:** CLIENT ALLEGES SUITABILITY AND MISREPRESENTATION REGARDING EQUITIES LISTED, MUTUAL FUNDS, AND UIT INVESTMENTS.

**Product Type:** Equity Listed (Common & Preferred Stock)  
Mutual Fund  
Unit Investment Trust

**Alleged Damages:** \$388,000.00

### Arbitration Information

**Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.):** FINRA

**Docket/Case #:** 09-05694

**Date Notice/Process Served:** 11/05/2009

**Arbitration Pending?** No

**Disposition:** Settled

**Disposition Date:** 02/09/2011



<b>Monetary Compensation Amount:</b>	\$105,000.00
<b>Individual Contribution Amount:</b>	\$0.00
<b>Broker Statement</b>	MATTHEW AGIUS DID NOT RECOMMEND, PURCHASE OR SOLICIT ANY INVESTMENTS FOR THIS CLIENT. CLIENT JOINED MR. AGIUS IN HER LAWSUIT AGAINST ORIGINAL SELLING ADVISOR AND FIRM EVEN THOUGH MR. AGIUS HAD NO INVOLVEMENT IN THE RECOMMENDATION, PURCHASE, MANAGEMENT OR MAINTENANCE OF THE SECURITIES IN THE ACCOUNT WHATSOEVER.

### Disclosure 3 of 3

<b>Reporting Source:</b>	Firm
<b>Employing firm when activities occurred which led to the complaint:</b>	CITIGROUP GLOBAL MARKETS INC.
<b>Allegations:</b>	CLIENT ALLEGED UNAUTHORIZED TRADE WITH RESPECT TO ANNUITY INVESTMENT - JUNE 2007. DAMAGES UNSPECIFIED.
<b>Product Type:</b>	Other
<b>Alleged Damages:</b>	\$0.00

### Customer Complaint Information

<b>Date Complaint Received:</b>	02/03/2009
<b>Complaint Pending?</b>	No
<b>Status:</b>	Settled
<b>Status Date:</b>	02/03/2009
<b>Settlement Amount:</b>	\$10,924.20
<b>Individual Contribution Amount:</b>	\$0.00

<b>Reporting Source:</b>	Broker
<b>Employing firm when activities occurred which led to the complaint:</b>	CITIGROUP GLOBAL MARKET INC.



**Allegations:** CLIENT ALLEGED UNAUTHORIZED TRADE WITH RESPECT TO ANNUITY INVESTMENT - JUNE 2007. DAMAGES UNSPECIFIED.

**Product Type:** Other

**Alleged Damages:** \$0.00

**Customer Complaint Information**

**Date Complaint Received:** 02/03/2009

**Complaint Pending?** No

**Status:** Settled

**Status Date:** 02/03/2009

**Settlement Amount:** \$10,924.20

**Individual Contribution Amount:** \$0.00

**Broker Statement** "CLIENT AUTHORIZED ANNUITY INVESTMENT; THIS IS EVIDENCED BY THE CLIENT'S SIGNATURE ON ALL AUTHORIZATION AND DISCLOSURES PERTAINING TO THIS INVESTMENT."

## End of Report



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