

BrokerCheck Report

ERICA LEIGH DUNBAR

CRD# 4816732

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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:
 - 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.

**ERICA L. DUNBAR**

CRD# 4816732

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

IA OSAIC ADVISORY SERVICES, LLC
 2300 WINDY RIDGE PARKWAY
 SUITE 750
 ATLANTA, GA 30339
 CRD# 171070
 Registered with this firm since: 02/21/2025

IA OSAIC WEALTH, INC.
 2300 WINDY RIDGE PKWY
 Suite 750
 Atlanta, GA 30339
 CRD# 23131
 Registered with this firm since: 08/23/2024

B OSAIC WEALTH, INC.
 2300 WINDY RIDGE PKWY
 Suite 750
 Atlanta, GA 30339
 CRD# 23131
 Registered with this firm since: 08/23/2024

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
- 53 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 TRIAD ADVISORS, LLC**
 CRD# 25803
 ATLANTA, GA
 09/2021 - 08/2024
- B TRIAD ADVISORS LLC**
 CRD# 25803
 ATLANTA, GA
 04/2021 - 08/2024
- B SAGEPOINT FINANCIAL, INC.**
 CRD# 133763
 SCOTTSDALE, AZ
 02/2019 - 12/2022

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

Employment 1 of 2

Firm Name: **OSAIC ADVISORY SERVICES, LLC**
Main Office Address: **2300 WINDY RIDGE PARKWAY
SUITE 750
ATLANTA, GA 30339**
Firm CRD#: **171070**

	U.S. State/ Territory	Category	Status	Date
IA	Georgia	Investment Adviser Representative	Approved	02/21/2025
IA	North Carolina	Investment Adviser Representative	Approved	02/24/2025

Branch Office Locations

2300 WINDY RIDGE PARKWAY
SUITE 750
ATLANTA, GA 30339

Employment 2 of 2

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	08/23/2024
B	FINRA	General Securities Representative	Approved	08/23/2024



Broker Qualifications

Employment 2 of 2, continued

SRO	Category	Status	Date
B FINRA	Municipal Securities Representative	Approved	08/23/2024

U.S. State/ Territory	Category	Status	Date
B Alabama	Agent	Approved	08/23/2024
B Alaska	Agent	Approved	08/23/2024
B Arizona	Agent	Approved	08/23/2024
B Arkansas	Agent	Approved	08/23/2024
B California	Agent	Approved	08/23/2024
B Colorado	Agent	Approved	08/23/2024
B Connecticut	Agent	Approved	08/23/2024
B Delaware	Agent	Approved	08/23/2024
B District of Columbia	Agent	Approved	08/23/2024
B Florida	Agent	Approved	08/23/2024
B Georgia	Agent	Approved	08/23/2024
IA Georgia	Investment Adviser Representative	Approved	08/23/2024
B Hawaii	Agent	Approved	08/23/2024
B Idaho	Agent	Approved	08/23/2024
B Illinois	Agent	Approved	08/23/2024
B Indiana	Agent	Approved	08/23/2024
B Iowa	Agent	Approved	08/23/2024
B Kansas	Agent	Approved	08/23/2024
B Kentucky	Agent	Approved	08/23/2024

Broker Qualifications



Employment 2 of 2, continued

	U.S. State/ Territory	Category	Status	Date
B	Louisiana	Agent	Approved	08/23/2024
B	Maine	Agent	Approved	08/23/2024
B	Maryland	Agent	Approved	08/23/2024
B	Massachusetts	Agent	Approved	08/23/2024
B	Michigan	Agent	Approved	08/23/2024
B	Minnesota	Agent	Approved	08/23/2024
B	Mississippi	Agent	Approved	08/23/2024
B	Missouri	Agent	Approved	08/23/2024
B	Montana	Agent	Approved	08/23/2024
B	Nebraska	Agent	Approved	08/23/2024
B	Nevada	Agent	Approved	08/23/2024
B	New Hampshire	Agent	Approved	08/23/2024
B	New Jersey	Agent	Approved	08/23/2024
B	New Mexico	Agent	Approved	08/23/2024
B	New York	Agent	Approved	08/23/2024
B	North Carolina	Agent	Approved	08/23/2024
IA	North Carolina	Investment Adviser Representative	Approved	02/24/2025
B	North Dakota	Agent	Approved	08/23/2024
B	Ohio	Agent	Approved	08/23/2024
B	Oklahoma	Agent	Approved	08/23/2024
B	Oregon	Agent	Approved	08/23/2024

Broker Qualifications



Employment 2 of 2, continued

	U.S. State/ Territory	Category	Status	Date
B	Pennsylvania	Agent	Approved	08/23/2024
B	Puerto Rico	Agent	Approved	08/23/2024
B	Rhode Island	Agent	Approved	08/23/2024
B	South Carolina	Agent	Approved	08/23/2024
B	South Dakota	Agent	Approved	08/23/2024
B	Tennessee	Agent	Approved	08/23/2024
B	Texas	Agent	Approved	08/23/2024
B	Utah	Agent	Approved	08/23/2024
B	Vermont	Agent	Approved	08/23/2024
B	Virgin Islands	Agent	Approved	08/23/2024
B	Virginia	Agent	Approved	08/23/2024
B	Washington	Agent	Approved	08/23/2024
B	West Virginia	Agent	Approved	08/23/2024
B	Wisconsin	Agent	Approved	08/23/2024
B	Wyoming	Agent	Approved	08/23/2024

Branch Office Locations

OSAIC WEALTH, INC.
 2300 WINDY RIDGE PKWY
 Suite 750
 Atlanta, GA 30339



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 General Securities Principal Examination	Series 24	09/14/2004

General Industry/Product Exams

Exam	Category	Date
B Municipal Securities Representative Examination	Series 52TO	01/02/2023
B Securities Industry Essentials Examination	SIE	10/01/2018
B General Securities Representative Examination	Series 7	07/23/2004

State Securities Law Exams

Exam	Category	Date
IA Uniform Investment Adviser Law Examination	Series 65	09/28/2009
B Uniform Securities Agent State Law Examination	Series 63	08/25/2004

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.

Only professional designations listed in Question 8 of the Form U4 will appear in this section if the appropriate box is checked and verified by the issuing organization at the time of the filing. Learn more about eligible designations at [IARD](#) and [NASAA](#).



Registration and Employment History

Registration History

The broker previously was registered with the following firms:

Registration Dates	Firm Name	CRD#	Branch Location
IA 09/2021 - 08/2024	TRIAD ADVISORS, LLC	25803	ATLANTA, GA
B 04/2021 - 08/2024	TRIAD ADVISORS LLC	25803	ATLANTA, GA
B 02/2019 - 12/2022	SAGEPOINT FINANCIAL, INC.	133763	SCOTTSDALE, AZ
B 04/2021 - 11/2022	SECURITIES AMERICA, INC.	10205	LAVISTA, NE
IA 02/2019 - 11/2022	FSC SECURITIES CORPORATION	7461	WESLEY CHAPEL, FL
IA 02/2019 - 11/2022	ROYAL ALLIANCE ASSOCIATES, INC.	23131	WESLEY CHAPEL, FL
IA 02/2019 - 11/2022	WOODBURY FINANCIAL SERVICES, INC.	421	WESLEY CHAPEL, FL
IA 02/2019 - 11/2022	SAGEPOINT FINANCIAL, INC.	133763	WESLEY CHAPEL, FL
B 02/2019 - 11/2022	FSC SECURITIES CORPORATION	7461	ATLANTA, GA
B 02/2019 - 11/2022	ROYAL ALLIANCE ASSOCIATES, INC.	23131	SCOTTSDALE, AZ
B 02/2019 - 11/2022	WOODBURY FINANCIAL SERVICES, INC.	421	OAKDALE, MN
IA 02/2011 - 02/2019	QUESTAR ASSET MANAGEMENT, INC.	133358	WESLEY CHAPEL, FL
B 02/2011 - 02/2019	QUESTAR CAPITAL CORPORATION	43100	WESLEY CHAPEL, FL
IA 10/2009 - 02/2011	BROKERS INTERNATIONAL FINANCIAL SERVICES, LLC	139627	OAK BROOK, IL
B 08/2009 - 02/2011	BROKERS INTERNATIONAL FINANCIAL SERVICES, LLC.	139627	OAK BROOK, IL
B 07/2008 - 09/2009	QUESTAR CAPITAL CORPORATION	43100	MONTICELLO, MN
B 01/2006 - 08/2006	BERTHEL, FISHER & COMPANY FINANCIAL SERVICES, INC.	13609	INDIANAPOLIS, IN
B 07/2004 - 12/2005	ING FINANCIAL PARTNERS, INC.	2882	WINDSOR, CT

Employment History



Registration and Employment History

Employment History, continued

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
02/2025 - Present	Osaic Advisory Services	Home office employee	Y	Atlanta, GA, United States
08/2024 - Present	OSAIC WEALTH, INC.	Mass Transfer	Y	Atlanta, GA, United States
02/2019 - Present	SAGE POINT FINANCIAL	HOME OFFICE EMPLOYEE	Y	PHOENIX, AZ, United States
02/2011 - 02/2019	QUESTAR CAPITAL CORPORATION	REGISTERED REPRESENTATIVE	Y	MINNEAPOLIS, 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. GIRL SCOUTS

POSITION: Co-Leader of Junior Troop 624

NATURE: 501(c)(3)

INVESTMENT RELATED: No

NUMBER OF HOURS: 5

SECURITIES TRADING HOURS: 0

START DATE: 08/01/2025

ADDRESS: 6901 Pinecrest Rd Raleigh NC 27613

DESCRIPTION: Assisting as a co-leader of the Junior troop to work toward badges, socialization, and giving community assistance through various projects throughout the year.

2. SANDHILLS THEATER ARTS & RENAISSANCE SCHOOL PTO BOARD

POSITION: Secretary NATURE: corporation INVESTMENT RELATED: No NUMBER OF HOURS: 2 SECURITIES TRADING HOURS: 1 START DATE: 08/25/2025

ADDRESS: 140 Southern Dunes Drive, Vass NC 28394, United States

DESCRIPTION: As secretary of the PTO, attend and document all PTO meetings, creating detailed minutes that capture all decisions, motions, and action items.

End of Report



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