

## BrokerCheck Report

**ROBERT ANDREW PAONI**

CRD# 4837966

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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).

**ROBERT A. PAONI**

CRD# 4837966

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

**IA SIKICH FINANCIAL**  
 3051 HOLLIS DRIVE  
 3RD FLOOR  
 SPRINGFIELD, IL 62704  
 CRD# 142640  
 Registered with this firm since: 01/08/2010

**B OSAIC WEALTH, INC.**  
 Five River Crossing  
 8555 River Rd #300  
 Indianapolis, IN 46240  
 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
- 18 U.S. states and territories

**This broker has passed:**

- 1 Principal/Supervisory Exam
- 3 General Industry/Product Exams
- 1 State Securities Law Exam

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

- B TRIAD ADVISORS LLC**  
 CRD# 25803  
 SPRINGFIELD, IL  
 10/2009 - 08/2024
- IA SIKICH COZAD ASSET MANAGEMENT LLC**  
 CRD# 107801  
 CHAMPAIGN, IL  
 01/2007 - 09/2009
- IA FSC SECURITIES CORPORATION**  
 CRD# 7461  
 ATLANTA, GA  
 07/2007 - 05/2009

**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 18 U.S. states and territories through his or her employer.**

### Employment 1 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

	U.S. State/ Territory	Category	Status	Date
B	Arizona	Agent	Approved	02/24/2025
B	California	Agent	Approved	08/23/2024
B	Colorado	Agent	Approved	08/23/2024
B	Florida	Agent	Approved	08/23/2024
B	Illinois	Agent	Approved	08/23/2024
B	Indiana	Agent	Approved	08/23/2024
B	Kansas	Agent	Approved	08/23/2024
B	Kentucky	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

## Broker Qualifications



### Employment 1 of 2, continued

	U.S. State/ Territory	Category	Status	Date
B	Missouri	Agent	Approved	08/23/2024
B	Nevada	Agent	Approved	08/23/2024
B	North Carolina	Agent	Approved	08/23/2024
B	Ohio	Agent	Approved	08/23/2024
B	Pennsylvania	Agent	Approved	08/23/2024
B	Texas	Agent	Approved	08/23/2024
B	Wisconsin	Agent	Approved	08/23/2024

### Branch Office Locations

#### OSAIC WEALTH, INC.

Five River Crossing  
8555 River Rd #300  
Indianapolis, IN 46240

#### OSAIC WEALTH, INC.

132 SOUTH WATER STREET  
SUITE # 300  
DECATUR, IL 62523

#### OSAIC WEALTH, INC.

3051 Hollis Drive  
3rd Floor  
SPRINGFIELD, IL 62704

#### OSAIC WEALTH, INC.

1415 W. DIEHL ROAD  
SUITE 400  
NAPERVILLE, IL 60563

#### OSAIC WEALTH, INC.

17335 Golf Parkway  
Suite 500  
BROOKFIELD, WI 53045



Broker Qualifications

Employment 1 of 2, continued

OSAIC WEALTH, INC.  
12655 OLIVE BOULEVARD  
SUITE 200  
ST. LOUIS, MO 63141

Employment 2 of 2

Firm Name: SIKICH FINANCIAL  
Main Office Address: 3051 HOLLIS DRIVE  
3RD FLOOR  
SPRINGFIELD, IL 62704  
Firm CRD#: 142640

	U.S. State/ Territory	Category	Status	Date
IA	Illinois	Investment Adviser Representative	Approved	01/08/2010
IA	Indiana	Investment Adviser Representative	Approved	08/01/2023
IA	Missouri	Investment Adviser Representative	Approved	06/15/2011

Branch Office Locations

3051 HOLLIS DRIVE  
3RD FLOOR  
SPRINGFIELD, IL 62704



## 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 1 state securities law exam.**

### Principal/Supervisory Exams

Exam	Category	Date
<b>B</b> General Securities Principal Examination	Series 24	09/16/2016

### General Industry/Product Exams

Exam	Category	Date
<b>B</b> Securities Industry Essentials Examination	SIE	10/01/2018
<b>B</b> Futures Managed Funds Examination	Series 31	11/02/2004
<b>B</b> General Securities Representative Examination	Series 7	09/03/2004

### State Securities Law Exams

Exam	Category	Date
<b>B IA</b> Uniform Combined State Law Examination	Series 66	09/24/2004

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/](http://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
<b>B</b> 10/2009 - 08/2024	TRIAD ADVISORS LLC	25803	SPRINGFIELD, IL
<b>IA</b> 01/2007 - 09/2009	SIKICH COZAD ASSET MANAGEMENT LLC	107801	SPRINGFIELD, IL
<b>IA</b> 07/2007 - 05/2009	FSC SECURITIES CORPORATION	7461	SPRINGFIELD, IL
<b>B</b> 01/2007 - 05/2009	FSC SECURITIES CORPORATION	7461	SPRINGFIELD, IL
<b>IA</b> 09/2004 - 01/2007	MORGAN STANLEY	7556	SPRINGFIELD, IL
<b>B</b> 09/2004 - 01/2007	MORGAN STANLEY DW INC.	7556	SPRINGFIELD, IL

### 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
08/2024 - Present	OSAIC WEALTH, INC.	Mass Transfer	Y	Indianapolis, IN, United States
05/2024 - Present	Sikich LLC	Principal	N	Springfield, IL, United States
06/2015 - Present	SIKICH FINANCIAL	CEO	Y	SPRINGFIELD, IL, United States
01/2010 - Present	SIKICH FINANCIAL	FINANCIAL ADVISOR	Y	SPRINGFIELD, IL, United States
10/2009 - 08/2024	TRIAD ADVISORS, INC	REGISTERED REPRESENTATIVE	Y	NORCROSS, GA, United States
01/2014 - 05/2024	SIKICH LLP	EQUITY PARTNER OF SIKICH LLP, A PROFESSIONAL SERVICES ACCOUNTING FIRM.	N	SPRINGFIELD, IL, United States



## Registration and Employment History

### 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)SIKICH FINANCIAL LLC; INVESTMENT RELATED; 3201 WEST WHITE OAKS DRIVE, SUITE 102 SPRINGFIELD, IL 62704; RIA; FINANCIAL ADVISOR; JAN 2007; 40 HRS/MONTH; 40 HRS/DAY; COMPENSATION; FINANCIAL PLANNING.
  - 2)VARIOUS INSURANCE; INVESTMENT RELATED; 3201 WEST WHITE OAKS DRIVE, SUITE 102 SPRINGFIELD, IL 62704; INSURANCE; FINANCIAL ADVISOR; JAN 2007; 5 HRS/MONTH; 5 HRS/DAY; COMPENSATION; VARIABLE ANNUITIES, LTC, LIFE INSURANCE.
  - 3)Salvation Army-Advisory Board;1600 East Clearlake;non-profit;advisory board member;7/2016;2 hrs/month;1 hr during trading;help to advise leadership in Springfield
  - 4)Sangamon Valley Estate Planning Council;club;serve on financial advisor/insurance committee;1/2018;1 hr/month;0 hrs during trading;help with club activities,look for outside speakers for one club meeting per year
  - 5)Calvary Church;not investment related;1730 W Jefferson,Springfield,IL 62702;non-profit;stewardship committee;7/1/2017;1 hr/month;0 hrs during trading;review church finances
  - 6) Captain S. Hammer LLC;investment related;2336 Grinnell Dr,Springfield,IL 62704;real estate investment;owner;10/2020;2 hrs/month;0 hrs during trading;own duplex
  - 7) Sikich LLC; Investment related: yes; 3051 Hollis Dr, Suite 301, Springfield, IL 62704; Nature or Structure of Business: Corporation; Position: Principal; Start date: 05/01/2024; hours per month: 2; securities trading hours 0; Duties: Principal of Sikich LLC. Sikich LLC is the parent company of Sikich Financial. Sikich LLC moved from Sikich LLP. Sikich LLP has been previously listed on my U4. As a Principal, I oversee the RIA owned by Sikich LLC.
  - 8) Sikich Insurance Group LLC, Vice President/Treasurer. No compensation, zero hours per month. Just a placeholder officer for this LLC until it is wound down. Sikich Insurance Group LLC is wholly owned by Sikich LLP.
  - 9)Sikich Insurance Group LLC; Investment related: yes; 1415 W. Diehl Rd., Ste 400, Naperville, IL 60563; Nature or Structure of Business: LLC which is an insurance agency to sell non-variable products; Position: Vice President and Treasurer; Start date: 12/15/2023; hours per month: 0; securities trading hours 0; Duties: Just acting as a placeholder officer until this entity is wound down in the next few years
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## End of Report



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