BrokerCheck Report

JASON RYAN OESTREICHER

CRD# 5077320

Section Title	Page(s)

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

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.

JASON R. OESTREICHER

CRD# 5077320

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

IA **OSAIC WEALTH, INC.**
5310 NW 33 AVE.
SUITE 206
FORT LAUDERDALE, FL 33309
CRD# 23131
Registered with this firm since: 11/12/2024

B **OSAIC WEALTH, INC.**
5310 NW 33 AVE.
SUITE 206
FORT LAUDERDALE, FL 33309
CRD# 23131
Registered with this firm since: 11/08/2024

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
- 5 U.S. states and territories

This broker has passed:

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

Registration History

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

IA **VALIC FINANCIAL ADVISORS, INC.**
CRD# 42803
HOUSTON, TX
12/2009 - 11/2024

B **VALIC FINANCIAL ADVISORS, INC.**
CRD# 42803
BOCA RATON, FL
09/2009 - 11/2024

IA **MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED**
CRD# 7691
NEW YORK, NY
09/2007 - 04/2009

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? **Yes**

The following types of disclosures have been reported:

Type	Count
Criminal	1
Customer Dispute	1

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 5 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	11/08/2024

	U.S. State/ Territory	Category	Status	Date
B	Colorado	Agent	Approved	11/08/2024
B	Florida	Agent	Approved	11/08/2024
IA	Florida	Investment Adviser Representative	Approved	11/12/2024
B	Georgia	Agent	Approved	11/08/2024
B	Michigan	Agent	Approved	11/12/2024
B	New York	Agent	Approved	11/08/2024

Branch Office Locations

OSAIC WEALTH, INC.
5310 NW 33 AVE.
SUITE 206
FORT LAUDERDALE, FL 33309

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, 2 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	12/19/2006

State Securities Law Exams

	Exam	Category	Date
B IA	Uniform Combined State Law Examination	Series 66	09/10/2007

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	12/2009 - 11/2024	VALIC FINANCIAL ADVISORS, INC.	42803	BOCA RATON, FL
B	09/2009 - 11/2024	VALIC FINANCIAL ADVISORS, INC.	42803	BOCA RATON, FL
IA	09/2007 - 04/2009	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	7691	JACKSONVILLE, FL
B	08/2007 - 04/2009	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	7691	JACKSONVILLE, FL
B	12/2006 - 05/2007	AMERIPRISE FINANCIAL SERVICES, INC.	6363	PLANTATION, FL

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
11/2024 - Present	OSAIC	REGISTERED REPRESENTATIVE	Y	FORT LAUDERDALE, FL, United States
12/2022 - Present	AGIA	Agent	N	Houston, TX, United States
09/2009 - 11/2024	VALIC FINANCIAL ADVISORS	REGISTERED REP	Y	PALM BEACH, FL, 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. AGIA
POSITION: Agent NATURE: null INVESTMENT RELATED: No NUMBER OF HOURS: 10 SECURITIES TRADING HOURS: 1 START DATE: 12/16/2022
ADDRESS: 2929 Allen Parkway, Houston TX 77019, United States
DESCRIPTION: Non-Securities Insurance Products

Registration and Employment History

Other Business Activities, continued

2. NOTARY
POSITION: Notary NATURE: Notary. No compensation earned for this OBA INVESTMENT RELATED: No NUMBER OF HOURS: 1 SECURITIES TRADING HOURS: 1 START DATE: 09/09/2022
ADDRESS: 1541 NW 182nd Terrace, Pembroke Pines FL 33029, United States
DESCRIPTION: Notary. No compensation earned for this OBA

3. CREATIVE FINANCIAL NETWORK
POSITION: Agent NATURE: Fixed Insurance INVESTMENT RELATED: Yes NUMBER OF HOURS: 10 SECURITIES TRADING HOURS: 10 START DATE: 11/06/2024
ADDRESS: 5310 NW 33rd Ave, Fort Lauderdale FL 33309, United States
DESCRIPTION: Sell and service fixed insurance products

4. PATH FINANCIAL PARTNERS LLC
POSITION: Owner NATURE: LLC INVESTMENT RELATED: No NUMBER OF HOURS: 1 SECURITIES TRADING HOURS: 1 START DATE: 10/30/2024
ADDRESS: 1541 NW 182nd Ter, Pembroke Pines FL 33029, United States
DESCRIPTION: Keeping the books for tax purposes

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.
   -
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
Criminal	0	1	0
Customer Dispute	0	1	N/A

Disclosure Event Details

When evaluating this information, please keep in mind that a discloure 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.

Criminal - Final Disposition

This type of disclosure event involves a criminal charge against the broker that has resulted in a conviction, acquittal, dismissal, or plea. The criminal matter may pertain to any felony or certain misdemeanor offenses, including bribery, perjury, forgery, counterfeiting, extortion, fraud, and wrongful taking of property.

Disclosure 1 of 1

Reporting Source:	Broker
If charge(s) were brought against an organization over which broker exercised control:	
Organization Name:	
Investment Related Business:	No
Broker's Position:	
Formal Charges were brought in:	State Court
Name of Court:	IN THE CIRCUIT COURT OF THE SEVENTEENTH JUDICIAL CIRCUIT IN AND FOR BROWARD COUNTY FL
Location of Court:	BROWARD COUNTY, FLORIDA
Docket/Case #:	CASE # 98-4616 DL
Charge Date:	04/04/1998
Charge(s) 1 of 1	
Formal Charge(s)/Description:	ONE COUNT - FELONY BURGLARY STRUCTURE REDUCED TO MISDEMEANOR TRESPASS - PLEAD NO CONTEST ONE COUNT - FELONY THEFT - NO PLEA

No of Counts:	2
Felony or Misdemeanor:	Felony
Plea for each charge:	ONE COUNT - FELONY BURGLARY STRUCTURE REDUCED TO MISDEMEANOR TRESPASS - PLEAD NO CONTEST ONE COUNT - FELONY THEFT - NO PLEA
Disposition of charge:	Dismissed
Current Status:	Final
Status Date:	10/14/1999
Disposition Date:	10/14/1999
Sentence/Penalty:	GRAND THEFT WAS NOLLE PROSEQUI ON 5/4/99. TRESPASS WAS DISMISSED ON 10/14/99. HAD TO COMPLETE 75 HOURS COMMUNITY SERVICE 5/4/99
Broker Statement	AS A THIRTEEN(13) YEAR OLD JUVENILE, I WAS FOOLING AROUND WITH MUCH OLDER FRIENDS AND RECEIVED THREE MISDEMEANOR CHARGES. I WAS CHARGED WITH TRESPASSING ON SCHOOL PROPERTY. AT THE SAME TIME, MY OLDER FRIENDS AND I SET OFF A FIRE EXTINGUISHER IN THE SCHOOL FIELD AFTER SCHOOL HOURS. WHEN THE POLICE ARRIVED, I WAS SCARED AND AT FIRST RAN, BUT IMMEDIATELY RETURNED TO THE SCENE. ALTHOUGH I RETURNED THE POLICE CHARGED ME WITH RESISTING ARREST; HOWEVER, NEVER RESISTED THEM AT ALL. COMING BACK TO THE SCENE DID NOT MATTER AT THIS POINT. I WAS CHARGED WITH GRAND THEFT SIMPLY BECAUSE THE FIRE EXTINGUISHER WAS A LIFE SAVING DEVICE. THE FELONY CHARGE WAS LATER REDUCED TO A MISDEMEANOR AND WAS THAN DROPPED FROM MY RECORD. THE END RESULT WAS A ONLY A TRESPASSING CHARGE. I WAS A YOUNG JUVENILE THAT DID NOT KNOW ANY BETTER AND WAS STUPIDLY HANGING AROUND INFLUENTIAL OLDER FRIENDS.

Customer Dispute - Award / Judgment

This type of disclosure event involves a final, consumer-initiated, investment-related arbitration or civil suit containing allegations of sales practice violations against the broker that resulted in an arbitration award or civil judgment for the customer.

Disclosure 1 of 1

Reporting Source:	Regulator
Employing firm when activities occurred which led to the complaint:	VALIC Financial Advisors, Inc.
Allegations:	misrepresentation/non-disclosures; omission of facts; and suitability
Product Type:	Annuity-Variable
Alleged Damages:	$8,000.00

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.:	finra - CASE #16-01609
Date Notice/Process Served:	06/03/2016
Arbitration Pending?	No
Disposition:	Award
Disposition Date:	12/06/2016
Disposition Detail:	Respondent is jointly and severally liable for and shall pay to the Claimant $6,000.00 in compensatory damages.

Reporting Source:	Broker
Employing firm when activities occurred which led to the complaint:	VALIC Financial Advisors, Inc.
Allegations:	[Customer] alleges Jason Ryan Oestreicher signed her up for investments she did not want and subjected her to a 15 year surrender period. [Customer] alleges that Oestreicher did not explain the products to her, including surrender periods and fees, and that she did not realize there were surrender fees involved. She also complains that her investments were not profitable enough and stated she was not satisfied with the investment advisory program. [Customer] wants to be able to withdraw her funds without the surrender fees required by her plan. [Customer's] annuity application was received in the Home Office on 12/20/2013.

Product Type:	Annuity-Variable
Alleged Damages:	$8,000.00

Arbitration Information

Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.):	FINRA
Docket/Case #:	16-01609
Date Notice/Process Served:	06/23/2016
Arbitration Pending?	No
Disposition:	Award to Customer
Disposition Date:	12/06/2016
Monetary Compensation Amount:	$6,000.00
Individual Contribution Amount:	$0.00
Broker Statement	The client made an accusation of an alleged misrepresentation/nondisclosure, omission of facts, and suitability. All disclosures, terms of the contract including surrender charges, fees, and suitability were disclosed to and were signed by the client on 12/20/2013 and 12/27/2013 respectively. In fact, the applications and disclosures were delivered to my company for compliance approval at which point the contracts were issued and delivered to the client. Over a year after issuance of the contracts on 06/11/2015, the client sent in a complaint to my company. THE FIRM FOUND NO BASIS TO THE CUSTOMER COMPLAINT. The client then filed a complaint with FINRA. Upon request from FINRA I supplied all documentation signed by the client for their investigation. NO FAULT WAS FOUND ON MY BEHALF. The client then proceeded to file with arbitration. Upon review by the arbitrator the decision was made awarding the client partial consideration.

End of Report

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