

BrokerCheck Report

JASON RICHARD HILL

CRD# 5476417

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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.

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

JASON R. HILL

CRD# 5476417

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

IA OSAIC WEALTH, INC.
 2799 NW 2ND AVE
 SUITE 105
 BOCA RATON, FL 33431
 CRD# 23131
 Registered with this firm since: 11/02/2018

B OSAIC WEALTH, INC.
 2799 NW 2ND AVE
 SUITE 105
 BOCA RATON, FL 33431
 CRD# 23131
 Registered with this firm since: 11/02/2018

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
- 2 State Securities Law Exams

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

- IA SIGNATOR INVESTORS, INC.**
 CRD# 468
 BOSTON, MA
 03/2016 - 11/2018
- B SIGNATOR INVESTORS, INC.**
 CRD# 468
 BOCA RATON, FL
 02/2008 - 11/2018

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
Regulatory Event	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 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	Invest. Co and Variable Contracts	Approved	11/02/2018

U.S. State/ Territory	Category	Status	Date
B California	Agent	Approved	01/20/2021
B Connecticut	Agent	Approved	11/02/2018
B Florida	Agent	Approved	11/02/2018
IA Florida	Investment Adviser Representative	Approved	11/02/2018
B New Jersey	Agent	Approved	11/02/2018
IA New Jersey	Investment Adviser Representative	Approved	11/02/2018
B New York	Agent	Approved	11/02/2018

Branch Office Locations

OSAIC WEALTH, INC.
 2799 NW 2ND AVE
 SUITE 105
 BOCA RATON, FL 33431



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 2 state securities law exams.

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 Investment Company Products/Variable Contracts Representative Examination	Series 6	02/12/2008

State Securities Law Exams

Exam	Category	Date
IA Uniform Investment Adviser Law Examination	Series 65	02/24/2016
B Uniform Securities Agent State Law Examination	Series 63	02/20/2008

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.



Registration and Employment History

Registration History

The broker previously was registered with the following firms:

Registration Dates	Firm Name	CRD#	Branch Location
IA 03/2016 - 11/2018	SIGNATOR INVESTORS, INC.	468	BOCA RATON, FL
B 02/2008 - 11/2018	SIGNATOR INVESTORS, INC.	468	BOCA RATON, 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
11/2018 - Present	ROYAL ALLIANCE ASSOCIATES, INC.	Registered Rep.	Y	BOCA RATON, FL, United States
01/2008 - 11/2018	SIGNATOR INVESTORS INC	REGISTERED REPRESENTATIVE	Y	LIVINGSTON, NJ, United States
02/2007 - 11/2018	JOHN HANCOCK LIFE INSURANCE	SALES REP.	Y	NEW YORK, NY, 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)CLIENT FOCUSED ADVISORS

POSITION: President NATURE: Sole Member LLC INVESTMENT RELATED: Yes NUMBER OF HOURS: 120 SECURITIES TRADING HOURS: 120 START DATE: 04/29/2013

ADDRESS: 2799 NW 2nd Ave, Suite 105, Boca Raton FL 33431, United States

DESCRIPTION: Client Focused Advisors is the DBA under the way I market my investment and security business

4)INSURANCE BROKER

POSITION: Insurance Agent NATURE: Insurance Agent

INVESTMENT RELATED: Yes NUMBER OF HOURS: 10 SECURITIES TRADING HOURS: 10 START DATE: 11/01/2015

ADDRESS: 2799 NW 2nd Ave, Suite 105, Boca Raton FL 33431, United States

DESCRIPTION: Insurance broker for Life insurance, Fixed Annuities, LTC, DI, Health Care and Group Benefits



Registration and Employment History

Other Business Activities, continued

5)OWWLL

POSITION: Founder/CEO NATURE: LLC INVESTMENT RELATED: No NUMBER OF HOURS: 10 SECURITIES TRADING HOURS: 0 START DATE: 12/04/2020

ADDRESS: 2799 NW 2nd Avenue, Suite 105, Boca Raton FL 33431, United States

DESCRIPTION: App Development Project

6)PODCAST - THE SHRIMP TANK

POSITION: Show Host NATURE: 2799 W & K LLC INVESTMENT RELATED: No NUMBER OF HOURS: 8 SECURITIES TRADING HOURS: 8 START DATE: 01/02/2018

ADDRESS: 2799 NW 2nd ave, Suite 105, Boca Raton FL 33431, United States

DESCRIPTION: Hosting a podcast & asking questions to the entrepreneurs about how they became successful

7)2799 W & K LLC

POSITION: Managing Member NATURE: 2799 W & K LLC INVESTMENT RELATED: No NUMBER OF HOURS: 0 SECURITIES TRADING HOURS: 0 START DATE: 05/12/2021

ADDRESS: 2799 NW 2nd Ave, Suite 105, Boca Raton FL 33431, United States

DESCRIPTION: 2799 W & K LLC owns The Shrimp Tank podcast in Boca Raton

8)OWWLL

POSITION: CEO NATURE: LLC INVESTMENT RELATED: No NUMBER OF HOURS: 40 SECURITIES TRADING HOURS: 4 START DATE: 05/18/2022

ADDRESS: 2799 NW 2nd Ave, Suite 105, Boca Raton FL 33431, United States

DESCRIPTION: Refer to letter



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.
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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
Regulatory Event	0	2	0



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.

Regulatory - Final

This type of disclosure event may involve (1) a final, formal proceeding initiated by a regulatory authority (e.g., a state securities agency, self-regulatory organization, federal regulatory such as the Securities and Exchange Commission, foreign financial regulatory body) for a violation of investment-related rules or regulations; or (2) a revocation or suspension of a broker's authority to act as an attorney, accountant, or federal contractor.

Disclosure 1 of 2

Reporting Source:	Broker
Regulatory Action Initiated By:	New York State Department of Financial Services
Sanction(s) Sought:	Civil and Administrative Penalty(ies)/Fine(s)
Date Initiated:	03/08/2024
Docket/Case Number:	2023-0006-C
Employing firm when activity occurred which led to the regulatory action:	Royal Alliance Associates n/k/a Osaic Wealth, Inc.
Product Type:	No Product
Allegations:	The FP agreed to a stipulation with the New York State Department of Financial Services that his reporting of an earlier action by the Florida Office of Financial Regulation was not done promptly; that he had conducted business under a name that was not previously approved by the Department; and that he had not complied fully with a regulation requiring disclosure of names and addresses of insurance companies mentioned on his website.
Current Status:	Final
Resolution:	Stipulation and Consent



Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct?	No
Resolution Date:	03/08/2024
Sanctions Ordered:	Civil and Administrative Penalty(ies)/Fine(s)
Monetary Sanction 1 of 1	
Monetary Related Sanction:	Civil and Administrative Penalty(ies)/Fine(s)
Total Amount:	\$3,500.00
Portion Levied against individual:	\$3,500.00
Payment Plan:	n/a
Is Payment Plan Current:	
Date Paid by individual:	03/07/2024
Was any portion of penalty waived?	No
Amount Waived:	

Disclosure 2 of 2

Reporting Source:	Regulator
Regulatory Action Initiated By:	Florida Office of Financial Regulation
Sanction(s) Sought:	Cease and Desist Civil and Administrative Penalty(ies)/Fine(s)
Date Initiated:	07/30/2018
Docket/Case Number:	90227-SR
URL for Regulatory Action:	
Employing firm when activity occurred which led to the regulatory action:	Signator Investors, Inc



Product Type:	No Product
Allegations:	Conducted investment advisory business from offices within this state without the benefit of lawful registration.
Current Status:	Final
Resolution:	Order
Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct?	No
Resolution Date:	07/30/2018
Sanctions Ordered:	Cease and Desist Civil and Administrative Penalty(ies)/Fine(s)
Monetary Sanction 1 of 1	
Monetary Related Sanction:	Civil and Administrative Penalty(ies)/Fine(s)
Total Amount:	\$5,000.00
Portion Levied against individual:	\$5,000.00
Payment Plan:	
Is Payment Plan Current:	
Date Paid by individual:	07/30/2018
Was any portion of penalty waived?	No
Amount Waived:	
Regulator Statement	On 7/30/2018, the Office of Financial Regulation entered a Final Order adopting the Stipulation and Consent Agreement in the matter of Jason R. Hill. Mr. Hill accepts, consents and agrees, prior to a hearing and without an adjudication of any issue of law or fact, to the findings of the Office. The Office found that Jason R. Hill engaged in investment advisory business from offices within this state without the benefit of lawful registration in the state of Florida pursuant to section 517.12(4), F. S. Jason R. Hill agreed to cease and desist from all present and future violations of Chapter 517, F. S. and the administrative rules thereunder; and to pay an administrative fine in the amount of \$ 5,000. The Office agreed to approve Jason R. Hill's application as an associated person (RA) with Signator



Investors, Inc. effective 7/30/2018.

Reporting Source: Broker

Regulatory Action Initiated By: STATE OF FLORIDA OFFICE OF FINANCIAL REGULATION

Sanction(s) Sought: Cease and Desist
Civil and Administrative Penalty(ies)/Fine(s)

Date Initiated: 07/30/2018

Docket/Case Number: 90227-SR

Employing firm when activity occurred which led to the regulatory action: SIGNATOR INVESTORS INC

Product Type: No Product

Allegations: Conducting investment advisory business activities from Florida without registration.

Current Status: Final

Resolution: Order

Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct? No

Resolution Date: 07/30/2018

Sanctions Ordered: Cease and Desist
Civil and Administrative Penalty(ies)/Fine(s)

Monetary Sanction 1 of 1

Monetary Related Sanction: Civil and Administrative Penalty(ies)/Fine(s)

Total Amount: \$5,000.00

Portion Levied against individual: \$5,000.00

Payment Plan: N/A



Is Payment Plan Current: Yes

Date Paid by individual: 07/30/2018

Was any portion of penalty waived? No

Amount Waived:

Broker Statement

On July 30, 2018, Mr. Hill entered into a Stipulation and Consent Agreement with the State of Florida Office of Financial Regulation agreeing to the finding that he engaged in investment advisory activities from Florida without registration. After relocating to Florida, Mr. Hill provided investment advisory services to his legacy clients under the reasonable belief that he was appropriately registered. Due to Signator Investors's administrative oversight, he was not properly registered as an investment advisor representative ("IAR") in Florida, although he was properly registered as an associated person of a broker dealer. Upon discovery that IAR registration in Florida was necessary, immediate steps were taken to resolve the matter and Signator Investors paid the associated fine on Mr. Hill's behalf.

End of Report



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