

BrokerCheck Report

JASON R RASMUSSEN

CRD# 6074487

<u>Section Title</u>	<u>Page(s)</u>
Report Summary	1
Broker Qualifications	2 - 3
Registration and Employment History	5 - 7
Disclosure Events	8



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. RASMUSSEN**

CRD# 6074487

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

IA OSAIC WEALTH, INC.
 113 S MAIN ST
 SUITE 301
 LODI, WI 53555
 CRD# 23131
 Registered with this firm since: 06/14/2024

B OSAIC WEALTH, INC.
 113 S MAIN ST
 SUITE 301
 LODI, WI 53555
 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
- 2 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 SECURITIES AMERICA ADVISORS, INC.**
 CRD# 110518
 LA VISTA, NE
 09/2020 - 06/2024
- B SECURITIES AMERICA, INC.**
 CRD# 10205
 LA CROSSE, WI
 09/2020 - 06/2024
- IA SSN ADVISORY, INC.**
 CRD# 126090
 KNOXVILLE, TN
 07/2017 - 09/2020

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	6



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 2 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	06/14/2024

U.S. State/ Territory	Category	Status	Date
B Arizona	Agent	Approved	06/14/2024
B Wisconsin	Agent	Approved	06/14/2024
IA Wisconsin	Investment Adviser Representative	Approved	06/14/2024

Branch Office Locations

OSAIC WEALTH, INC.
113 S MAIN ST
SUITE 301
LODI, WI 53555



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	07/10/2012

State Securities Law Exams

Exam	Category	Date
IA Uniform Investment Adviser Law Examination	Series 65	10/01/2013
B Uniform Securities Agent State Law Examination	Series 63	09/10/2012

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 09/2020 - 06/2024	SECURITIES AMERICA ADVISORS, INC.	110518	LA CROSSE, WI
B 09/2020 - 06/2024	SECURITIES AMERICA, INC.	10205	LA CROSSE, WI
IA 07/2017 - 09/2020	SSN ADVISORY, INC.	126090	Brookfield, WI
B 06/2017 - 09/2020	SECURITIES SERVICE NETWORK, LLC	13318	BROOKFIELD, WI
IA 06/2017 - 07/2017	SSN ADVISORY, INC.	126090	Brookfield, WI
IA 10/2013 - 06/2017	TRANSAMERICA FINANCIAL ADVISORS, INC.	16164	MADISON, WI
B 07/2012 - 06/2017	TRANSAMERICA FINANCIAL ADVISORS, INC	16164	MADISON, WI

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	LA CROSSE, WI, United States
06/2024 - Present	OSAIC WEALTH, INC.	Mass Transfer	Y	LA CROSSE, WI, United States
06/2017 - Present	Z ENT LTD DBA CHOICE ADVISORS	FIXED INSURANCE SALES	N	BROOKFIELD, WI, United States
06/2017 - Present	Z ENT LTD DBA FOCUSED TAX SOLUTIONS	TAX PREPERATION	N	BROOKFIELD, WI, United States
06/2012 - Present	KIDDIE KORNER INFLATABLE LLC	OWNER/CEO	N	LODI, WI, United States
01/2005 - Present	RASMUSSEN MORTGAGE INC.	MORTGAGE BROKER	N	LODI, WI, United States
05/2001 - Present	KIDDIE KORNER OF LODI	PRESIDENT / ACCOUNTING	N	LODI, WI, United States



Registration and Employment History

Employment History, continued

Employment	Employer Name	Position	Investment Related	Employer Location
04/2001 - Present	JRR PROPERTIES LLC	OWNER	N	LODI, WI, United States
09/2020 - 06/2024	SECURITIES AMERICA ADVISORS, INC.	IAR	Y	La Crosse, WI, United States
09/2020 - 06/2024	SECURITIES AMERICA, INC.	Registered Rep	Y	La Crosse, WI, United States
06/2017 - 09/2020	SSN Advisory Inc	Investment Advisor	N	Knoxville, RI, United States
06/2017 - 09/2020	Securities Service Network	Registered Representative	Y	Knoxville, TN, United States
06/2012 - 06/2017	TRANSAMERICA FINANCIAL ADVISORS, INC	REGISTERED REP	Y	MADISON, WI, United States
07/2011 - 06/2017	WORLD FINANCIAL GROUP, INC.	ASSOCIATE	N	MADISON, WI, 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) KIDDIE KORNER INFLATABLES, LLC

POSITION: Owner operator NATURE: Bounce house rentals INVESTMENT RELATED: No NUMBER OF HOURS: 2 SECURITIES TRADING HOURS: 0 START DATE: 06/30/2015 ADDRESS: W11241 County Road V, Lodi WI 53555 DESCRIPTION: Deliver, set up and take down bounce house rentals.

2) KIDDIE KORNER OF LODI, INC.

POSITION: co-owner NATURE: Childcare Center INVESTMENT RELATED: No NUMBER OF HOURS: 2 SECURITIES TRADING HOURS: 0 START DATE: 05/01/2001 ADDRESS: 311 SEMINARY ST, LODI WI 53555 DESCRIPTION: Silent owner. My wife runs the business.

3) JRR PROPERTIES LLC.

POSITION: Owner NATURE: Rental income property INVESTMENT RELATED: No NUMBER OF HOURS: 2 SECURITIES TRADING HOURS: 0 START DATE: 05/01/2001 ADDRESS: W11241 County Road V, Lodi WI 53555 DESCRIPTION: Rental properties.

4) FUTURITY FIRST INSURANCE GROUP

POSITION: Insurance/Annuity sales NATURE: I switched broker my insurance and annuity sales to Futurity First. INVESTMENT RELATED: Yes NUMBER OF HOURS: 120 SECURITIES TRADING HOURS: 120 START DATE: 03/17/2022 ADDRESS: 3167 Berlin Drive, LA CROSSE WI 54603 DESCRIPTION: Some of the annuities and insurance products do have indexed, fixed and variable characteristics.

5) RASMUSSEN MORTGAGE INC.

POSITION: Owner/Loan consultant NATURE: S-Corp. Mortgage brokerage INVESTMENT RELATED: No NUMBER OF HOURS: 70 SECURITIES TRADING HOURS: 70 START DATE: 05/01/2005 ADDRESS: 113 S MAIN ST, STE 301, LODI WI 53555-1163, United States

Registration and Employment History



Other Business Activities, continued

DESCRIPTION: Broker mortgages.

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
Regulatory Event	0	6	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 6

Reporting Source:	Broker
Regulatory Action Initiated By:	Wisconsin DFI
Sanction(s) Sought:	Reprimand
Date Initiated:	01/21/2011
Docket/Case Number:	N/A
Employing firm when activity occurred which led to the regulatory action:	Rasmussen Mortgage Inc.
Product Type:	Other: mortgage broker
Allegations:	I was reprimanded for not properly disclosing my previous reprimands for improper disclosure.
Current Status:	Final
Action Appealed To:	State Agency or Commission
Date Appeal filed:	
Appeal Limitation Details:	
Resolution:	Acceptance, Waiver & Consent(AWC)



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:	01/21/2011
Sanctions Ordered:	Other: Fined
Broker Statement	I accidentally omitted previous reprimands on my mortgage broker application.

Disclosure 2 of 6

Reporting Source:	Broker
Regulatory Action Initiated By:	WISCONSIN DEPARTMENT OF FINANCIAL INSTITUTIONS
Sanction(s) Sought:	Reprimand
Date Initiated:	05/24/2010
Docket/Case Number:	N/A
Employing firm when activity occurred which led to the regulatory action:	RASMUSSEN MORTGAGE INC.
Product Type:	Other: MORTGAGE BROKER
Allegations:	REPRIMAND FOR NOT PROPERLY DISCLOSING PREVIOUS REPRIMANDS
Current Status:	Final
Action Appealed To:	State Agency or Commission
Date Appeal filed:	
Appeal Limitation Details:	
Resolution:	Settled
Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct?	Yes



Resolution Date: 05/24/2010

Sanctions Ordered: Letter of Reprimand
Other: Fined

Broker Statement I DID NOT DISCLOSE MY PREVIOUS REPRIMANDS CORRECTLY. I NOW HAVE ALL OF THE REPRIMANDS CORRECTED WITH THE DFI.

Disclosure 3 of 6

Reporting Source: Broker

Regulatory Action Initiated By: WISCONSIN DEPARTMENT OF FINANCIAL INSTITUTIONS

Sanction(s) Sought: Reprimand

Date Initiated: 12/04/2009

Docket/Case Number: N/A

Employing firm when activity occurred which led to the regulatory action: RASMUSSEN MORTGAGE INC.

Product Type: Other: MORTGAGE BROKER

Allegations: REPRIMAND FOR NOT PROPERLY DISCLOSING PREVIOUS REPRIMANDS.

Current Status: Final

Resolution: Settled

Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct? Yes

Resolution Date: 12/04/2009

Sanctions Ordered: Letter of Reprimand

Broker Statement I NOW HAVE ALL OF THESE REPRIMANDS CORRECTLY DISCLOSED TO THE DFI.

Disclosure 4 of 6

Reporting Source: Broker



Regulatory Action Initiated By:	WISCONSIN DEPARTMENT OF FINANCIAL INSTITUTIONS
Sanction(s) Sought:	Reprimand
Date Initiated:	08/30/2016
Docket/Case Number:	N/A
Employing firm when activity occurred which led to the regulatory action:	Rasmussen Mortgage Inc.
Product Type:	Other: MORTGAGE BROKER
Allegations:	WISCONSIN DFI PUT AN ORDER AGAINST RASMUSSEN MORTGAGE INC. FOR NOT HAVING THE REQUIRED \$100,000 NET WORTH AT YEAR END.
Current Status:	Final
Action Appealed To:	State Agency or Commission
Date Appeal filed:	
Appeal Limitation Details:	
Resolution:	Order
Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct?	Yes
Resolution Date:	08/30/2016
Sanctions Ordered:	Other: fined
Broker Statement	THE CPA THAT DID MY AUDITED FINANCIALS HAD ACCIDENTALLY DEPRECIATED AN ASSET THAT WAS PUT INTO THE COMPANY FOR ASSET PURPOSES ONLY. THE CORRECTION WAS MADE AND THE COMPANY HAD THE REQUIRED NET WORTH.

Disclosure 5 of 6

Reporting Source:	Broker
Regulatory Action Initiated By:	WISCONSIN DEPARTMENT OF FINANCIAL INSTITUTIONS



Sanction(s) Sought:	Reprimand
Date Initiated:	01/14/2008
Docket/Case Number:	N/A
Employing firm when activity occurred which led to the regulatory action:	Rasmussen Mortgage Inc.
Product Type:	Other: MORTGAGE BROKER
Allegations:	Reprimand for in improper, fraudulent or dishonest dealing in the Huebner transaction.
Current Status:	Final
Resolution:	Reprimand
Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct?	Yes
Resolution Date:	01/14/2008
Sanctions Ordered:	Other: Fined
Broker Statement	One of my loan originators had communications with personnel from Farmers and Merchants Union Bank. The loan originator requested a verification of deposit from them without the 60 day average balance on the statement. The loan originator is no longer working for my company.

Disclosure 6 of 6

Reporting Source:	Broker
Regulatory Action Initiated By:	WISCONSIN DEPARTMENT OF FINANCIAL INSTITUTIONS
Sanction(s) Sought:	Monetary Penalty other than Fines Reprimand
Date Initiated:	11/29/2005
Docket/Case Number:	N/A



Employing firm when activity occurred which led to the regulatory action:	JC MORTGAGE CO
Product Type:	No Product
Allegations:	CLOSED 25 LOANS AFTER LOAN ORIGINATOR LICENSE EXPIRED ON FEBRUARY 1, 2005.
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:	12/08/2005
Sanctions Ordered:	Letter of Reprimand Monetary Penalty other than Fines
Monetary Sanction 1 of 1	
Monetary Related Sanction:	Monetary Penalty other than Fines
Total Amount:	\$2,500.00
Portion Levied against individual:	\$2,500.00
Payment Plan:	
Is Payment Plan Current:	Yes
Date Paid by individual:	04/01/2006
Was any portion of penalty waived?	No
Amount Waived:	
Broker Statement	DOCKET / CASE NUMBER UNKNOWN

End of Report



This page is intentionally left blank.