

BrokerCheck Report

BRADLEY WAYNE ROTHHAMMER

CRD# 713099

<u>Section Title</u>	<u>Page(s)</u>
Report Summary	1
Broker Qualifications	2 - 4
Registration and Employment History	6 - 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.

**BRADLEY W. ROTHHAMMER**

CRD# 713099

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

IA OSAIC WEALTH, INC.
 5347 S VALENTIA WAY STE 130
 GREENWOOD VILLAGE, CO 80111
 CRD# 23131
 Registered with this firm since: 01/19/2024

B OSAIC WEALTH, INC.
 5347 S VALENTIA WAY STE 130
 GREENWOOD VILLAGE, CO 80111
 CRD# 23131
 Registered with this firm since: 01/19/2024

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
- 15 U.S. states and territories

This broker has passed:

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

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

- IA WOODBURY FINANCIAL SERVICES, INC.**
 CRD# 421
 OAKDALE, MN
 02/2008 - 01/2024
- B WOODBURY FINANCIAL SERVICES, INC.**
 CRD# 421
 GREENWOOD VILLAGE, CO
 02/2002 - 01/2024
- B WASHINGTON SQUARE SECURITIES, INC.**
 CRD# 2882
 WINDSOR, CT
 12/2000 - 02/2002

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



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 15 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	01/19/2024

U.S. State/ Territory	Category	Status	Date
B Arizona	Agent	Approved	01/19/2024
B California	Agent	Approved	01/19/2024
B Colorado	Agent	Approved	01/19/2024
IA Colorado	Investment Adviser Representative	Approved	01/19/2024
B Connecticut	Agent	Approved	01/19/2024
B Florida	Agent	Approved	01/19/2024
B Kansas	Agent	Approved	01/19/2024
B Michigan	Agent	Approved	01/19/2024
B Montana	Agent	Approved	01/19/2024
B Nevada	Agent	Approved	01/19/2024
B New Jersey	Agent	Approved	01/19/2024
B New York	Agent	Approved	01/19/2024

Broker Qualifications



Employment 1 of 1, continued

	U.S. State/ Territory	Category	Status	Date
B	North Dakota	Agent	Approved	01/19/2024
B	Oregon	Agent	Approved	01/19/2024
B	Texas	Agent	Approved	01/19/2024
B	Washington	Agent	Approved	01/19/2024

Branch Office Locations

OSAIC WEALTH, INC.
5347 S VALENTIA WAY STE 130
GREENWOOD VILLAGE, CO 80111



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, 3 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	03/08/1996
B Registered Representative Examination	Series 1	06/27/1980

State Securities Law Exams

Exam	Category	Date
IA Uniform Investment Adviser Law Examination	Series 65	02/09/2008
B Uniform Securities Agent State Law Examination	Series 63	04/10/2006

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 02/2008 - 01/2024	WOODBURY FINANCIAL SERVICES, INC.	421	GREENWOOD VILLAGE, CO
B 02/2002 - 01/2024	WOODBURY FINANCIAL SERVICES, INC.	421	GREENWOOD VILLAGE, CO
B 12/2000 - 02/2002	WASHINGTON SQUARE SECURITIES, INC.	2882	WINDSOR, CT
B 06/1998 - 12/2000	LINCOLN FINANCIAL ADVISORS CORPORATION	3978	FORT WAYNE, IN
B 04/1996 - 06/1998	CIGNA FINANCIAL ADVISORS, INC.	145	RADNOR, PA
B 07/1980 - 02/1993	CIGNA SECURITIES, INC.	145	RADNOR, PA

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
01/2024 - Present	OSAIC WEALTH, INC.	Mass Transfer	Y	GREENWOOD VILLAGE, CO, United States
02/2002 - 01/2024	WOODBURY FINANCIAL SERVICES	REGISTERED REPRESENTATIVE	Y	GREENWOOD VILLAGE, CO, 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)BRADLEY W. ROTHAMMER; NONINVT REL; 5347 VALENTIA WAY #200, GREENWOOD VILLAGE, CO 80111; SALES AND SERVICE OF INSURANCE PRODUCTS; OWNER, PRESIDENT; START 01/01/1981; 20 HRS/MTH; 20 HRS/MTH DURING TRADING; SALES AND SERVICE OF INSURANCE PRODUCTS.

2) CBD FINANCIAL, LLC; INV REL; 5347 S VALENTIA WAY SUITE 130 GREENWOOD VILLAGE, CO 80111; SALES OF TRADITIONAL INSURANCE; INSURANCE AGENT/BROKER; 1/1/2012; 270HR/MO; 240 HR/MO; SALES AND SERVICES OF TRADITIONAL ISURANCE



Registration and Employment History

Other Business Activities, continued

ACCOUNTS.

3) VALENTIA GROUP; NON INV REL; 5347 S VALENTIA WAY GREENWOOD, CO 80111; I MANAGE THE OFFICE BUILDING I OWN 25% OF; MANAGING MEMBER; 5/1/2006; 40HR/MO; 0HR/MO; MANAGE THE OFFICE BUILDING I OWN 25% OF.

4) ACE; NON INV REL; DENVER, CO; RAISE MONEY TO ASSIST INNER CITY CHILDREN IN REGARD TO FUTURE PARTICIPATION AS A PROFESSIONAL IN THE CONSTRUCTION INDUSTRY; BOARD MEMBER; 1/1/2007; 1HR/MO; 1HR/MO; RAISE MONEY TO ASSIST INNER-CITY CHILDREN IN REGARD TO FUTURE PARTICIPATION AS A PROFESSIONAL IN THE CONSTRUCTION INDUSTRY.

5) DENVER HOSPICE; NON INV REL; DENVER, CO; RAISE MONEY TO PROVIDE HOSPICE FOR THE DYING; COMMITTEE MEMBER; 1/1/2009; 5HR/MO; 1HR/MO; RAISE MONEY TO PROVIDE HOSPICE FOR THE DYING.

6) CANCER LEAGUE OF COLORADO; NON INV REL; GREENWOOD VILLAGE, CO; RAISE MONEY TO FIGHT CANCER; PRESIDENT OF THE CORPORATE BOARD; 1/1/2007; 20HR/MO; 5HR/MO; RAISE MONEY TO FIGHT CANCER.

7) ROTHHAMMER PROPERTIES, LLC

POSITION: Managing member NATURE: Personal real estate investments INVESTMENT RELATED: No NUMBER OF HOURS: 30 SECURITIES TRADING HOURS: 0 START DATE: 09/20/2017

ADDRESS: 2405 Cherryridge Rd., Cherry Hills CO 80113, United States

DESCRIPTION: Investor

8) CORPORATE BENEFIT DESIGN, LLC

POSITION: Chief Executive Officer NATURE: Limited Liability Company INVESTMENT RELATED: Yes NUMBER OF HOURS: 5 SECURITIES TRADING HOURS: 0 START DATE: 01/08/2013

ADDRESS: 5347 S. Valentia Way, Suite 300, Greenwood Village CO 80111, United States

DESCRIPTION: Sale of Group Health insurance.

Sale of Life Insurance.

Assist in selling businesses.

Sale of annuities.

9) W. G. NIELSEN AND ASSOCIATES

POSITION: none NATURE: As approved by Woodbury, present businesses to W.G. Nielsen for them to sell. INVESTMENT RELATED: No NUMBER OF HOURS: 5 SECURITIES TRADING HOURS: 5 START DATE: 05/01/2005

ADDRESS: 3200 Cherry Creek South Drive, Suite 470, Denver CO 80209, United States

DESCRIPTION: Introduction

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



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.

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:	Firm
Court Details:	WILLIAM R. LUCERO, ASST. U.S. ATTORNEY 92-CR-330
Charge Date:	10/08/1992
Charge Details:	18 U.S.C. 1344 (A) (1)&(2) THE AMOUNT OF \$50,000.
Felony?	
Current Status:	On Appeal
Status Date:	08/28/1995
Disposition Details:	SENTENCE NOT YET IMPOSED.
Firm Statement	ON JANUARY 6, 1993, A JURY IN THE ABOVE CRIMINAL CASE RETURNED A VERDICT OF GUILTY ON THREE COUNTS OF MAKING A FALSE STATEMENT OR REPORT FOR PURPOSES OF INFLUENCING A NATIONAL BANK (18 USC 1014). MR. ROTHHAMMER'S ATTORNEYS HAVE FILED MOTIONS TO OVERTURN THE VERDICT AND INTEND TO PURSUE THE APPEALS PROCESS IF NECESSARY.

Reporting Source:	Broker
Court Details:	U.S. DISTRICT COURT, DISTRICT OF COLORADO CRIMINAL ACTION NO. 92-CR-330



Charge Date: 10/08/1992

Charge Details: 18 USC 1344 (2) (1) & (2) SCHEME TO DEFRAUD 18 USC 1014-FALSE STATEMENT TO A BANK
3 COUNTS

Felony? Yes

Current Status: Final

Status Date: 01/15/1996

Disposition Details: JUDGEMENT OF ACQUITTAL 01/15/1996.USD DISTRICT OF COLORADO CASE NUMBER 92-CR-330

Broker Statement IN OCTOBER OF 1992, I WAS ARRESTED AND CHARGED WITH 1 COUNT OF SCHEME TO DEFRAUD A NATIONAL BANK AND 3 COUNTS OF MAKING FALSE STATEMENTS TO A BANK. IN JANUARY 1993 I WAS FOUND GUILTY OF ALL 3 COUNTS OF MAKING FALSE STATEMENTS TO SAID BANK. MY ATTORNEY BEGAN APPEALS PROCESS AND IN MARCH OF 1996 I WAS FOUND NOT GUILTY ON ALL CHARGES AND MY INDICTMENT WAS SUPERCEDED IN APPELATE COURT. BASICALLY, I HAD A FRIEND THAT WORKED FOR SAID BANK. MY FRIEND APPLIED AND APPROVED ME FOR A LOAN THAT I DID NOT WANT OR ASK FOR. MY FRIEND THEN TOOK THAT LOAN MONEY AND GAVE IT TO SOMEONE ELSE, BUT LEFT ME FOR THE LIABILITY FOR THE LOAN. ONCE I FOUND OUT ABOUTH THIS, I SIGNED AN EXTENSION REQUEST IN ORDER TO GIVE MY F FRIEND TIME TO PAY BACK THE MONEY TO THE BANK WHICH HE NEVER DID. AT THAT TIME, THE BANK CONDUCTED AN INVESTIGATION AND DISCOVERED ALL THE FACTS. I WAS ACQUITTED, WHILE MY FRIEND IS STILL SERVING TIME IN PRISON.

End of Report



This page is intentionally left blank.