



## IAPD Report

# ANDREW CHRISTIAN KNUTSON

CRD# 2254542

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**i** Please be aware that fraudsters may link to Investment Adviser Public Disclosure from phishing and similar scam websites, trying to steal your personal information or your money. Make sure you know who you're dealing with when investing, and contact FINRA with any concerns.  
For more information read our [investor alert](#) on imposters.



## IAPD Information About Representatives

IAPD offers information on all current-and many former representatives. Investors are strongly encouraged to use IAPD to check the background of representatives before deciding to conduct, or continue to conduct, business with them.

### What is included in a IAPD report?

IAPD reports for individual representatives include information such as employment history, professional qualifications, disciplinary actions, criminal convictions, civil judgments and arbitration awards.

It is important to note that the information contained in an IAPD 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 representative, or concluded through a negotiated settlement with no admission or finding of wrongdoing.

### Where did this information come from?

The information contained in IAPD comes from the Investment Adviser Registration Depository (IARD) and FINRA's Central Registration Depository, or CRD, (see more on CRD below) and is a combination of:

- information the states require representatives and firms to submit as part of the registration and licensing process, and
- information that state regulators report regarding disciplinary actions or allegations against representatives.

### How current is this information?

Generally, representatives are required to update their professional and disciplinary information in IARD within 30 days.

### Need help interpreting this report?

For help understanding how to read this report, please consult NASAA's IAPD Tips page <http://www.nasaa.org/IAPD/IARReports.cfm>

### What if I want to check the background of an Individual Broker or Brokerage Firm?

To check the background of an Individual Broker or Brokerage firm, you can search for the firm or individual in IAPD. If your search is successful, click on the link provided to view the available licensing and registration information in FINRA's BrokerCheck website.

### Are there other resources I can use to check the background of investment professionals?

It is recommended that you learn as much as possible about an individual representative or Investment Adviser firm before deciding to work with them. Your state securities regulator can help you research individuals and certain firms doing business in your state. The contact information for state securities regulators can be found on the website of the North American Securities Administrators Association <http://www.nasaa.org>



## Report Summary

### ANDREW CHRISTIAN KNUTSON (CRD# 2254542)

The report summary provides an overview of the representative's professional background and conduct. The information contained in this report has been provided by the representative, investment adviser and/or securities firms, and/or securities regulators as part of the states' investment adviser registration and licensing process. The information contained in this report was last updated by the representative, a previous employing firm, or a securities regulator on **01/02/2024**.

### CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
<b>B</b>	OSAIC WEALTH, INC.	CRD# 23131	09/01/2023
<b>IA</b>	OSAIC WEALTH, INC.	CRD# 23131	09/01/2023

### QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **17** jurisdiction(s).

Is this representative currently Inactive or Suspended with any regulator? **No**

**Note:** Not all jurisdictions require IAR registration or may have an exemption from registration.

Additional information including this individual's qualification examinations and professional designations is available in the Detailed Report.

### REGISTRATION HISTORY

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

	FIRM	CRD#	LOCATION	REGISTRATION DATES
<b>B</b>	SAGEPOINT FINANCIAL, INC.	133763	MISSOULA, MT	10/31/2005 - 09/01/2023
<b>IA</b>	SAGEPOINT FINANCIAL, INC.	133763	MISSOULA, MT	10/31/2005 - 09/01/2023
<b>IA</b>	SPELMAN & CO INC	10232	LA MESA, CA	09/27/2002 - 10/31/2005

For additional registration and employment history details as reported by the individual, refer to the Registration and Employment History section of the Detailed Report.

### DISCLOSURE INFORMATION

Disclosure events include certain criminal charges and convictions, formal investigations and disciplinary actions initiated by regulators, customer disputes and arbitrations, and financial disclosures such as bankruptcies and unpaid judgments or liens.

Are there events disclosed about this representative?

**No**



## Qualifications

### REGISTRATIONS

This section provides the SRO, states and U.S. territories in which the representative is currently registered and licensed, the category of each registration, and the date on which the registration becomes effective. This section also provides, for each firm with which the representative is currently employed, the address of each location where the representative works. This individual is currently registered with **17** jurisdiction(s) and 1 SRO(s) through his or her employer(s).

### Employment 1 of 1

Firm Name: **OSAIC WEALTH, INC.**  
Main Address: 10 EXCHANGE PLACE  
SUITE 1410  
JERSEY CITY, NJ 07302  
Firm ID#: 23131

	Regulator	Registration	Status	Date
<b>B</b>	FINRA	General Securities Principal	Approved	09/01/2023
<b>B</b>	FINRA	General Securities Representative	Approved	09/01/2023
<b>B</b>	FINRA	Municipal Securities Principal	Approved	09/01/2023
<b>B</b>	Alaska	Agent	Approved	09/01/2023
<b>B</b>	Arizona	Agent	Approved	09/01/2023
<b>B</b>	Arkansas	Agent	Approved	09/01/2023
<b>B</b>	California	Agent	Approved	09/01/2023
<b>IA</b>	California	Investment Adviser Representative	Approved	12/04/2023
<b>B</b>	Colorado	Agent	Approved	09/01/2023
<b>B</b>	Florida	Agent	Approved	09/01/2023
<b>B</b>	Idaho	Agent	Approved	09/01/2023
<b>B</b>	Iowa	Agent	Approved	09/01/2023
<b>B</b>	Minnesota	Agent	Approved	09/01/2023



### Qualifications

Regulator	Registration	Status	Date
<b>B</b> Missouri	Agent	Approved	09/01/2023
<b>B</b> Montana	Agent	Approved	09/01/2023
<b>IA</b> Montana	Investment Adviser Representative	Approved	09/01/2023
<b>B</b> Nevada	Agent	Approved	09/01/2023
<b>B</b> North Carolina	Agent	Approved	09/01/2023
<b>B</b> Oregon	Agent	Approved	09/01/2023
<b>B</b> South Carolina	Agent	Approved	09/01/2023
<b>B</b> Texas	Agent	Approved	09/01/2023
<b>B</b> Washington	Agent	Approved	09/01/2023

### Branch Office Locations

**OSAIC WEALTH, INC.**  
6983 ALISHA DR.  
MISSOULA, MT 59803





## Qualifications

### PASSED INDUSTRY EXAMS



This section includes all industry exams that the representative has passed. Under limited circumstances, a representative may attain registration after receiving an exam waiver based on a combination of exams the representative has passed and qualifying work experience. Likewise a new exam requirement may be grandfathered based on a representative's specific qualifying work experience. Exam waivers and grandfathering are not included below.

**This individual has passed 2 principal/supervisory exams, 2 general industry/product exams, and 2 state securities law exams.**




#### Principal/Supervisory Exams

	Exam	Category	Date
	Municipal Securities Principal Examination (S53)	Series 53	06/16/2009
	General Securities Principal Examination (S24)	Series 24	09/16/1996

#### General Industry/Product Exams

	Exam	Category	Date
	Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
	General Securities Representative Examination (S7)	Series 7	07/16/1992

#### State Securities Law Exams

	Exam	Category	Date
 	Uniform Combined State Law Examination (S66)	Series 66	09/24/2002
	Uniform Securities Agent State Law Examination (S63)	Series 63	07/29/1992

### PROFESSIONAL DESIGNATIONS

This section details that the representative has reported **0** professional designation(s).

No information reported.



## Registration & Employment History

### PREVIOUSLY REGISTERED WITH THE FOLLOWING FIRMS

This representative held registrations with the following firms:

	Registration Dates	Firm Name	ID#	Branch Location
B	10/31/2005 - 09/01/2023	SAGEPOINT FINANCIAL, INC.	CRD# 133763	MISSOULA, MT
IA	10/31/2005 - 09/01/2023	SAGEPOINT FINANCIAL, INC.	CRD# 133763	MISSOULA, MT
IA	09/27/2002 - 10/31/2005	SPELMAN & CO INC	CRD# 10232	LA MESA, CA
B	02/12/1994 - 10/31/2005	SPELMAN & CO., INC.	CRD# 10232	PHOENIX, AZ
B	09/30/1999 - 05/12/2000	SENTRA SECURITIES CORPORATION	CRD# 10249	PHOENIX, AZ
B	07/20/1992 - 01/05/1994	EDWARD D. JONES & CO., L.P.	CRD# 250	ST. LOUIS, MO

### EMPLOYMENT HISTORY

Below is the representative's employment history for up to the last 10 years.

Employment Dates	Employer Name	Position	Investment Related	Employer Location
09/2023 - Present	OSAIC WEALTH, INC.	REGISTERED REP	Y	MISSOULA, MT, United States
01/2009 - Present	SAGEPOINT FINANCIAL, INC.	REGISTERED REP	Y	PHOENIX, AZ, United States
02/1994 - Present	SPELMAN & CO., INC.	NOT PROVIDED	Y	LA MESA, CA, United States

### OTHER BUSINESS ACTIVITIES

This section includes information, if any, as provided by the representative regarding other business activities the representative 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) HEALTH AND LIFE INSURANCE LICENSE/BUSINESS AT 6983 Alisha Dr, Missoula MT 59803 SPENDING LESS THAN 30 MINUTES PER WEEK; FOR THE PAST 10 YEARS--SELLING PRIMARILY TERM LIFE INSURANCE TO QUALIFIED CLIENTS.

2)Sagepoint Financial Inc CORPORATE REGISTERED INVESTMENT ADVISOR HERE AT MY LA MESA OFFICE DEVOTING 50% OF WORK TIME WITH THIS BUSINESS(WITH LESS THAN \$12 MILLION UNDER MANAGEMENT; CONDUCTED SINCE AUGUST OF 2003; GENERATE RECOMMENDATIONS FOR INVESTMENTS FOR CLIENTS AND IMPLEMENTING TACTICAL ASSET ALLOCATION STRATEGIES. Office Address: 6983 Alisha Dr, Missoula MT 59803



## Registration & Employment History



### OTHER BUSINESS ACTIVITIES

3) KIWANIS CLUB: SENTINAL KIWANIS

POSITION: dues paying member NATURE: non-profit INVESTMENT RELATED: No NUMBER OF HOURS: 8 SECURITIES

TRADING HOURS: 8 START DATE: 10/01/2016

ADDRESS: 6983 Alisha Dr, na, Missoula MT 59803, United States; DESCRIPTION: Show up to a meeting, have breakfast, listen to the speaker, and retire singing "OH Montana"

4) KNUTSON FINANCIAL SERVICES, INC A S CORPORATION

POSITION: President NATURE: S Corporation set up for Tax Purposes INVESTMENT RELATED: Yes NUMBER OF HOURS: 1

SECURITIES TRADING HOURS: 0 START DATE: 06/30/2016

ADDRESS: 6983 Alisha Drive, Missoula MT 59803, United States

DESCRIPTION: Those related to the office of President of any Company

5) ANDREW KNUTSON

POSITION: Owner - NATURE: Sole Proprietorship - INVESTMENT RELATED: Yes NUMBER OF HOURS: 2 SECURITIES

TRADING HOURS: 0 START DATE: 01/01/2005

ADDRESS: 6983 Alisha Dr, Missoula MT 59803, United States

DESCRIPTION: Fixed Insurance, term insurance, and whole life policies; anything with variable accounts involving securities comes under my securities license.





## End of Report

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