



## IAPD Report

# GORDON THOMAS ROBINSON

CRD# 1069882

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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.



## 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

### GORDON THOMAS ROBINSON (CRD# 1069882)

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 **05/29/2026**.

### CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
<b>B</b>	OSAIC WEALTH, INC.	CRD# 23131	12/17/1991
<b>IA</b>	OSAIC WEALTH, INC.	CRD# 23131	09/22/2000

### QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **32** 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>	FITZGERALD, DEARMAN & ROBERTS, INC.	317	LOCATION	10/21/1982 - 01/12/1990
<b>B</b>	ROYAL ALLIANCE ASSOCIATES, INC.	23131	SCOTTSDALE, AZ	11/19/1989 - 12/21/1989
<b>B</b>	INTEGRATED RESOURCES EQUITY CORPORATION	6403	SCOTTSDALE, AZ	06/22/1989 - 11/19/1989

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? **Yes**

The following types of events are disclosed about this representative:

Type	Count
Criminal	2
Customer Dispute	1



## 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 **32** jurisdiction(s) and 1 SRO(s) through his or her employer(s).

### Employment 1 of 1

Firm Name: **OSAIC WEALTH, INC.**  
Main Address: 18700 N. HAYDEN ROAD  
SUITE 255  
SCOTTSDALE, AZ 85255  
Firm ID#: 23131

	Regulator	Registration	Status	Date
B	FINRA	General Securities Representative	Approved	12/17/1991
B	FINRA	General Securities Principal	Approved	05/20/1998
B	FINRA	Municipal Fund	Approved	03/31/2003
B	Arizona	Agent	Approved	03/28/2023
B	Arkansas	Agent	Approved	05/31/1996
B	California	Agent	Approved	04/27/1998
IA	California	Investment Adviser Representative	Approved	04/13/2015
B	Colorado	Agent	Approved	10/12/1999
IA	Colorado	Investment Adviser Representative	Approved	02/20/2009
B	Florida	Agent	Approved	12/19/1991
IA	Florida	Investment Adviser Representative	Approved	03/03/2009
B	Hawaii	Agent	Approved	03/31/2026
B	Idaho	Agent	Approved	10/20/2023



## Qualifications

	Regulator	Registration	Status	Date
B	Illinois	Agent	Approved	03/31/2026
B	Indiana	Agent	Approved	08/28/2000
IA	Indiana	Investment Adviser Representative	Approved	03/04/2009
B	Iowa	Agent	Approved	02/02/2024
B	Kansas	Agent	Approved	01/16/1998
B	Kentucky	Agent	Approved	07/07/2014
B	Louisiana	Agent	Approved	09/07/2022
B	Maine	Agent	Approved	08/04/2022
B	Maryland	Agent	Approved	03/06/2017
B	Massachusetts	Agent	Approved	10/16/2012
IA	Massachusetts	Investment Adviser Representative	Approved	11/13/2012
B	Minnesota	Agent	Approved	10/21/1999
IA	Minnesota	Investment Adviser Representative	Approved	03/06/2017
B	Missouri	Agent	Approved	03/13/1998
IA	Missouri	Investment Adviser Representative	Approved	02/19/2009
B	Nevada	Agent	Approved	01/24/2005
B	New Jersey	Agent	Approved	10/19/2015
B	New Mexico	Agent	Approved	01/09/2006
IA	New Mexico	Investment Adviser Representative	Approved	12/15/2025



### Qualifications

Regulator	Registration	Status	Date
B New York	Agent	Approved	09/10/1998
B North Carolina	Agent	Approved	09/29/1999
B Ohio	Agent	Approved	09/10/2020
B Oklahoma	Agent	Approved	12/18/1991
IA Oklahoma	Investment Adviser Representative	Approved	09/22/2000
B Oregon	Agent	Approved	04/28/2000
B Tennessee	Agent	Approved	01/10/2025
B Texas	Agent	Approved	01/22/1996
IA Texas	Investment Adviser Representative	Restricted Approval	04/15/2008
B Vermont	Agent	Approved	08/30/2022
B Virginia	Agent	Approved	01/07/2004
IA Virginia	Investment Adviser Representative	Approved	02/19/2009
B Washington	Agent	Approved	04/24/2006
B Wyoming	Agent	Approved	08/25/2000

### Branch Office Locations

**OSAIC WEALTH, INC.**  
3314 E. 51ST STREET  
SUITE S  
TULSA, OK 74135





## 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 Fund Securities Principal Examination (S51)	Series 51	03/28/2003
 General Securities Principal Examination (S24)	Series 24	04/13/1998

#### General Industry/Product Exams

Exam	Category	Date
 Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
 General Securities Representative Examination (S7)	Series 7	10/16/1982

#### State Securities Law Exams

Exam	Category	Date
 Uniform Investment Adviser Law Examination (S65)	Series 65	08/27/1998
 Uniform Securities Agent State Law Examination (S63)	Series 63	11/05/1982

### 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	10/21/1982 - 01/12/1990	FITZGERALD, DEARMAN & ROBERTS, INC.	CRD# 317	
B	11/19/1989 - 12/21/1989	ROYAL ALLIANCE ASSOCIATES, INC.	CRD# 23131	SCOTTSDALE, AZ
B	06/22/1989 - 11/19/1989	INTEGRATED RESOURCES EQUITY CORPORATION	CRD# 6403	
B	07/19/1988 - 05/06/1989	ANDERSON, BRYANT & CO.	CRD# 13185	
B	12/11/1987 - 12/31/1988	PHILADELPHIA LIFE ASSET PLANNING COMPANY	CRD# 629	

### 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
01/2008 - Present	INVESTMENTS BY DESIGN GROUP, INC	PRESIDENT, 100% SHAREHOLDER	Y	TULSA, OK, United States
04/2000 - Present	INVESTMENT DESIGNERS OF TULSA, INC	PRESIDENT, 100% SHAREHOLDER	Y	TULSA, OK, United States
12/1991 - Present	OSAIC WEALTH, INC.	REGISTERED REP, ME, OSJ	Y	TULSA, OK, 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. INVESTMENTS BY DESIGN GROUP, INC., DBA NAME; INVESTMENT RELATED; 3314 E 51ST STREET, SUITE S, TULSA OK, 74135; PRESIDENT; SINCE 1/1/2008; 2-3 HRS/MTH, 1-2 HRS/DST; CONSULTING SERVICES FOR FINANCIAL PLANNING, RETIREMENT AND BENEFITS PLANNING, VENTURE CAPITAL PLANNING.

2. GORDON T. ROBINSON; NOT INVESTMENT RELATED; START DATE 1995; 5 HRS/MTH, ZERO HRS/DST; one RENTAL PROPERTY - 2903 E 76TH PLACE, TULSA OK, 74136

3. GORDON T. ROBINSON, SOLE PROPRIETOR

POS: Owner - NATURE: I rent out a single family house. it is a 4 bedroom house located near the ORU campus. I have not lived in this house since 1995. INVESTMENT RELATED: No # OF HOURS: 5 SECURITIES TRADING HRS: 2 START DATE: 1/1/95 ADDY: Property 1. [Near ORU], 74136. Property 24-30 month lease. Property II has been sold, Tulsa OK 74135

DESCRIPT: Property I: Current owner of 4 bedroom house. Rents out as rental property. Single Family tenant property. Previously



## Registration & Employment History

### OTHER BUSINESS ACTIVITIES

lived in the home 4 years, 1991- 1995. Not actively in the real estate rental business. Limited time involved during business hours. Nor is there any interest in the real estate business. It has no romance of ownership in any fashion shape or form.

#### 4. INVESTMENT DESIGNERS OF TULSA, INC

POS: Owner - President NATURE: Sub S Corp INVESTMENT RELATED: Yes # OF HRS: 12 SECURITIES TRADING HRS: 5  
START DATE: 1/1/76

ADDY: 3314 E 51st St Suite S, Tulsa OK 74135

DESCRIPT: Independent Insurance Broker. Life, Health, Disability Income. This corp is also the DBA used for the securities role.

#### 5. HARVEST HOUSE

POS: Board Member NATURE: Corp Non-Profit - Charity to the less fortunate. INVESTMENT RELATED: No # OF HRS: 6  
SECURITIES TRADING HRS: 2 START DATE: 1/18/12

ADDY: 1439 E 71st St, Tulsa OK 74136

DESCRIPT: Board Member. position specifically excludes any oversight of any checking account or any funds. The position also excludes any investment advice or oversight over any securities. Chairman of the Board 2018 thru 2019. This will not expand the duties beyond the administration of the board meetings. I will not have supervision over securities or any of the money of the operation. I will not be listed in any financial capacity on the checking account. This is the role of the treasurer. Chris Tham. There are two CPA's on the board, and two more with accounting or finance degrees. They are quite qualified in that role.

#### 6. FINANCIAL PLANNING ASSOCIATION OF TULSA

POS: Pres / Program Director NATURE: Pres INVESTMENT RELATED: No # OF HOURS: 12 SECURITIES TRADING HOURS:  
10 START DATE: 1/1/19

ADDY: 3314 E 51st St, Suite S, Tulsa OK 74135

DESCRIPT: Book speakers for the Assoc. Set the curriculum agenda for the last 2 years.

#### 7. GORDON ROBINSON, FPA PRESIDENT

POS: Program Director & President NATURE: As an individual. This is not a business venture or duty. I am the program director for the FPA of Tulsa. This means, "Financial Planning Association of Tulsa". President & usually function as the Program Director means: I schedule the monthly speakers for the CE requirements of the Tulsa chapter of the Financial Planning Association of Tulsa. National Association of the Certified Financial Planners<sup>TM</sup>. This is an unpaid position. I am on the board of directors. I am not the treasurer. There are monthly board meetings. Generally I attend and run 10-11 meetings a year. INVESTMENT RELATED: Yes NUMBER OF HOURS: 10 SECURITIES TRADING HOURS: 5 START DATE: 2/1/06

ADDY: 3314 E 51st St, Suite S, Tulsa OK 74135

DESCRIPT: was the program director for the FPA of Tulsa. Each month we have one or two hours of CE classes conducted during our lunch meetings. I select the sponsors and the speakers and approve the CE material which will be used in the monthly lunch meetings. We consider this the local Tulsa/Bartlesville chapter of the Financial Planning Association. Members are generally financial planners or estate planners. It is an industry focused meeting. Connected and approved by the National Association of the Certified Financial Planners<sup>TM</sup>.



## Disclosure Summary

### Disclosure Information

#### What you should know about reported disclosure events:

##### (1) Certain thresholds must be met before an event is reported to IARD, for example:

- A law enforcement agency must file formal charges before an Investment Adviser Representative is required to report a particular criminal event.;
- A customer dispute must involve allegations that an Investment Adviser Representative engaged in activity that violates certain rules or conduct governing the industry and that the activity resulted in damages of at least \$5,000.

##### (2) Disclosure events in IAPD reports come from different sources:

As mentioned in the "About IAPD" section on page 1 of this report, information contained in IAPD comes from Investment Adviser Representatives, 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 IAPD report. The different versions will be separated by a solid line with the reporting source labeled.

##### (3) There are different statuses and dispositions for disclosure events:

- A disclosure event may have a status of *pending*, *on appeal*, or *final*.
  - A "pending" disclosure event involves allegations that have not been proven or formally adjudicated.
  - A disclosure event that is "on appeal" involves allegations that have been adjudicated but are currently being appealed.
  - A "final" disclosure event has been concluded and its resolution is not subject to change.
- A final disclosure 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 represents a disposition wherein the parties involved in a dispute reach an agreement to resolve the matter. Please note that Investment Adviser Representatives and firms may choose to settle customer disputes or regulatory matters for business or other reasons.
  - A "resolved" matter usually includes a disposition wherein no payment is made to the customer or there is no finding of wrongdoing on the part of the Investment Adviser Representative. Such matters generally involve customer disputes.

##### (4) You may wish to contact the Investment Adviser Representatives to obtain further information regarding any of the disclosure events contained in this IAPD report.



## DISCLOSURE EVENT DETAILS

When evaluating this information, please keep in mind that some items may involve pending actions or allegations that may be contested and have not been resolved or proven. The event may, in the end, be withdrawn, dismissed, resolved in favor of the Investment Adviser Representative, or concluded through a negotiated settlement with no admission or finding of wrongdoing.

This report provides the information exactly as it was reported to the Investment Adviser Registration Depository. Some of the specific data fields contained in the report may be blank if the information was not provided.

The following types of events are disclosed about this representative:

Type	Count
Criminal	2
Customer Dispute	1

### Criminal

This disclosure event involves a criminal charge against the Investment Adviser Representative that has resulted in a dismissal, plea, acquittal or conviction. The criminal matter may relate to any felony or certain misdemeanor offenses (e.g., bribery, perjury, forgery, counterfeiting, extortion, fraud, wrongful taking of property).

#### Disclosure 1 of 2

**Reporting Source:** Individual

**Court Details:** NO ONE INITIATED A PROCEEDING OR EVENT SINCE DATE OF ARREST IN 1973. CRF 76-151 & CRF 76-152 DISMISSED 79.

**Charge Date:** 01/20/1976

**Charge Details:** POSSESSION OF A CONTROLLED SUBSTANCE WITH INTENT TO DISTRIBUTE. (2 CHARGES). I WENT INTO A CHRISTIAN DRUG REHABILITATION PROGRAM FOR 20 MONTHS, THEN STAYED ON AS A COUNSELOR FOR 8-10 YEARS...OFF AND ON. 1977, I PLEAD GUILTY TO CHARGES, RECEIVED 2 YEARS DEFERRED SENTENCE, THEN CHARGES WERE DISMISSED 1979.

**Felony?**

**Current Status:** Final

**Status Date:** 01/01/1979

**Disposition Details:** AS INDICATED ABOVE 2 YEAR DEFERRED SENTENCE. 77-79. DOCUMENTATION ATTACHED WITH ORIGINAL U-4 APPLICATION. NO CONVICTIONS AT ALL.

**Broker Statement** AGE 17 DRUG USE. NOTHING SINCE AGE 19. INSTEAD HAVE WORKED EXTENSIVELY IN DRUG PREVENTION PROGRAMS AND PRISON MINISTRIES. INCLUDING ENDORSEMENT IN THE PAST FROM THE DIRECTOR OF THE DEPT. OF CORRECTIONS IN OKLAHOMA. IN SUMMARY, I HAVE ENDED UP MORE STABLE THAN MOST PEOPLE WHO WERE NEVER ON DRUGS. I HAVE NEVER BEEN DENIED ANY LICENSES, APPOINTMENTS, BONDS OR ANYTHING ELSE BASED ON THIS PAST HISTORY. INCLUDING A PREFERRED



RISK ON HEALTH, LIFE AND DISABILITY INSURANCE FOR OVER 5 YEARS.

**Disclosure 2 of 2**

**Reporting Source:**

Individual

**Court Details:**

NO ONE THAT I AM AWARE OF.  
NO CASE # AVAILABLE I COULD FIND.

**Charge Date:**

12/29/1971

**Charge Details:**

I WAS ARRESTED FOR SHOPLIFTING AGE 16. I WAS SENTENCED TO 6 MONTHS PROBATION, THEN CHARGES WERE DISMISSED. THAT WAS THE FIRST ARREST. THIS PETIT LARCENY CHARGE WAS TOTALLY DISMISSED. I HAVE EXPLAINED AND WRITTEN ON THIS TO NASD SEVERAL TIMES NOW.

**Felony?**

**Current Status:**

Final

**Status Date:**

01/03/1972

**Disposition Details:**

6 MONTH PROBATION PERIOD, THEN CASE WAS DISMISSED.

**Broker Statement**

FIRST AND ONLY ARREST REGARDING THEFT OR SHOPLIFTING TYPE CHARGES. NO CONVICTIONS.



## Customer Dispute

This section provides information regarding a customer dispute that was reported to the Investment Adviser Registration Depository (IARD) by the Investment Adviser Representative (IAR), an investment adviser and/or securities firm, and/or a securities regulator. The event may include a consumer-initiated, investment-related complaint, arbitration proceeding or civil suit that contains allegations of sales practice violations against the individual.

The customer dispute may be pending or may have resulted in a civil judgment, arbitration award, monetary settlement, closure without action, withdrawal, dismissal, denial, or other outcome.

### Disclosure 1 of 1

<b>Reporting Source:</b>	Individual
<b>Employing firm when activities occurred which led to the complaint:</b>	Royal Alliance Associates
<b>Allegations:</b>	Client alleges negligence and fraudulent misrepresentation
<b>Product Type:</b>	Annuity-Variable Other: Life Insurance
<b>Alleged Damages:</b>	\$75,000.00
<b>Alleged Damages Amount Explanation (if amount not exact):</b>	Client alleges damages in an amount in excess of \$75,000

## Civil Litigation Information

<b>Type of Court:</b>	State Court
<b>Name of Court:</b>	District Court of Oklahoma County
<b>Location of Court:</b>	Oklahoma City, Oklahoma
<b>Docket/Case #:</b>	CJ-2017-4547
<b>Date Notice/Process Served:</b>	08/16/2017
<b>Litigation Pending?</b>	No
<b>Disposition:</b>	Settled
<b>Disposition Date:</b>	05/03/2019
<b>Monetary Compensation Amount:</b>	\$230,000.00
<b>Individual Contribution Amount:</b>	\$0.00

<b>Broker Statement</b>	I was one of multiple defendants in this case. My co-defendant broker-dealer made a business decision to settle this claim. I did not contribute one penny to this settlement, but the claim against me was released as part of co-defendants settlement. I continue to deny all allegations of wrongdoing, and remain confident that had my defense been heard by an arbitrator or jury, all claims would have been fully dismissed.
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## End of Report

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