



## IAPD Report

# TINA TYANN MATTHEWS

CRD# 1500939

<b><u>Section Title</u></b>	<b><u>Page(s)</u></b>
Report Summary	1
Qualifications	2 - 4
Registration and Employment History	5 - 6
Disclosure Information	7

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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

### TINA TYANN MATTHEWS (CRD# 1500939)

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 **03/27/2026**.

### CURRENT EMPLOYERS

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

### QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **16** 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
IA	SAGEPOINT FINANCIAL, INC.	133763	AUSTIN, TX	10/06/2006 - 09/01/2023
B	SAGEPOINT FINANCIAL, INC.	133763	AUSTIN, TX	09/25/2006 - 09/01/2023
IA	COMPASS BROKERAGE, INC.	17086	AUSTIN, TX	09/08/2006 - 09/27/2006

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
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 **16** 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>B</b> FINRA	General Securities Representative	Approved	09/01/2023
<b>B</b> Alabama	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>B</b> Colorado	Agent	Approved	09/01/2023
<b>B</b> Florida	Agent	Approved	09/01/2023
<b>B</b> Indiana	Agent	Approved	09/01/2023
<b>B</b> Kansas	Agent	Approved	09/01/2023
<b>B</b> Kentucky	Agent	Approved	09/01/2023
<b>B</b> Louisiana	Agent	Approved	09/01/2023
<b>B</b> New Mexico	Agent	Approved	09/01/2023
<b>B</b> North Carolina	Agent	Approved	05/14/2025



### Qualifications

Regulator	Registration	Status	Date
<b>B</b> Ohio	Agent	Approved	09/01/2023
<b>B</b> Texas	Agent	Approved	09/01/2023
<b>IA</b> Texas	Investment Adviser Representative	Approved	09/01/2023
<b>B</b> Virginia	Agent	Approved	09/01/2023
<b>B</b> Wisconsin	Agent	Approved	09/01/2023

### Branch Office Locations

**OSAIC WEALTH, INC.**  
6601 VAUGHT RANCH ROAD  
SUITE 102  
AUSTIN, TX 78730

**OSAIC WEALTH, INC.**  
Austin, TX



## 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 0 principal/supervisory exams, 3 general industry/product exams, and 2 state securities law exams.**



#### Principal/Supervisory Exams

Exam	Category	Date
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No information reported.




#### General Industry/Product Exams

Exam	Category	Date
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 Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
 General Securities Representative Examination (S7)	Series 7	09/23/2004
 Investment Company Products/Variable Contracts Representative Examination (S6)	Series 6	03/20/2003

#### State Securities Law Exams

Exam	Category	Date
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  Uniform Combined State Law Examination (S66)	Series 66	09/07/2006
 Uniform Securities Agent State Law Examination (S63)	Series 63	03/05/2003

### PROFESSIONAL DESIGNATIONS

This section details that the representative has reported **1** professional designation(s).

#### Chartered Financial Consultant

This representative holds or did hold **1** professional designation(s) that may have been used to qualify as an Investment Advisor representative. Please check with the appropriate designation authority for verification that the designation is still in effect. The contact information for these professional designation authorities can be found on the website for the North American Securities Administrators Association at <http://www.nasaa.org>



### Registration & Employment History

#### PREVIOUSLY REGISTERED WITH THE FOLLOWING FIRMS

This representative held registrations with the following firms:

	Registration Dates	Firm Name	ID#	Branch Location
IA	10/06/2006 - 09/01/2023	SAGEPOINT FINANCIAL, INC.	CRD# 133763	AUSTIN, TX
B	09/25/2006 - 09/01/2023	SAGEPOINT FINANCIAL, INC.	CRD# 133763	AUSTIN, TX
IA	09/08/2006 - 09/27/2006	COMPASS BROKERAGE, INC.	CRD# 17086	AUSTIN, TX
B	01/04/2005 - 09/27/2006	COMPASS BROKERAGE, INC.	CRD# 17086	AUSTIN, TX
B	03/21/2003 - 01/03/2005	NORTHWESTERN MUTUAL INVESTMENT SERVICES, LLC	CRD# 2881	MILWAUKEE, WI
B	06/06/1994 - 12/31/1994	WMA SECURITIES, INC.	CRD# 32625	
B	01/01/1994 - 06/06/1994	INTERSECURITIES, INC.	CRD# 16164	
B	05/29/1986 - 12/31/1991	FIRST AMERICAN NATIONAL SECURITIES, INC.	CRD# 10111	

#### 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.	Mass Transfer	Y	AUSTIN, TX, United States
01/2009 - 09/2023	SAGEPOINT FINANCIAL, INC.	REGISTERED REP	Y	PHOENIX, AZ, 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) SAGEPOINT FINANCIAL CORPORATE RIA, YES, AUSTIN TX. INVESTMENT ADVISORY, IAR SINCE 10/06. 20% OF TIME. TPMM, FINANCIAL PLANNING, MAP AND V2A.



## Registration & Employment History



### OTHER BUSINESS ACTIVITIES

#### 2) TINA MATTHEWS

POSITION: Agent NATURE: Sole Proprietorship - INVESTMENT RELATED: Yes NUMBER OF HOURS: 5 SECURITIES

TRADING HOURS: 5 START DATE: 09/01/2003

ADDRESS: 6601 VAUGHT RANCH ROAD, SUITE 102, AUSTIN TX 78730, United States

DESCRIPTION: I no longer solicit or write health insurance. I do still receive commissions from Higginbotham Insurance for past group policies written. I will now possibly receive commissions from New Insurance Agency as well. One of my clients is completing an Agent of Record Change from Higginbotham to New Insurance. I sell life insurance and long-term care insurance. For life insurance, I use TNBC as the agency and for long-term care, I use Core Income Advisors.

#### 3) DIVORCE, WOMEN AND MONEY, LLC

POSITION: CDFA NATURE: LLC INVESTMENT RELATED: No NUMBER OF HOURS: 20 SECURITIES TRADING HOURS: 10

START DATE: 04/27/2012

ADDRESS: 6601 VAUGHT RANCH ROAD, SUITE 102, AUSTIN TX 78730, United States

DESCRIPTION: As a CDFA, I work with clients who are divorcing. I typically represent the woman. I assist her in documenting her assets, understanding them, assist attorney with asset division, and help client with budget.

#### 4) BC MERCY COMMITTEE GROUP

POSITION: Mercy Committee Member NATURE: This is my church, Austin Ridge Bible Church. They have asked me to serve on the Mercy Committee which assists in discerning need for funds given by the church to people/families who have applied for funding. INVESTMENT RELATED: No NUMBER OF HOURS: 2 SECURITIES TRADING HOURS: 0 START DATE: 08/22/2022

ADDRESS: 9300 BEE CAVE ROAD, AUSTIN TX 78733, United States

DESCRIPTION: I will be reviewing applications and interviewing the applicants. Once I understand their situation, I will share my observations to the committee of 6 and they will determine if church funds will be provided to the applicant.

#### 5) TTM LLC

POSITION: OWNER NATURE: LLC INVESTMENT RELATED: No NUMBER OF HOURS: 0 SECURITIES TRADING HOURS: 0

START DATE: 03/20/2018

ADDRESS: 6601 Vaught Ranch Rd, Suite 102, Austin TX 78730, United States

DESCRIPTION: This is only used for my 401k and I have a bank account under that name. There are no activities that's why it didn't occur to me to disclose it.



## 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
Customer Dispute	1

### 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>	Firm
<b>Employing firm when activities occurred which led to the complaint:</b>	BBVA COMPASS INVESTMENT SOLUTIONS, INC.
<b>Allegations:</b>	CUSTOMER OPENED AN ACCOUNT WITH THE FIRM IN APRIL 2006. CUSTOMER ALLEGES THAT REPRESENTATIVE MADE UNSUITABLE RECOMMENDATIONS BASED ON HER STATED INVESTMENT OBJECTIVES.
<b>Product Type:</b>	Mutual Fund
<b>Alleged Damages:</b>	\$300,000.00

#### Arbitration Information

<b>Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.):</b>	FINRA
<b>Docket/Case #:</b>	09-03754
<b>Date Notice/Process Served:</b>	07/01/2009
<b>Arbitration Pending?</b>	No
<b>Disposition:</b>	Settled
<b>Disposition Date:</b>	06/24/2010
<b>Monetary Compensation Amount:</b>	\$50,000.00
<b>Individual Contribution Amount:</b>	\$0.00



**Reporting Source:** Individual

**Employing firm when activities occurred which led to the complaint:** COMPASS BROKERAGE, INC.; AIG FINANCIAL ADVISORS, INC.

**Allegations:** MARKET LOSS DUE TO UNSUITABILITY OF INVESTMENTS

**Product Type:** Mutual Fund

**Alleged Damages:** \$300,000.00

### Arbitration Information

**Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.):** FINRA

**Docket/Case #:** 09-03754

**Date Notice/Process Served:** 07/01/2009

**Arbitration Pending?** No

**Disposition:** Settled

**Disposition Date:** 06/24/2010

**Monetary Compensation Amount:** \$50,000.00

**Individual Contribution Amount:** \$0.00

### Broker Statement

The client filed a complaint with FINRA on 7/1/2009 alleging "unsuitable investment recommendation". This was a high-net-worth client with decades of investment experience. All accounts with me were non-discretionary, meaning that she had to approve every trade made on the accounts. On 9/11/2007 the client increased her risk tolerance from medium-low to moderate-medium high. This was not my recommendation. Because it wasn't my recommendation that she invests that aggressively, I had her sign the Risk Tolerance Questionnaire indicating the increased risk. She also chose to remain invested in a fund, selected by a previous advisor, which I felt was too risky for her, but she liked the returns she had been getting and did not agree to consider reducing this holding and remained in that fund. Unfortunately, those untimely decisions were followed by one of the most devastating market losses in the U.S. Against my recommendation the client instructed me to liquidate her account on October 27, 2008, locking in her losses. FINRA completed an inquiry as to the allegations of the unsuitable investment recommendation, determined to take no further action, and closed the file on 2/2/2010.



## End of Report

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