



IAPD Report

RICHARD MARION BLOSSER

CRD# 1676712

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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

RICHARD MARION BLOSSER (CRD# 1676712)

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 **01/05/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
IA	PATHFINDER WEALTH ADVISORS, LLC	CRD# 305910	01/08/2026

QUALIFICATIONS

This representative is currently registered in **0** SRO(s) and **2** 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	PATHFINDER WEALTH ADVISORS, LLC	305910	LOS ANGELES, CA	02/26/2020 - 12/31/2025
IA	AXXCESS WEALTH MANAGEMENT, LLC	164081	Los Angeles, CA	01/05/2022 - 03/14/2023
IA	AXXCESS WEALTH MANAGEMENT, LLC	164081	Thousand Oaks, CA	10/08/2019 - 12/31/2021

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
Regulatory Event	1
Customer Dispute	2





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 **2** jurisdiction(s) and **0** SRO(s) through his or her employer(s).

Employment 1 of 1

Firm Name: **PATHFINDER WEALTH ADVISORS, LLC**
Main Address: 2029 CENTURY PARK EAST
STE 400N
LOS ANGELES, CA 90067
Firm ID#: 305910

	Regulator	Registration	Status	Date
	California	Investment Adviser Representative	Approved	01/09/2026
	Montana	Investment Adviser Representative	Approved	01/08/2026

Branch Office Locations

PATHFINDER WEALTH ADVISORS, LLC
2029 CENTURY PARK EAST
STE 400N
LOS ANGELES, CA 90067



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
National Commodity Futures Examination (S3)	Series 3	10/26/1992
General Securities Representative Examination (S7)	Series 7	10/19/1992

State Securities Law Exams

Exam	Category	Date
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Uniform Investment Adviser Law Examination (S65)	Series 65	05/16/1994
Uniform Securities Agent State Law Examination (S63)	Series 63	11/02/1992

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
IA	02/26/2020 - 12/31/2025	PATHFINDER WEALTH ADVISORS, LLC	CRD# 305910	LOS ANGELES, CA
IA	01/05/2022 - 03/14/2023	AXXCESS WEALTH MANAGEMENT, LLC	CRD# 164081	Los Angeles, CA
IA	10/08/2019 - 12/31/2021	AXXCESS WEALTH MANAGEMENT, LLC	CRD# 164081	Thousand Oaks, CA
IA	10/20/2020 - 06/22/2021	WEDBUSH SECURITIES INC.	CRD# 877	LOS ANGELES, CA
B	10/19/2020 - 06/22/2021	WEDBUSH SECURITIES INC.	CRD# 877	LOS ANGELES, CA
B	11/27/2015 - 10/17/2019	WELLS FARGO CLEARING SERVICES, LLC	CRD# 19616	WESTLAKE VILLAGE, C
IA	11/27/2015 - 10/17/2019	WELLS FARGO CLEARING SERVICES, LLC	CRD# 19616	WESTLAKE VILLAGE, C
B	11/21/2008 - 12/08/2015	UBS FINANCIAL SERVICES INC.	CRD# 8174	LOS ANGELES, CA
IA	11/21/2008 - 12/08/2015	UBS FINANCIAL SERVICES INC.	CRD# 8174	LOS ANGELES, CA
IA	07/08/1997 - 11/25/2008	MORGAN STANLEY & CO. INCORPORATED	CRD# 8209	LOS ANGELES, CA
B	10/21/1992 - 11/25/2008	MORGAN STANLEY & CO. INCORPORATED	CRD# 8209	LOS ANGELES, CA
B	08/15/1988 - 09/06/1990	MKI SECURITIES CORP.	CRD# 2762	NEW YORK, NY

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
02/2020 - Present	Pathfinder Wealth Advisors, LLC	CCO, IAR, and Owner	Y	Los Angeles, CA, United States
10/2019 - Present	Axxcess Wealth Management, LLC	IAR	Y	Los Angeles, CA, United States
10/2020 - 06/2021	WEDBUSH SECURITIES INC.	MANAGING DIRECTOR INVESTMENTS	N	LOS ANGELES, CA, United States



Registration & Employment History

EMPLOYMENT HISTORY

Employment Dates	Employer Name	Position	Investment Related	Employer Location
11/2015 - 10/2019	WELLS FARGO ADVISORS, LLC	Managing Director	Y	LOS ANGELES, 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) PATHFINDER WEALTH ADVISORS,LLC - CCO/ IAR / OWNER - LOS ANGELES, CA (2) AXXCESS WEALTH MANAGEMENT,LLC- IAR - LOS ANGELES, CA



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
Regulatory Event	1
Customer Dispute	2

Regulatory Event

This disclosure event may include a final, formal proceeding initiated by a regulatory authority (e.g., a state securities agency, a federal regulator such as the Securities and Exchange Commission or the Commodities Futures Trading Commission, or a foreign financial regulatory body) for a violation of investment-related rules or regulations. This disclosure event may also include a revocation or suspension of an Investment Adviser Representative's authority to act as an attorney, accountant or federal contractor.

Disclosure 1 of 1

Reporting Source: Regulator

Regulatory Action Initiated By: FINRA

Sanction(s) Sought:

Date Initiated: 10/19/2022

Docket/Case Number: [2019061442701](#)

Employing firm when activity occurred which led to the regulatory action: WELLS FARGO CLEARING SERVICES, LLC

Product Type: No Product

Allegations: Without admitting or denying the findings, Blosser consented to the sanction and to the entry of findings that he refused to provide on-the-record testimony requested by FINRA in connection with its investigation of trading in preferred stock and closed-end funds. The findings stated that the request for testimony related to Blosser's trading in customer accounts, including purchasing and selling preferred stock and closed-end funds, and Blosser's member firm's supervision of such activity.

Current Status: Final

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:

10/19/2022

Sanctions Ordered:

Bar (Permanent)

If the regulator is the SEC, CFTC, or an SRO, did the action result in a finding of a willful violation or failure to supervise?

No

(1) willfully violated any provision of the Securities Act of 1933, the Securities Exchange Act of 1934, the Investment Advisers Act of 1940, the Investment Company Act of 1940, the Commodity Exchange Act, or any rule or regulation under any of such Acts, or any of the rules of the Municipal Securities Rulemaking Board, or to have been unable to comply with any provision of such Act, rule or regulation?

(2) willfully aided, abetted, counseled, commanded, induced, or procured the violation by any person of any provision of the Securities Act of 1933, the Securities Exchange Act of 1934, the Investment Advisers Act of 1940, the Investment Company Act of 1940, the Commodity Exchange Act, or any rule or regulation under any of such Acts, or any of the rules of the Municipal Securities Rulemaking Board? or



(3) failed reasonably to supervise another person subject to your supervision, with a view to preventing the violation by such person of any provision of the Securities Act of 1933, the Securities Exchange Act of 1934, the Investment Advisers Act of 1940, the Investment Company Act of 1940, the Commodity Exchange Act, or any rule or regulation under any such Acts, or any of the rules of the Municipal Securities Rulemaking Board?

Sanction 1 of 1

Sanction Type: Bar (Permanent)

Capacities Affected: All Capacities

Duration: Indefinite

Start Date: 10/19/2022

End Date:

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Reporting Source: Individual
Regulatory Action Initiated By: Financial Industry Regulatory Authority

Sanction(s) Sought: Bar

Date Initiated: 10/19/2022

Docket/Case Number: [2019061442701](#)

Employing firm when activity occurred which led to the regulatory action: Wells Fargo

Product Type: Equity Listed (Common & Preferred Stock)

Allegations: Without admitting or denying the findings, Blosser consented to the sanction and to the entry of findings that he refused to provide on-the-record testimony requested by FINRA in connection with its investigation of trading in preferred stock and closed-end funds. The findings stated that the request for testimony related to Blosser's trading in customer accounts, including purchasing and selling preferred stock and closed-end funds, and Blosser's member firm's supervision of such activity.

Current Status: Final

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:

10/19/2022

Sanctions Ordered:

Bar (Permanent)

Sanction 1 of 1

Sanction Type:

Bar (Permanent)

Capacities Affected:

All Capacities

Duration:

Start Date:

10/19/2022

End Date:

Broker Statement

I was approached by FINRA in June, 2022 with a request to provide an on the record testimony related to an investigation they were doing of Wells Fargo. I was told that this investigation dealt with events that occurred at Wells Fargo during 2017, 5 years prior to when they approached me for testimony. In my 30 year career as an advisor, I have had 2 minor customer complaints, one was denied and one was recanted by the client who is actually still a client. I have had no other customer disputes, complaints, or lawsuits and have never been disciplined or sanctioned by any regulatory body prior to this FINRA action. Since I had already voluntarily gave up my brokerage license in 2021, before I received notice of FINRA 's investigation, I did not want the hassle, distraction and expense associated with responding to FINRA. I decided to accept a bar from FINRA and the brokerage industry, since I already decided not to engage in activities with clients that would require me to be a registered representative of a broker dealer. In October 2022, I voluntarily decided to accept and sign a Letter of Acceptance, Waiver and Consent with the Financial Industry Regulatory Authority (FINRA). As part of this settlement, I voluntarily agreed to a bar from being a registered representative of a broker dealer. The reason for the bar was my decision not to testify pursuant to FINRA Rule 8210 and participate in an investigation FINRA was conducting regarding Wells Fargo, a broker dealer I was affiliated with from 2015 to 2019. There were no complaints from clients related to this FINRA investigation and there were no findings as part of this FINRA investigation with respect to any of my conduct with clients at Wells Fargo or elsewhere. This is a license, and these are transactions, that I stopped using when he became an independent advisor at Pathfinder and was no longer employed by a broker dealer. At that time, I chose to concentrate on my registered investment advisory practice, where I am a fiduciary and fee-based advisor and not work with clients as a registered representative requiring a broker dealer.



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 2

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	UBS FINANCIAL SERVICES INC.
Allegations:	THE CLIENT ALLEGES A FAILURE TO FOLLOW INSTRUCTIONS. TIME FRAME: JANUARY 3, 2011 TO JANUARY 23, 2015.
Product Type:	Options
Alleged Damages:	\$0.00
Alleged Damages Amount Explanation (if amount not exact):	CLIENT DID NOT MAKE A CLAIM FOR DAMAGES
Is this an oral complaint?	No
Is this a written complaint?	Yes
Is this an arbitration/CFTC reparation or civil litigation?	No

Customer Complaint Information

Date Complaint Received:	02/03/2015
Complaint Pending?	No
Status:	Settled
Status Date:	02/03/2015
Settlement Amount:	\$16,555.25
Individual Contribution Amount:	\$0.00

Broker Statement	BY EMAIL DATED MARCH 4, 2015, THE CLIENT STATES THAT HE "FEELS REALLY BAD ABOUT THE THINGS I SAID IN THERE", REFERRING TO THE COMPLAINT EMAIL THE CLIENT SENT ON JANUARY 23, 2015. CLIENT FURTHER STATES THAT HIS "MIND WAS CLOUDY" AND HE REACTED IN A WAY THAT WAS "WAY OUT OF CHARACTER." HE STATES, " I WANT TO APOLOGIZE TO YOU FOR THE TONE OF THE LETTER AND ASK YOU TO FORGIVE/FORGET SOME OF THE THINGS I SAID IN THE EMAIL. I HAVE A 19 YEAR RELATIONSHIP WITH YOU? AND THIS IS NOT THE WAY I WOULD WANT TO COMMUNICATE WITH YOU , EVER. MY RELATIONSHIP IS WITH YOU AND NOT THE BANK AND YOU HAVE BEEN GOOD TO ME OVER THE YEARS. ADDITIONALLY, I REALLY APPRECIATE WHAT YOU DID TO RECTIFY THE SITUATION AND YOUR DESIRE TO ADDRESS MY SITUATION SAYS A LOT ABOUT YOUR CHARACTER. I REALIZED THIS AFTER THE FACT BUT HOPE YOU CAN FORGET MY EMAIL EVER HAPPENED. IT IS MY INTENTION TO STAY WITH YOU FOR MANY YEARS TO COME AND HOPEFULLY AS MY
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EXISTING COMPANY PROSPERS, I PLAN TO PUT IT IN YOUR CAPABLE HANDS."

Disclosure 2 of 2

Reporting Source:

Individual

Employing firm when activities occurred which led to the complaint:

MORGAN STANLEY & CO. INCORPORATED

Allegations:

COMPLAINT ALLEGES, INTER ALIA, THAT BROKER BREACHED FIDUCIARY DUTY BY ALLOWING CUSTOMER TO PLACE SHORT SALE TRADES IN JUNE 2004. ALLEGED COMPENSATORY DAMAGE AMOUNT: NOT STATED BUT BELIEVED TO EXCEED \$5,000.

Product Type:

Equity Listed (Common & Preferred Stock)

Alleged Damages:

\$0.00

Customer Complaint Information

Date Complaint Received:

01/11/2005

Complaint Pending?

No

Status:

Denied

Status Date:

02/02/2005

Settlement Amount:

Individual Contribution Amount:



End of Report

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