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IAPD Report

SCOTT ALLEN GIDLEY

CRD# 1816532

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

SCOTT ALLEN GIDLEY (CRD# 1816532)

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 **12/12/2025**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	UNITED PLANNERS' FINANCIAL SERVICES OF AMERICA A LIMITED PARTNER	CRD# 20804	12/20/2006
IA	UNITED PLANNERS' FINANCIAL SERVICES OF AMERICA A LIMITED PARTNER	CRD# 20804	01/04/2007

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **6** 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	AIG FINANCIAL ADVISORS, INC.	133763	AUSTIN, TX	10/31/2005 - 01/08/2007
IA	AIG FINANCIAL ADVISORS, INC.	133763	AUSTIN, TX	10/31/2005 - 01/08/2007
IA	SUNAMERICA SECURITIES, INC.	20068	AUSTIN, TX	07/31/2003 - 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? **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 **6** jurisdiction(s) and 1 SRO(s) through his or her employer(s).

Employment 1 of 1

Firm Name: **UNITED PLANNERS' FINANCIAL SERVICES OF AMERICA A LIMITED PARTNER**

Main Address: 7333 EAST DOUBLETREE RANCH RD, SUITE 120
SCOTTSDALE, AZ 85258

Firm ID#: 20804

	Regulator	Registration	Status	Date
B	FINRA	General Securities Principal	Approved	12/20/2006
B	FINRA	General Securities Representative	Approved	12/20/2006
B	California	Agent	Approved	12/20/2006
B	Indiana	Agent	Approved	09/17/2012
B	North Carolina	Agent	Approved	01/04/2021
B	Texas	Agent	Approved	12/20/2006
IA	Texas	Investment Adviser Representative	Approved	01/26/2007
B	Virginia	Agent	Approved	12/20/2006
B	Wisconsin	Agent	Approved	12/20/2006

Branch Office Locations

UNITED PLANNERS' FINANCIAL SERVICES OF AMERICA A LIMITED PARTNER
507 COPPERLEAF RD
AUSTIN, TX 78734

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, 3 general industry/product exams, and 2 state securities law exams.

Principal/Supervisory Exams

	Exam	Category	Date
B	General Securities Principal Examination (S24)	Series 24	12/18/2000
B	Investment Company Products/Variable Contracts Principal Examination (S26)	Series 26	01/06/1999

General Industry/Product Exams

	Exam	Category	Date
B	Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
B	General Securities Representative Examination (S7)	Series 7	10/17/2000
B	Investment Company Products/Variable Contracts Representative Examination (S6)	Series 6	10/16/1989

State Securities Law Exams

	Exam	Category	Date
IA	Uniform Investment Adviser Law Examination (S65)	Series 65	07/09/1996
B	Uniform Securities Agent State Law Examination (S63)	Series 63	06/16/1988

PROFESSIONAL DESIGNATIONS

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

No information reported.

Only professional designations listed in Question 8 of the Form U4 will appear in this section if the appropriate box is checked and verified by the issuing organization at the time of the filing. Learn more about eligible designations at IARD and NASAA.

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 - 01/08/2007	AIG FINANCIAL ADVISORS, INC.	CRD# 133763	AUSTIN, TX
IA	10/31/2005 - 01/08/2007	AIG FINANCIAL ADVISORS, INC.	CRD# 133763	AUSTIN, TX
IA	07/31/2003 - 10/31/2005	SUNAMERICA SECURITIES, INC.	CRD# 20068	AUSTIN, TX
B	07/25/2003 - 10/31/2005	SUNAMERICA SECURITIES, INC.	CRD# 20068	PHOENIX, AZ
IA	06/25/2002 - 04/25/2003	CARILLON INVESTMENTS, INC	CRD# 14646	AUSTIN, TX
B	05/24/2002 - 04/25/2003	CARILLON INVESTMENTS, INC.	CRD# 14646	CINCINNATI, OH
IA	10/17/2001 - 06/19/2002	EASTERN POINT ADVISORS INC.	CRD# 107123	AUSTIN, TX
B	09/18/2001 - 06/19/2002	INVESTORS CAPITAL CORP.	CRD# 30613	LYNNFIELD, MA
B	10/01/1997 - 09/14/2001	LINSCO/PRIVATE LEDGER CORP.	CRD# 6413	FORT MILL, SC
B	10/18/1989 - 10/17/1997	EQ FINANCIAL CONSULTANTS, INC.	CRD# 6627	NEW YORK, NY
B	10/18/1989 - 10/17/1997	THE EQUITABLE LIFE ASSURANCE SOCIETY OF THE UNITED STATES	CRD# 4039	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
10/2021 - Present	MedLakeway	Insurance Agent	Y	Austin, TX, United States
01/2016 - Present	Charitable Financial Partners	President	Y	Fort Wayne, IN, United States
01/2016 - Present	Charitable Financial Partners	President	N	Fort Wayne, IN, United States

Registration & Employment History

EMPLOYMENT HISTORY

Employment Dates	Employer Name	Position	Investment Related	Employer Location
08/2008 - Present	Stavreti Scholarship, Inc.	President	N	Fort Wayne, IN, United States
12/2006 - Present	UNITED PLANNERS' FINANCIAL SERVICES OF AMERICA	REG REP	Y	SCOTTSDALE, AZ, United States
09/1997 - Present	AUSTIN FINANCIAL STRATEGIES	AGENT / REP - PRESIDENT	Y	AUSTIN, TX, United States
02/1988 - Present	scott gidley	insurance agent	Y	austin, TX, 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.) AUSTIN FINANCIAL STRATEGIES - PRESIDENT - DBA NAME FOR MARKETING PURPOSES ONLY - AUSTIN, TX - SINCE 09/1997 - INVESTMENT RELATED
2.) CHARITABLE FINANCIAL PARTNERS - PRESIDENT - DBA NAME FOR MARKETING PURPOSES ONLY - SINCE 01/2016 - FORT WAYNE, IN - INVESTMENT RELATED
3.) STAVRETI SCHOLARSHIP, INC. - PRESIDENT - SCHOLARSHIP ESTABLISHED AT THE HIGH SCHOOL FROM WHICH I GRADUATED DEDICATED TO THE LEGENDARY BASEBALL COACH, CHRIS STAVRETI. A $2,000 SCHOLARSHIP IS AWARDED ANNUALLY TO A GRADUATING SENIOR OF THE VARSITY BASEBALL TEAM - FORT WAYNE, IN - SINCE 08/2008 - NOT INVESTMENT RELATED
4.) SCOTT GIDLEY - INSURANCE AGENT - NON-VARIABLE INSURANCE - AUSTIN, TX - SINCE 02/1988 - INVESTMENT RELATED
5.) MEDLAKEWAY - INSURANCE AGENT - DBA NAME FOR MARKETING PURPOSES - AUSTIN, TX - SINCE 10/2021 - INVESTMENT RELATED

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

Reporting Source: Firm

Employing firm when activities occurred which led to the complaint: CARILLON INVESTMENTS, INC.

Allegations: CLIENT ALLEGES THAT SALES OF VARIABLE ANNUITIES WERE UNSUITABLE AND REQUEST REFUND OF INVESTMENT LOSSES INCURRED DURING THE FREE-LOOK PERIOD. BROKER-DEALER REVIEWED ALL FACTS OF COMPLAINT AND SENT FORMAL LETTER OF DENIAL TO CUSTOMER ON MARCH 28, 2003.

Product Type: Annuity(ies) - Variable

Alleged Damages: $26,909.71

Customer Complaint Information

Date Complaint Received: 03/06/2003

Complaint Pending? No

Status: Closed/No Action
Denied

Status Date: 06/13/2003

Settlement Amount:

Individual Contribution Amount:

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint:	CARILLON INVESTMENTS, INC.
Allegations:	CLIENT ALLEGED THAT SALES OF VARIABLE ANNUITIES WERE UNSUITABLE AND REQUESTED REFUND OF INVESTMENT LOSSES INCURRED DURING THE FREE-LOOK PERIOD. BROKER-DEALER REVIEWED ALL THE FACTS AND DOCUMENTS RELATED TO THE COMPLAINT AND SENT A FORMAL LETTER OF DENIAL TO THE CUSTOMER ON MARCH 28, 2003.
Product Type:	Annuity(ies) - Variable
Alleged Damages:	$26,909.71

Customer Complaint Information

Date Complaint Received:	03/06/2003
Complaint Pending?	No
Status:	Closed/No Action Denied
Status Date:	06/13/2003
Settlement Amount:	
Individual Contribution Amount:	
Broker Statement	BROKER-DEALER DIRECTLY TRANSMITTED TO THE NASD ON 03/31/03 A FALSE AND INACCURATE FORM U-4 RELATIVE TO THIS CUSTOMER COMPLAINT WITHOUT THE KNOWLEDGE AND SIGNATURE OF GIDLEY. WHEN GIDLEY DISCOVERED THIS DAMAGING ACT IN MID-MAY 2003, GIDLEY PROTESTED AND APPEALED TO THE BROKER-DEALER, THE NASD DISTRICT OFFICE, AND THE NASD OMBUDSMAN. BROKER-DEALER AGREED TO CORRECT THE STATUS AND FACTS ON 06/13/03, AND FINALLY SUBMITTED AN AMENDMENT/CORRECTION ON THIS COMPLAINT TO THE NASD BY WAY OF A FORM U-5 ON 07/11/03.

End of Report

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