



IAPD Report

TODD ANTHONY HEATH-HAZLETT

CRD# 2203723

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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

TODD ANTHONY HEATH-HAZLETT (CRD# 2203723)

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 **12/08/2025**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
IA	TODD WEALTH MANAGEMENT LLC	CRD# 164761	08/06/2012

QUALIFICATIONS

This representative is currently registered in **0** SRO(s) and **3** 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	FIRST SECURITY CAPITAL MANAGEMENT LLC	148345	VENICE, FL	09/14/2018 - 12/31/2025
B	J.W. COLE FINANCIAL, INC.	124583	VENICE, FL	08/21/2012 - 05/31/2019
IA	J. W. COLE ADVISORS, INC.	112294	TAMPA, FL	08/19/2013 - 12/27/2016

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

Employment 1 of 1

Firm Name: **TODD WEALTH MANAGEMENT LLC**
Main Address: 249 NOKOMIS AVE S
VENICE, FL 34285
Firm ID#: 164761

	Regulator	Registration	Status	Date
	California	Investment Adviser Representative	Approved	08/16/2012
	Florida	Investment Adviser Representative	Approved	08/17/2012
	Pennsylvania	Investment Adviser Representative	Approved	08/06/2012

Branch Office Locations

TODD WEALTH MANAGEMENT LLC
249 NOKOMIS AVE S
VENICE, FL 34285




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 1 principal/supervisory exam, 3 general industry/product exams, and 2 state securities law exams.



Principal/Supervisory Exams

	Exam	Category	Date
	General Securities Principal Examination (S24)	Series 24	02/23/2001

General Industry/Product Exams

	Exam	Category	Date
	Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
	General Securities Representative Examination (S7)	Series 7	05/06/1999
	Investment Company Products/Variable Contracts Representative Examination (S6)	Series 6	06/02/1997

State Securities Law Exams

	Exam	Category	Date
	Uniform Investment Adviser Law Examination (S65)	Series 65	03/07/2000
	Uniform Securities Agent State Law Examination (S63)	Series 63	06/02/1997

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	09/14/2018 - 12/31/2025	FIRST SECURITY CAPITAL MANAGEMENT LLC	CRD# 148345	VENICE, FL
B	08/21/2012 - 05/31/2019	J.W. COLE FINANCIAL, INC.	CRD# 124583	VENICE, FL
IA	08/19/2013 - 12/27/2016	J. W. COLE ADVISORS, INC.	CRD# 112294	TAMPA, FL
B	06/03/2011 - 08/21/2012	BROKERSXPRESS LLC	CRD# 127081	PITTSBURGH, PA
IA	06/03/2011 - 08/21/2012	BROKERSXPRESS LLC	CRD# 127081	PITTSBURGH, PA
IA	01/15/2002 - 06/07/2011	SECURITIES AMERICA ADVISORS, INC.	CRD# 110518	PITTSBURGH, PA
B	09/22/2000 - 06/07/2011	SECURITIES AMERICA, INC.	CRD# 10205	PITTSBURGH, PA
B	04/01/1999 - 09/14/2000	THE CODRICK FINANCIAL GROUP, INC.	CRD# 18312	GREENSBURG, PA
B	07/21/1997 - 09/08/1998	OLDE ECONOMIE FINANCIAL CONSULTANTS, LTD.	CRD# 21304	BADEN, PA
B	02/26/1992 - 08/16/1994	METLIFE SECURITIES INC.	CRD# 14251	SPRINGFIELD, MA
B	02/26/1992 - 08/16/1994	METROPOLITAN LIFE INSURANCE COMPANY	CRD# 4095	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
07/2012 - Present	TODD WEALTH MANAGEMENT LLC	CEO/CCO/IAR	Y	Venice, FL, United States
07/2018 - 12/2025	First Security Capital Management	Investment Advisor Representative	Y	Venice, FL, United States
08/2012 - 05/2019	J.W. COLE FINANCIAL, INC.	REGISTERED REPRESENTATIVE	Y	TAMPA, FL, United States



Registration & Employment History

EMPLOYMENT HISTORY

Employment Dates	Employer Name	Position	Investment Related	Employer Location
08/2013 - 12/2016	J.W. COLE ADVISORS, INC.	INVESTMENT ADVISOR REPRESENTATIVE	Y	TAMPA, FL, 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) Todd Heath-Hazlett is a licensed insurance agent (Insurance License # P216750) engaged in the sale of fixed annuities or life insurance. Mr. Heath-Hazlett spends less than five (5) hours per month on these activities, approximately half of which are during trading hours. Investment related.

(2) Sole owner of TWM Wealth Management, Inc. a self-directed retirement account which owns through purchase of shares, First Security Capital Management LLC. Start date May 2018. Non-investment related.

(3) TWM Wealth Management, LLC is a limited liability company created by Mr. Heath-Hazlett's self-directed IRA to hold ownership of First Security Capital Management. Start date June 2018. Non-investment related.

(4) President and IAR of First Security Management LLC, an RIA in Venice, FL. Start date July 2018, investment related, 15 hours per month during trading hours managing client portfolios.

(5) One-third LLC member of Nokomis Avenue Investments, LLC, which owns the property at 249 Nokomis Ave South, Venice, FL. an office building which is partially occupied by Todd Wealth Management LLC. Start date August 2020. Non-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	2

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:	SECURITIES AMERICA, INC.
Allegations:	CLIENT ALLEGES THE GE VA POLICY WAS MISREPRESENTED BECAUSE THE REP STATED A GUARANTEE 10% RETURN AND THE POLICY DELIVERY REQUIREMENTS WERE NOT FOLLOWED.
Product Type:	Annuity(ies) - Variable
Alleged Damages:	\$9,566.88

Customer Complaint Information

Date Complaint Received:	12/28/2004
Complaint Pending?	No
Status:	Closed/No Action
Status Date:	01/21/2005

Settlement Amount:

Individual Contribution Amount:

Broker Statement CUSTOMER FILED HER COMPLAINT WITH GENWORTH FINANCIAL, FORMERLY GE FINANCIAL AND THEY ARE HANDLING THE INVESTIGATION INTO THE ALLEGATIONS. MR. HAZLETT HAS PROVIDED GENWORTH WITH A WRITTEN STATEMENT DENYING THE ALLEGATIONS OF MISREPRESENTATION AND NON-DELIVERY OF POLICY. 3/23/05 GE ALLOWED THE CLIENT TO EXERSICE HER FREE LOOK



PROVISION FROM THE DATE THEY ISSUED A COPY OF THE POLICY. CLIENT DID EXERCISE HER FREE LOOK AND GE RETURNED HER FULL PREM OF \$48,740.18. MR HEATH-HAZLETT RETURNED COMMISSION EARNED TO GE.

Disclosure 2 of 2

Reporting Source: Firm

Employing firm when activities occurred which led to the complaint: METLIFE

Allegations: THE CUSTOMER ALLEGED THAT MR. HEATH-HAZLETT MISREPRESENTED THE SALE OF A VARIABLE UNIVERSAL LIFE INSURANCE POLICY BY STATING THAT NO ADDITIONAL PREMIUMS WOULD BE REQUIRED AND GUARANTEED A MINIMUM RETURN OF 4% ON THE PERFORMANCE OF THE POLICY'S SEPARATE ACCOUNT.

Product Type:

Alleged Damages:

Customer Complaint Information

Date Complaint Received: 08/24/1994

Complaint Pending? No

Status: Settled

Status Date: 10/10/1994

Settlement Amount:

Individual Contribution Amount:

Firm Statement THE CUSTOMER'S REQUEST FOR A FULL REFUND OF PREMIUMS PAID WAS HONORED.
N/A

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: METLIFE

Allegations: NOT PROVIDED

Product Type:

Alleged Damages:

Customer Complaint Information

Date Complaint Received: 08/24/1994

Complaint Pending? No

Status: Settled

Status Date: 10/10/1994



Settlement Amount:

Individual Contribution Amount:

Broker Statement

CUSTOMER REFUNDED GROSS DEPOSITS \$25,000.00
AGENT CREATED OR ATTEMPTED TO CREAT A COMPLAINT
FILED BY THE CLIENT WITH THE COMPLAINT THAT I GUARANTEED OR
INFORMED THEM THEY HAD A GUARANTEED MINIMUM ON THEIR
CONTRACTS
(VARIABLE LIFE) THIS WAS DONE TO REFUND PREMIUMS PAID ON THEIR
CONTRACTS, THEN THE AGENT WITH THE RESCINDED PREMIUMS SOLD
THEM
WHOLE LIFE POLICIES, THEREBY EARNING A NEW COMMISSION, I NEVER
MADE SUCH STATEMENTS.



End of Report

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