



## IAPD Report

# TIMOTHY MARK WOLFE

CRD# 2233933

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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

### TIMOTHY MARK WOLFE (CRD# 2233933)

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 **03/11/2026**.

### CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
<b>B</b>	OSAIC WEALTH, INC.	CRD# 23131	11/03/2023
<b>IA</b>	OSAIC WEALTH, INC.	CRD# 23131	11/03/2023

### QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **26** 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>IA</b>	FSC SECURITIES CORPORATION	7461	LUBBOCK, TX	04/09/2007 - 11/03/2023
<b>B</b>	FSC SECURITIES CORPORATION	7461	LUBBOCK, TX	03/23/2007 - 11/03/2023
<b>B</b>	NATIONAL PLANNING CORPORATION	29604	LUBBOCK, TX	02/03/2000 - 02/23/2007

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
Termination	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 **26** 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 Principal	Approved	11/03/2023
B	FINRA	General Securities Representative	Approved	11/03/2023
B	FINRA	Invest. Co and Variable Contracts	Approved	11/03/2023
B	FINRA	Investment Co./Variable Contracts Prin	Approved	11/03/2023
B	FINRA	Municipal Fund	Approved	11/03/2023
B	Alabama	Agent	Approved	11/03/2023
IA	Alabama	Investment Adviser Representative	Approved	11/03/2023
B	Arizona	Agent	Approved	11/03/2023
B	Arkansas	Agent	Approved	11/03/2023
IA	Arkansas	Investment Adviser Representative	Approved	11/03/2023
B	California	Agent	Approved	11/03/2023
B	Colorado	Agent	Approved	11/03/2023
B	Florida	Agent	Approved	11/03/2023



### Qualifications

Regulator	Registration	Status	Date
IA Florida	Investment Adviser Representative	Approved	11/03/2023
B Georgia	Agent	Approved	11/03/2023
IA Georgia	Investment Adviser Representative	Approved	11/03/2023
B Indiana	Agent	Approved	05/30/2025
B Iowa	Agent	Approved	11/03/2023
B Kansas	Agent	Approved	11/03/2023
B Kentucky	Agent	Approved	11/03/2023
B Louisiana	Agent	Approved	11/03/2023
IA Louisiana	Investment Adviser Representative	Approved	11/03/2023
B Maryland	Agent	Approved	11/03/2023
B Missouri	Agent	Approved	11/03/2023
B New Mexico	Agent	Approved	11/03/2023
IA New Mexico	Investment Adviser Representative	Approved	11/03/2023
B New York	Agent	Approved	11/03/2023
B North Carolina	Agent	Approved	11/03/2023
B Oklahoma	Agent	Approved	11/03/2023
B Oregon	Agent	Approved	12/22/2023
B Pennsylvania	Agent	Approved	11/03/2023
B South Dakota	Agent	Approved	11/03/2023



### Qualifications

Regulator	Registration	Status	Date
<b>B</b> Tennessee	Agent	Approved	05/29/2024
<b>B</b> Texas	Agent	Approved	11/03/2023
<b>IA</b> Texas	Investment Adviser Representative	Approved	11/03/2023
<b>B</b> Virginia	Agent	Approved	11/03/2023
<b>B</b> Washington	Agent	Approved	11/03/2023
<b>B</b> Wisconsin	Agent	Approved	11/03/2023

### Branch Office Locations

**OSAIC WEALTH, INC.**  
5111 80TH STREET  
LUBBOCK, TX 79424



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

#### Principal/Supervisory Exams

	Exam	Category	Date
<b>B</b>	Municipal Fund Securities Principal Examination (S51)	Series 51	07/11/2003
<b>B</b>	General Securities Principal Examination (S24)	Series 24	06/01/2000
<b>B</b>	Investment Company Products/Variable Contracts Principal Examination (S26)	Series 26	03/15/1995

#### General Industry/Product Exams

	Exam	Category	Date
<b>B</b>	Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
<b>B</b>	General Securities Representative Examination (S7)	Series 7	11/24/1998
<b>B</b>	Investment Company Products/Variable Contracts Representative Examination (S6)	Series 6	05/08/1992

#### State Securities Law Exams

	Exam	Category	Date
<b>IA</b> <b>B</b>	Uniform Combined State Law Examination (S66)	Series 66	01/27/2006
<b>IA</b>	Uniform Investment Adviser Law Examination (S65)	Series 65	11/02/1998
<b>B</b>	Uniform Securities Agent State Law Examination (S63)	Series 63	05/08/1992



## 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	04/09/2007 - 11/03/2023	FSC SECURITIES CORPORATION	CRD# 7461	LUBBOCK, TX
B	03/23/2007 - 11/03/2023	FSC SECURITIES CORPORATION	CRD# 7461	LUBBOCK, TX
B	02/03/2000 - 02/23/2007	NATIONAL PLANNING CORPORATION	CRD# 29604	LUBBOCK, TX
B	12/16/1994 - 02/09/2000	SUNAMERICA SECURITIES, INC.	CRD# 20068	PHOENIX, AZ
B	08/06/1992 - 12/15/1994	GUARDIAN INVESTOR SERVICES CORPORATION	CRD# 6635	NEW YORK, NY
B	05/11/1992 - 06/08/1992	MIMLIC SALES CORPORATION	CRD# 15296	ST. PAUL, MN

### 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
11/2023 - Present	OSAIC WEALTH, INC.	Mass Transfer	Y	LUBBOCK, TX, United States
03/2007 - 11/2023	FSC SECURITIES CORPORATION	REGISTERED REPRESENTATIVE	Y	LUBBOCK, 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. FIANACIAL GROUP OF THE SOUTHWEST

POSITION: Other - Participant NATURE: Corporation - INVESTMENT RELATED: Yes NUMBER OF HOURS: 2 SECURITIES TRADING HOURS: 0 START DATE: 06/01/1993 ADDRESS: 5111 80th St, Lubbock TX 79424, United States DESCRIPTION: DBA

#### 2. FINANCIAL GROUP OF THE SOUTHWEST

POSITION: Owner - NATURE: Corporation - INVESTMENT RELATED: Yes NUMBER OF HOURS: 2 SECURITIES TRADING HOURS: 2 START DATE: 05/01/1992 ADDRESS: 5111 80th St, Lubbock TX 79424, United States DESCRIPTION: Life, Long Term Care and Disability insurance sales to clients who have the need. All commissions are paid through FSC.



## Registration & Employment History



### OTHER BUSINESS ACTIVITIES

**3. FINANCIALGROUP OF THE SOUTHWEST**

POSITION: Other - Vice President NATURE: Corporation - INVESTMENT RELATED: Yes NUMBER OF HOURS: 0 SECURITIES TRADING HOURS: 0 START DATE: 06/01/1992  
ADDRESS: 5111 80th St, Lubbock TX 79424, United States  
DESCRIPTION: This is our DBA

**4. PATHWAYS FINANCIAL GROUP, LLC, INVESTMENT RELATED, 5659 WEST MICHIGAN KALAMAZOO, MI 49009, PARTICIPANT, 1/25/2010, 2 HRS/MO, 0 DURING TRADING HRS, NO DUTIES.**

**5. M3L HOLDINGS LLC**

POSITION: Owner NATURE: Real Estate holding company for my office building INVESTMENT RELATED: No NUMBER OF HOURS: 1 SECURITIES TRADING HOURS: 1 START DATE: 01/23/2026  
ADDRESS: 6105 Elkhart, Lubbock TX 79424, United States  
DESCRIPTION: Owner of building



## 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
Termination	1

### Termination

This disclosure event involves a situation where the Investment Adviser Representative voluntarily resigned, was discharged or was permitted to resign after allegations were made that accused the Investment Adviser Representative of violating investment-related statutes, regulations, rules or industry standards of conduct; fraud or the wrongful taking of property; or failure to supervise in connection with investment-related statutes, regulations, rules or industry standards of conduct.

#### Disclosure 1 of 1

**Reporting Source:** Firm

**Firm Name:** NATIONAL PLANNING CORPORATION

**Termination Type:** Discharged

**Termination Date:** 02/09/2007

**Allegations:** REPRESENTATIVE ADMITTED TO COPYING A CLIENT'S SIGNATURE FOR USE ON A NEW FORM.

**Product Type:** Annuity(ies) - Variable

**Other Product Types:**

**Reporting Source:** Individual

**Firm Name:** NATIONAL PLANNING CORPORATION

**Termination Type:** Discharged

**Termination Date:** 02/09/2007

**Allegations:** VIOLATION OF FIRM POLICIES AND PROCEDURES - COPIED CUSTOMER SIGNATURE TO A NEW FORM

**Product Type:** Annuity(ies) - Variable

**Other Product Types:** MUTUAL FUNDS



## End of Report

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