



## IAPD Report

# TIMOTHY ARTHUR MELLON

CRD# 2442621

<b><u>Section Title</u></b>	<b><u>Page(s)</u></b>
Report Summary	1
Qualifications	2 - 5
Registration and Employment History	6 - 7
Disclosure Information	8

**i** 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

### TIMOTHY ARTHUR MELLON (CRD# 2442621)

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 **04/30/2026**.

### CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
<b>IA</b>	OSAIC ADVISORY SERVICES, LLC	CRD# 171070	10/01/2019
<b>B</b>	OSAIC WEALTH, INC.	CRD# 23131	08/23/2024

### QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **19** 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>B</b>	TRIAD ADVISORS LLC	25803	Greensboro, NC	10/01/2019 - 08/23/2024
<b>IA</b>	KESTRA ADVISORY SERVICES, LLC	283330	GREENSBORO, NC	04/20/2016 - 09/30/2019
<b>B</b>	KESTRA INVESTMENT SERVICES, LLC	42046	GREENSBORO, NC	08/21/2006 - 09/30/2019

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 **19** jurisdiction(s) and 1 SRO(s) through his or her employer(s).

### Employment 1 of 2

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	08/23/2024
<b>B</b>	FINRA	Invest. Co and Variable Contracts	Approved	08/23/2024
<b>B</b>	Arizona	Agent	Approved	08/23/2024
<b>B</b>	California	Agent	Approved	08/23/2024
<b>B</b>	Colorado	Agent	Approved	08/23/2024
<b>B</b>	Delaware	Agent	Approved	11/12/2025
<b>B</b>	Florida	Agent	Approved	08/23/2024
<b>B</b>	Georgia	Agent	Approved	08/23/2024
<b>B</b>	Indiana	Agent	Approved	08/23/2024
<b>B</b>	Maryland	Agent	Approved	08/23/2024
<b>B</b>	Nevada	Agent	Approved	08/23/2024
<b>B</b>	New Hampshire	Agent	Approved	04/30/2026
<b>B</b>	New Jersey	Agent	Approved	08/23/2024



### Qualifications

Regulator	Registration	Status	Date
<b>B</b> New York	Agent	Approved	08/23/2024
<b>B</b> North Carolina	Agent	Approved	08/23/2024
<b>B</b> Pennsylvania	Agent	Approved	08/23/2024
<b>B</b> South Carolina	Agent	Approved	08/23/2024
<b>B</b> Tennessee	Agent	Approved	01/23/2026
<b>B</b> Texas	Agent	Approved	08/23/2024
<b>B</b> Virginia	Agent	Approved	08/23/2024
<b>B</b> Wisconsin	Agent	Approved	08/23/2024

### Branch Office Locations

**OSAIC WEALTH, INC.**  
 900 OLD WINSTON ROAD  
 SUITE 114  
 KERNERSVILLE, NC 27284

### Employment 2 of 2

Firm Name: **OSAIC ADVISORY SERVICES, LLC**  
 Main Address: 2300 WINDY RIDGE PARKWAY  
 SUITE 750  
 ATLANTA, GA 30339  
 Firm ID#: 171070

Regulator	Registration	Status	Date
<b>IA</b> Florida	Investment Adviser Representative	Approved	10/23/2019
<b>IA</b> North Carolina	Investment Adviser Representative	Approved	10/16/2019
<b>IA</b> Texas	Investment Adviser Representative	Restricted Approval	10/01/2019

### Branch Office Locations



## Qualifications

**OSAIC ADVISORY SERVICES, LLC**

701 Green Valley Road  
Suite 302  
Greensboro, NC 27408



## 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
------	----------	------

No information reported.

#### 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	06/05/1997
<b>B</b> Investment Company Products/Variable Contracts Representative Examination (S6)	Series 6	01/07/1994

#### State Securities Law Exams

Exam	Category	Date
------	----------	------

<b>IA</b> Uniform Investment Adviser Law Examination (S65)	Series 65	03/19/1997
<b>B</b> Uniform Securities Agent State Law Examination (S63)	Series 63	01/07/1994

### 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
B	10/01/2019 - 08/23/2024	TRIAD ADVISORS LLC	CRD# 25803	Greensboro, NC
IA	04/20/2016 - 09/30/2019	KESTRA ADVISORY SERVICES, LLC	CRD# 283330	GREENSBORO, NC
B	08/21/2006 - 09/30/2019	KESTRA INVESTMENT SERVICES, LLC	CRD# 42046	GREENSBORO, NC
IA	08/21/2006 - 09/22/2016	NFP ADVISOR SERVICES, LLC	CRD# 42046	GREENSBORO, NC
IA	12/31/2001 - 08/24/2006	NEW ENGLAND SECURITIES CORPORATION	CRD# 615	GREENSBORO, NC
B	05/10/2001 - 08/24/2006	NEW ENGLAND SECURITIES	CRD# 615	GREENSBORO, NC
B	01/14/1994 - 05/11/2001	PRUCO SECURITIES CORPORATION	CRD# 5685	NEWARK, NJ

#### 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
08/2024 - Present	OSAIC WEALTH, INC.	Mass Transfer	Y	Greensboro, NC, United States
10/2019 - Present	Triad Hybrid Solutions	Investment Advisor Representative	Y	Norcross, GA, United States
12/2000 - Present	GREEN VALLEY FINANCIAL	REGISTERED REP	Y	GREENSBORO, NC, United States
10/2019 - 08/2024	Triad Advisors	Registered Representative	Y	Norcross, GA, United States
04/2016 - 09/2019	KESTRA FINANCIAL SERVICES, INC	REGISTERED REP	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)Green Valley Financial;investment related;701 Green Valley Road, Suite 212, Greensboro, NC 27408;investment and



## Registration & Employment History



### OTHER BUSINESS ACTIVITIES

insurance;managing partner;2/2001;80 hrs/month;32.5 hrs during trading;financial education,selling financial products  
2)Hedge Farm,LLC;not investment related;169 Noriam Rd,Pilot Mountain,NC 27401;farm;owner;9/12/2012;20 hrs/month;0 hrs during trading;mowing fields,feeding animals,working in greenhouses  
3)Alamance Community College;investment related;1304 Plaza Drive,Burlington,NC 27215;financial education;instructor;3/17/2020;6 hrs/quarter;0 hrs during trading;instructor for FMT course material  
4)Buffalo Brothers;investment related;Raleigh,NC;restaurant;passive investor;5/2015;0 hrs/month;0 hrs during trading  
5)N.C. Grange Mutual;not investment related;2751 Patterson St,#2,Greensboro,NC 27407;specializes in providing property insurance in state of North Carolina;seat on board of directors;3/2022;20 minutes/month;1 minute/day;serve on board of directors for N.C. Grange Mutual  
6)GVF Properties, LLC;Investment related: yes; 701 Green Valley Road, Suite 212, Greensboro, NC 27408; Nature or Structure of Business: Passive Investments in Real Estate; Position: Managing Member; Start date: 05/11/2022; hours per month: 2; securities trading hours 0; Duties: Our intent with these investments is not intended to generate net positive income now. We would like to cover the debt/financing, insurance and taxes but then claim depreciation in the short run to offer current income taxes. Ultimately once the asset has been paid for we would look for future income and/or to liquidate at a profit and recognize as capital gains versus ordinary income  
7)HEDGE FARM,LLC  
POSITION: owner NATURE: farm INVESTMENT RELATED: No NUMBER OF HOURS: 20 SECURITIES TRADING HOURS: 0  
START DATE: 09/12/2012  
ADDRESS: 169 Noriam Rd, Suite 302, Pilot Mountain NC 27401, United States  
DESCRIPTION: mowing fields,feeding animals,working in greenhouses  
8)GREEN VALLEY FINANCIAL  
POSITION: managing partner NATURE: LLC INVESTMENT RELATED: Yes NUMBER OF HOURS: 80 SECURITIES TRADING HOURS: 32 START DATE: 01/01/2010  
ADDRESS: 900 old winston rd, Suite 114, Kernersville NC 27248, United States  
DESCRIPTION: Managing aum  
9) ME FINANCIAL,LLC DBA GREEN VALLEY FINANCIAL  
POSITION: managing partner NATURE: investments and insurance INVESTMENT RELATED: Yes NUMBER OF HOURS: 80 SECURITIES TRADING HOURS: 6 START DATE: 02/01/2001  
ADDRESS: 900 old winston road, Suite 114, Kernersville NC 27284, United States  
DESCRIPTION: financial education,selling financial products  
10)GUILFORD TECH COMMUNITY COLLEGE  
POSITION: instructor NATURE: financial education INVESTMENT RELATED: Yes NUMBER OF HOURS: 12 SECURITIES TRADING HOURS: 0 START DATE: 03/05/2020  
ADDRESS: 601 E. Main St, Suite 302, Jamestown NC 27282, United States  
DESCRIPTION: instructor for FMT course material



## 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>	Individual
<b>Employing firm when activities occurred which led to the complaint:</b>	Kestra Investment Services, LLC
<b>Allegations:</b>	Claimant alleges that the representative failed to disclose the illiquide nature of the assets invested in the equity indexed annuity.
<b>Product Type:</b>	Annuity-Variable
<b>Alleged Damages:</b>	\$250,000.00
<b>Is this an oral complaint?</b>	No
<b>Is this a written complaint?</b>	Yes
<b>Is this an arbitration/CFTC reparation or civil litigation?</b>	No

### Customer Complaint Information

<b>Date Complaint Received:</b>	05/08/2019
<b>Complaint Pending?</b>	No
<b>Status:</b>	Denied
<b>Status Date:</b>	05/08/2019

#### Settlement Amount:

**Individual Contribution Amount:**



## End of Report

This page is intentionally left blank.