



## IAPD Report

# Tracy Lyn Gallman

CRD# 2814720

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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

### Tracy Lyn Gallman (CRD# 2814720)

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 **05/11/2023**.

### CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
<b>B</b>	AXOS INVEST LLC	CRD# 172393	07/06/2021
<b>IA</b>	AXOS INVEST, INC	CRD# 150953	07/07/2021

### QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **51** 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>	PFS INVESTMENTS INC.	10111	DULUTH, GA	11/03/2016 - 06/07/2021
<b>IA</b>	PRIMERICA ADVISORS	10111	DULUTH, GA	11/03/2016 - 06/07/2021
<b>B</b>	ADVISER DEALER SERVICES, INC.	36773	DUBLIN, OH	12/13/2014 - 11/03/2016

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?

**No**




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

### Employment 1 of 2

Firm Name: **AXOS INVEST, INC**  
Main Address: 9205 W RUSSELL ROAD  
SUITE 400  
LAS VEGAS, NV 89148  
Firm ID#: 150953


	Regulator	Registration	Status	Date
	California	Investment Adviser Representative	Approved	07/07/2021
	Nevada	Investment Adviser Representative	Approved	03/09/2023
	Texas	Investment Adviser Representative	Restricted Approval	02/06/2023

### Branch Office Locations

**AXOS INVEST, INC**  
9205 W RUSSELL ROAD  
SUITE 400  
LAS VEGAS, NV 89148

### Employment 2 of 2

Firm Name: **AXOS INVEST LLC**  
Main Address: 9205 W RUSSELL ROAD  
SUITE 400  
LAS VEGAS, NV 89148  
Firm ID#: 172393

	Regulator	Registration	Status	Date
	FINRA	General Securities Representative	Approved	07/06/2021
	FINRA	Invest. Co and Variable Contracts	Approved	07/06/2021
	FINRA	Investment Co./Variable Contracts Prin	Approved	07/06/2021



## Qualifications

	Regulator	Registration	Status	Date
B	FINRA	Operations Professional	Approved	07/06/2021
B	FINRA	General Securities Principal	Approved	07/29/2022
B	Alabama	Agent	Approved	02/06/2023
B	Alaska	Agent	Approved	02/06/2023
B	Arizona	Agent	Approved	02/06/2023
B	Arkansas	Agent	Approved	02/06/2023
B	California	Agent	Approved	07/07/2021
B	Colorado	Agent	Approved	02/06/2023
B	Connecticut	Agent	Approved	02/06/2023
B	Delaware	Agent	Approved	02/06/2023
B	District of Columbia	Agent	Approved	02/06/2023
B	Florida	Agent	Approved	02/06/2023
B	Georgia	Agent	Approved	02/06/2023
B	Hawaii	Agent	Approved	02/06/2023
B	Idaho	Agent	Approved	02/06/2023
B	Illinois	Agent	Approved	02/06/2023
B	Indiana	Agent	Approved	02/06/2023
B	Iowa	Agent	Approved	02/06/2023
B	Kansas	Agent	Approved	02/06/2023



## Qualifications

	Regulator	Registration	Status	Date
B	Kentucky	Agent	Approved	02/06/2023
B	Louisiana	Agent	Approved	02/06/2023
B	Maine	Agent	Approved	02/06/2023
B	Maryland	Agent	Approved	02/06/2023
B	Massachusetts	Agent	Approved	02/06/2023
B	Michigan	Agent	Approved	02/06/2023
B	Minnesota	Agent	Approved	02/06/2023
B	Mississippi	Agent	Approved	02/06/2023
B	Missouri	Agent	Approved	02/06/2023
B	Montana	Agent	Approved	02/06/2023
B	Nebraska	Agent	Approved	02/06/2023
B	Nevada	Agent	Approved	02/06/2023
B	New Hampshire	Agent	Approved	02/06/2023
B	New Jersey	Agent	Approved	02/06/2023
B	New Mexico	Agent	Approved	02/06/2023
B	New York	Agent	Approved	11/16/2022
B	North Carolina	Agent	Approved	02/06/2023
B	North Dakota	Agent	Approved	02/06/2023
B	Ohio	Agent	Approved	02/06/2023



## Qualifications

Regulator	Registration	Status	Date
<b>B</b> Oklahoma	Agent	Approved	02/06/2023
<b>B</b> Oregon	Agent	Approved	02/06/2023
<b>B</b> Pennsylvania	Agent	Approved	02/06/2023
<b>B</b> Rhode Island	Agent	Approved	02/06/2023
<b>B</b> South Carolina	Agent	Approved	02/06/2023
<b>B</b> South Dakota	Agent	Approved	02/06/2023
<b>B</b> Tennessee	Agent	Approved	02/06/2023
<b>B</b> Texas	Agent	Approved	02/06/2023
<b>B</b> Utah	Agent	Approved	02/06/2023
<b>B</b> Vermont	Agent	Approved	02/06/2023
<b>B</b> Virginia	Agent	Approved	02/06/2023
<b>B</b> Washington	Agent	Approved	02/06/2023
<b>B</b> West Virginia	Agent	Approved	02/06/2023
<b>B</b> Wisconsin	Agent	Approved	02/06/2023
<b>B</b> Wyoming	Agent	Approved	02/06/2023

## Branch Office Locations

4350 LA JOLLA VILLAGE DR  
SAN DIEGO, CA 92122

4350 La Jolla Village Drive  
San Diego, CA 92122



## 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, 4 general industry/product exams, and 2 state securities law exams.**

#### Principal/Supervisory Exams

	Exam	Category	Date
B	General Securities Principal Examination (S24)	Series 24	07/29/2022
B	Investment Company Products/Variable Contracts Principal Examination (S26)	Series 26	01/03/2020

#### General Industry/Product Exams

	Exam	Category	Date
B	Operations Professional Examination (S99TO)	Series 99TO	01/02/2023
B	Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
B	General Securities Representative Examination (S7)	Series 7	12/07/1999
B	Investment Company Products/Variable Contracts Representative Examination (S6)	Series 6	04/15/1997

#### State Securities Law Exams

	Exam	Category	Date
IA	Uniform Investment Adviser Law Examination (S65)	Series 65	08/10/1998
B	Uniform Securities Agent State Law Examination (S63)	Series 63	01/10/1997



### 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
B	11/03/2016 - 06/07/2021	PFS INVESTMENTS INC.	CRD# 10111	DULUTH, GA
IA	11/03/2016 - 06/07/2021	PRIMERICA ADVISORS	CRD# 10111	DULUTH, GA
B	12/13/2014 - 11/03/2016	ADVISER DEALER SERVICES, INC.	CRD# 36773	DUBLIN, OH
IA	07/05/2013 - 11/10/2014	CAPITAL ADVISORS, INC.	CRD# 104643	POWAY, CA
B	05/19/2003 - 03/11/2013	LPL FINANCIAL LLC	CRD# 6413	SAN DIEGO, CA
IA	05/19/2003 - 03/11/2013	LPL FINANCIAL LLC	CRD# 6413	SAN DIEGO, CA
IA	04/08/2002 - 04/14/2003	RBC DAIN RAUSCHER INC.	CRD# 31194	SAN FRANCISCO, CA
B	01/23/2002 - 04/14/2003	RBC DAIN RAUSCHER INC.	CRD# 31194	NEW YORK, NY
B	04/25/1997 - 01/07/2002	NICHOLAS-APPLEGATE SECURITIES (A CALIFORNIA LIMITED PARTNERSHIP)	CRD# 31205	SAN DIEGO, CA

### 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
07/2021 - Present	AXOS INVEST, INC.	SVP	Y	LAS VEGAS, NV, United States
06/2021 - Present	AXOS INVEST LLC	Head of Invest Product Management	Y	LAS VEGAS, NV, United States
11/2016 - 06/2021	PRIMERICA FINANCIAL SERVICES	SENIOR VICE PRESIDENT	Y	DULUTH, GA, United States
03/2013 - 05/2019	GALLMAN CONSULTING GROUP	PRESIDENT	Y	POWAY, CA, United States
11/2014 - 11/2016	MEEDER INVESTMENT MANAGEMENT, INC.	CONSULTANT	Y	DUBLIN, OH, United States



## Registration & Employment History



### 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.

Axos Bank - Role, Supervise Premier Banking and Lending - Begining 2/2023 - Non-Investment Related - 80 Hours Per Month



## End of Report

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