



## IAPD Report

# ANTHONY WILLIAM HOSFELD

CRD# 2834666

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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

### ANTHONY WILLIAM HOSFELD (CRD# 2834666)

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 **02/18/2025**.

### CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
IA	OSAIC ADVISORY SERVICES, LLC	CRD# 171070	11/06/2019

### QUALIFICATIONS

This representative is currently registered in **0** SRO(s) and **13** 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	ADVOCACY WEALTH MANAGEMENT, LLC	141943	ATLANTA, GA	03/12/2012 - 12/05/2019
IA	CERTUS INVESTMENT ADVISORS, LLC	159221	ATLANTA, GA	11/01/2011 - 12/22/2014
IA	SAGE CAPITAL HOLDINGS, LLC	154306	ATLANTA, GA	03/24/2011 - 11/07/2013

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
Criminal	2
Customer Dispute	2
Financial	1
Judgment/Lien	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 **13** jurisdiction(s) and **0** SRO(s) through his or her employer(s).

### Employment 1 of 1

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

	Regulator	Registration	Status	Date
IA	California	Investment Adviser Representative	Approved	11/07/2019
IA	Colorado	Investment Adviser Representative	Approved	11/26/2019
IA	Florida	Investment Adviser Representative	Approved	01/15/2020
IA	Georgia	Investment Adviser Representative	Approved	11/25/2019
IA	Kansas	Investment Adviser Representative	Approved	11/25/2019
IA	Michigan	Investment Adviser Representative	Approved	11/12/2019
IA	New Mexico	Investment Adviser Representative	Approved	11/26/2019
IA	Ohio	Investment Adviser Representative	Approved	11/06/2019
IA	Oklahoma	Investment Adviser Representative	Approved	11/25/2019
IA	South Carolina	Investment Adviser Representative	Approved	11/25/2019
IA	Utah	Investment Adviser Representative	Approved	12/19/2019
IA	Washington	Investment Adviser Representative	Approved	11/26/2019
IA	West Virginia	Investment Adviser Representative	Approved	11/27/2019



## Qualifications

### Branch Office Locations

#### **OSAIC ADVISORY SERVICES, LLC**

1050 Crown Pointe Pky  
Suite 500  
Atlanta, GA 30338



## 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, 0 general industry/product exams, and 1 state securities law exam.**

#### Principal/Supervisory Exams

Exam	Category	Date
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No information reported.

#### General Industry/Product Exams

Exam	Category	Date
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No information reported.

#### State Securities Law Exams

Exam	Category	Date
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IA

Uniform Investment Adviser Law Examination (S65)

Series 65

02/01/1997



### 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	03/12/2012 - 12/05/2019	ADVOCACY WEALTH MANAGEMENT, LLC	CRD# 141943	ATLANTA, GA
IA	11/01/2011 - 12/22/2014	CERTUS INVESTMENT ADVISORS, LLC	CRD# 159221	ATLANTA, GA
IA	03/24/2011 - 11/07/2013	SAGE CAPITAL HOLDINGS, LLC	CRD# 154306	ATLANTA, GA
IA	06/02/2010 - 03/28/2011	SAGE SOUTHEASTERN SECURITIES, INC.	CRD# 144051	ATLANTA, GA
IA	11/29/2007 - 04/27/2010	FIRST LEGACY SECURITIES, LLC	CRD# 47079	HELENA, AL
IA	01/25/2006 - 11/26/2007	FTB ADVISORS, INC.	CRD# 17117	LAWRENCEVILLE, GA
IA	04/30/2003 - 12/19/2005	WACHOVIA SECURITIES, LLC	CRD# 19616	LILBURN, GA

### 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
11/2019 - Present	Triad Hybrid Solutions	Investment Advisor Representative	Y	Norcross, GA, United States
07/2011 - 11/2019	ADVOCACY WEALTH MANAGEMENT	REP	Y	ATLANTA, GA, 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)William and Wade Wealth,LLC;investment related;1050 Crown Pointe Pky,Suite 500,Atlanta,GA;dba;owner;11/2019;40 hrs/month;6.5 hrs during trading;investment advisor

2)Advocacy Wealth Management;investment related;3350 Riverwood Pkwy,Atlanta,GA 30339;RIA;investment advisor;3/2010;20 hrs/month;4 hrs during trading;meet with clients,review objectives



## 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
Criminal	2
Customer Dispute	2
Financial	1
Judgment/Lien	1

### Criminal

This disclosure event involves a criminal charge against the Investment Adviser Representative that has resulted in a dismissal, plea, acquittal or conviction. The criminal matter may relate to any felony or certain misdemeanor offenses (e.g., bribery, perjury, forgery, counterfeiting, extortion, fraud, wrongful taking of property).

#### Disclosure 1 of 2

<b>Reporting Source:</b>	Individual
<b>Court Details:</b>	CHECK COMPLAINT 87250 - MUNICIPAL COURT CITY OF DOCKET B43919
<b>Charge Date:</b>	04/29/1972
<b>Charge Details:</b>	ISSUED A CHECK IN THE AMOUNT OF \$10 AT A GROCERY STORE NAMED WALLS INC. IN WICHITA KANSAS. THE CHECK DID NOT CLEAR MY ACCOUNT.
<b>Felony?</b>	Yes
<b>Current Status:</b>	Final
<b>Status Date:</b>	01/16/1973
<b>Disposition Details:</b>	THE CASE WAS DISMISSED, COURT COSTS WERE \$7.25. ALSO PAID THE AMOUNT DUE THE GROCEY STORE, WALLS INC. \$10.
<b>Broker Statement</b>	AT WICHITA STATE UNIVERSITY I WROTE A CHECK FOR \$10 PRIOR TO LEAVING FOR SUMMER BREAK. CHECK DID NOT CLEAR THE CHECK WAS TURNED OVER TO POLICE. I TRIED TO MAKE RESTITUTION WITH GROCERY STORE. MANAGER REFUSED. POLICE, MY ATTORNEY, JUDGE SORTED OUT ISSUES AND THREW COMPLAINT OUT OF COURT

#### Disclosure 2 of 2

<b>Reporting Source:</b>	Individual
<b>Court Details:</b>	DUI IN CITY OF NOVATO, CA. MARIN COUNTY
<b>Charge Date:</b>	08/15/1980
<b>Charge Details:</b>	CHARGED WITH FELONY DUI WAS REDUCED TO MISDEMEANOR. I



PLEADED NO CONTEST TO A FIRST TIME CHARGE OF MISDEMEANOR DUI.

**Felony?**

Yes

**Current Status:**

Final

**Status Date:**

10/14/1980

**Disposition Details:**

I PLEADED NO CONTEST TO MISDEMEANOR DUI. I WAS FINED \$700. I ALSO WAS SENT TO DRIVING SCHOOL FOR SIX WEEKS AT A COST OF \$300. DRIVING WAS RESTRICTED TO WORK ONLY FOR THREE MONTHS.

**Broker Statement**

I PLEADED NO CONTEST TO DUI MISDEMEANOR. THERE WAS NO DAMAGE PROPERTY LOSS OR ANY OTHER LOSS ASSOCIATED WITH INCIDENT. I RECEIVED THE STANDARD FINE RESTRICTION OF DRIVING AND SCHOOL ASSOCIATED WITH A FIRST TIME OFFENDER.



## 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:** ADVOCACY WEALTH MANAGEMENT, LLC

**Allegations:** [REDACTED] was invested in a custom portfolio designed to yield 6% in annual income. The portfolio had volatility in excess of expectations, and lost value from 2Q2014 until liquidation 2Q16.

**Product Type:** Debt-Corporate  
Equity Listed (Common & Preferred Stock)

**Alleged Damages:** \$70,838.61

**Is this an oral complaint?** Yes

**Is this a written complaint?** No

**Is this an arbitration/CFTC reparation or civil litigation?** No

### Customer Complaint Information

**Date Complaint Received:** 05/10/2016

**Complaint Pending?** No

**Status:** Settled

**Status Date:** 06/28/2016

**Settlement Amount:** \$70,838.61

**Individual Contribution Amount:** \$3,541.93

### Disclosure 2 of 2

**Reporting Source:** Firm

**Employing firm when activities occurred which led to the complaint:** WACHOVIA SECURITIES, LLC

**Allegations:** GA CLIENT, THROUGH HIS POA, STATES THAT HE DOES NOT FEEL THAT HIS INVESTMENTS WERE SUITABLE AND MADE IN ACCORDANCE WITH HIS INVESTOR PROFILE. CLIENT REQUESTS THAT ALL ASSOCIATED SURRENDER FEES BE WAIVED. SURRENDER FEES ARE REASONABLY ESTIMATED TO BE \$9,472.

**Product Type:** Mutual Fund(s)

**Alleged Damages:** \$9,472.04

### Customer Complaint Information



**Date Complaint Received:** 09/22/2006  
**Complaint Pending?** No  
**Status:** Closed/No Action  
**Status Date:** 01/18/2007

**Settlement Amount:**

**Individual Contribution Amount:**

**Firm Statement** NO RESPONSE FROM CLIENT, MATTER CLOSED.

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**Reporting Source:** Individual  
**Employing firm when activities occurred which led to the complaint:** WACHOVIA SECURITIES LLC

**Allegations:** CLIENT, THROUGH HIS POA, STATES THAT HE DOES NOT FEEL THAT HIS INVESTMENTS WERE SUITABLE AND MADE IN ACCORDANCE IWTH HIS INVESTOR PROFILE. CLIENT REQUESTS THAT ALL ASSOCIATED SURRENDER FEES BE WAIVED. SURRENDER FEES ARE REASONALBY ESTIMATED TO BE \$9.472.

**Product Type:** Mutual Fund(s)

**Alleged Damages:** \$9,472.00

### **Customer Complaint Information**

**Date Complaint Received:** 09/22/2006  
**Complaint Pending?** No  
**Status:** Closed/No Action  
**Status Date:** 06/14/2007

**Settlement Amount:**

**Individual Contribution Amount:**



## Financial

This disclosure event involves a final bankruptcy, compromise with one or more creditors, or Securities Investor Protection Corporation liquidation that occurred within the last 10 years and that involved the Investment Adviser Representative or an organization/investment adviser that the Investment Adviser Representative controlled that occurred within the last 10 years.

### Disclosure 1 of 1

**Reporting Source:** Individual

**Action Type:** Compromise

**Action Date:** 12/17/2019

**Organization Investment-Related?**

**Type of Court:** State Court

**Name of Court:** Dekalb County Superior Court

**Location of Court:** Decatur, GA

**Docket/Case #:** 160328529

**Action Pending?** Yes

**If a compromise with creditor, provide:**

**Name of Creditor:** State of Georgia

**Original Amount Owed:** \$24,884.71

**Terms Reached with Creditor:** \$12,458.48 paid over 26 months. First payment made on 12/17/2019, auto pay begins 1/17/2020



## Judgment/Lien

This disclosure event involves an unsatisfied and outstanding judgment or lien against the Investment Adviser Representative.

### Disclosure 1 of 1

<b>Reporting Source:</b>	Individual
<b>Judgment/Lien Holder:</b>	State of Georgia
<b>Judgment/Lien Amount:</b>	\$24,881.71
<b>Judgment/Lien Type:</b>	Tax
<b>Date Filed with Court:</b>	06/07/2018
<b>Date Individual Learned:</b>	11/25/2019
<b>Type of Court:</b>	State Court
<b>Name of Court:</b>	Dekalb County Superior Court
<b>Location of Court:</b>	Decatur, GA
<b>Docket/Case #:</b>	160328529
<b>Judgment/Lien Outstanding?</b>	Yes
<b>Broker Statement</b>	Was not aware of lien until 11/25/2019. Became aware registering in Florida. Called and spoke with agent, set up payment plan of 26 payments. Made first payment 12/17/2019, set up auto pay beginning 1/17/2020



## End of Report

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