



IAPD Report

ANTHONY WILLIAM HOSFELD

CRD# 2834666

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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

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 |
|--------------------------|----------|------|
| No information reported. | | |

General Industry/Product Exams

| Exam | Category | Date |
|--------------------------|----------|------|
| No information reported. | | |

State Securities Law Exams

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

| | |
|-----------------------------|---|
| Reporting Source: | Individual |
| Court Details: | CHECK COMPLAINT 87250 - MUNICIPAL COURT CITY OF DOCKET B43919 |
| Charge Date: | 04/29/1972 |
| Charge Details: | 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. |
| Felony? | Yes |
| Current Status: | Final |
| Status Date: | 01/16/1973 |
| Disposition Details: | THE CASE WAS DISMISSED, COURT COSTS WERE \$7.25. ALSO PAID THE AMOUNT DUE THE GROCERY STORE, WALLS INC. \$10. |
| Broker Statement | 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

| | |
|--------------------------|---|
| Reporting Source: | Individual |
| Court Details: | DUI IN CITY OF NOVATO, CA. MARIN COUNTY |
| Charge Date: | 08/15/1980 |
| Charge Details: | 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.

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

Reporting Source:

Individual

Judgment/Lien Holder:

State of Georgia

Judgment/Lien Amount:

\$24,881.71

Judgment/Lien Type:

Tax

Date Filed with Court:

06/07/2018

Date Individual Learned:

11/25/2019

Type of Court:

State Court

Name of Court:

Dekalb County Superior Court

Location of Court:

Decatur, GA

Docket/Case #:

160328529

Judgment/Lien Outstanding?

Yes

Broker Statement

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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