



IAPD Report

Timothy Lynn Askew

CRD# 2841715

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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 Lynn Askew (CRD# 2841715)

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 **01/17/2025**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	RAYMOND JAMES FINANCIAL SERVICES, INC.	CRD# 6694	05/19/2004
IA	RAYMOND JAMES FINANCIAL SERVICES ADVISORS, INC	CRD# 149018	01/02/2009

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **30** 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	RAYMOND JAMES FINANCIAL SERVICES	6694	ST. PETERSBURG, FL	05/26/2004 - 01/02/2009
IA	WACHOVIA SECURITIES, LLC	19616	HENDERSONVILLE, NC	05/27/2003 - 05/20/2004
B	WACHOVIA SECURITIES, LLC	19616	ST. LOUIS, MO	06/15/2002 - 05/20/2004

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

Employment 1 of 2

Firm Name: **RAYMOND JAMES FINANCIAL SERVICES, INC.**

Main Address: 880 CARILLON PARKWAY
ST. PETERSBURG, FL 33716

Firm ID#: 6694

	Regulator	Registration	Status	Date
B	FINRA	General Securities Representative	Approved	05/19/2004
B	FINRA	General Securities Sales Supervisor	Approved	10/22/2004
B	Alabama	Agent	Approved	09/19/2012
B	Arizona	Agent	Approved	05/03/2016
B	Arkansas	Agent	Approved	06/13/2024
B	California	Agent	Approved	06/01/2012
B	Colorado	Agent	Approved	06/03/2019
B	Connecticut	Agent	Approved	11/15/2021
B	Florida	Agent	Approved	07/29/2005
B	Georgia	Agent	Approved	03/20/2007
B	Illinois	Agent	Approved	02/23/2015
B	Kentucky	Agent	Approved	06/29/2022
B	Louisiana	Agent	Approved	11/06/2019



Qualifications

Regulator	Registration	Status	Date
B Maryland	Agent	Approved	10/15/2020
B Massachusetts	Agent	Approved	02/03/2022
B Michigan	Agent	Approved	06/22/2020
B Missouri	Agent	Approved	04/19/2021
B New Jersey	Agent	Approved	03/27/2014
B New York	Agent	Approved	01/03/2007
B North Carolina	Agent	Approved	05/19/2004
B Ohio	Agent	Approved	01/08/2021
B Oklahoma	Agent	Approved	06/18/2020
B Oregon	Agent	Approved	07/08/2016
B Pennsylvania	Agent	Approved	01/02/2014
B South Carolina	Agent	Approved	05/19/2004
B Tennessee	Agent	Approved	02/05/2026
B Texas	Agent	Approved	11/04/2016
B Utah	Agent	Approved	01/04/2013
B Vermont	Agent	Approved	01/21/2020
B Virginia	Agent	Approved	03/10/2010
B West Virginia	Agent	Approved	09/15/2004
B Wisconsin	Agent	Approved	01/04/2010



Qualifications

Regulator	Registration	Status	Date
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Branch Office Locations

RAYMOND JAMES FINANCIAL SERVICES
 224 B SOUTH GROVE STREET
 HENDERSONVILLE, NC 28792

RAYMOND JAMES FINANCIAL SERVICES
 Abbeville, SC

Employment 2 of 2

Firm Name: **RAYMOND JAMES FINANCIAL SERVICES ADVISORS, INC**
 Main Address: 880 CARILLON PARKWAY
 SAINT PETERSBURG, FL 33716
 Firm ID#: 149018

Regulator	Registration	Status	Date
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IA North Carolina	Investment Adviser Representative	Approved	01/02/2009
IA South Carolina	Investment Adviser Representative	Approved	01/26/2022
IA Texas	Investment Adviser Representative	Restricted Approval	09/11/2019

Branch Office Locations

RAYMOND JAMES FINANCIAL SERVICES ADVISORS, INC
 224 B SOUTH GROVE STREET
 HENDERSONVILLE, NC 28792

RAYMOND JAMES FINANCIAL SERVICES ADVISORS, IN
 Abbeville, SC



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, 3 general industry/product exams, and 2 state securities law exams.

Principal/Supervisory Exams

Exam	Category	Date
General Securities Sales Supervisor - Options Module Examination (S9)	Series 9	10/21/2004
General Securities Sales Supervisor - General Module Examination (S10)	Series 10	08/25/2004

General Industry/Product Exams

Exam	Category	Date
Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
Futures Managed Funds Examination (S31)	Series 31	06/02/2003
General Securities Representative Examination (S7)	Series 7	02/03/1997

State Securities Law Exams

Exam	Category	Date
Uniform Investment Adviser Law Examination (S65)	Series 65	03/06/1997
Uniform Securities Agent State Law Examination (S63)	Series 63	02/20/1997

PROFESSIONAL DESIGNATIONS

This section details that the representative has reported **1** professional designation(s).

Certified Financial Planner

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
IA	05/26/2004 - 01/02/2009	RAYMOND JAMES FINANCIAL SERVICES	CRD# 6694	ST. PETERSBURG, FL
IA	05/27/2003 - 05/20/2004	WACHOVIA SECURITIES, LLC	CRD# 19616	HENDERSONVILLE, NC
B	06/15/2002 - 05/20/2004	WACHOVIA SECURITIES, LLC	CRD# 19616	ST. LOUIS, MO
B	06/04/1998 - 06/15/2002	WACHOVIA SECURITIES, INC.	CRD# 431	CHARLOTTE, NC
B	02/04/1997 - 05/07/1998	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	CRD# 7691	NEW YORK, NY

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
04/2013 - Present	ASKEW FAMILY FARM	OWNER	N	ABBYVILLE, SC, United States
01/2009 - Present	RAYMOND JAMES FINANCIAL SERVICES ADVISORS, INC.	Investment Advisor Representative	Y	HENDERSONVILLE, NC, United States
05/2004 - Present	RAYMOND JAMES FINANCIAL SERVICES, INC.	Registered Representative	Y	HENDERSONVILLE, NC, United States
03/1999 - Present	SAGE ADVISORY SYSTEMS	OWNER	N	HENDERSONVILLE, NC, 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)Name of Business: Abbeville Ammo and arms, LLC Address: 450 Fire Tower Rd., Abbeville, SC, 29620, United States Activity Type: Business Owner Position/Title: Owner/Proprietor Investment Related: No Start Date: 10/25/2023 Hours per month devoted to this business: 2-10 Hours per month devoted to this business during trading hours: 0-1 Description of duties: Sales and manufacturing of guns and sales of ammo.

(2)Name of Business: Askew & Associates Wealth Services Address: 224 S Grove St Ste B, Hendersonville, NC, 28792-5067, United States Activity Type: Support Company - Owner Position/Title: Officer - President Investment Related: No Start Date: 06/20/2004 Hours per month devoted to this business: 81+ Hours per month devoted to this business during trading hours: 81+ Description of duties: Branch Manager & Financial Advisor

(3)Name of Business: Askew Family Farm, LLC Address: 450 Fire Tower Road, Abbeville, sc, 29620, United States Activity Type:



Registration & Employment History



OTHER BUSINESS ACTIVITIES

- Agriculture/Farming Position/Title: Officer - President Investment Related: No Start Date: 04/03/2013 Hours per month devoted to this business: 11-20 Hours per month devoted to this business during trading hours: 0-1 Description of duties: Owner
- (4)Name of Business: Askew Wealth Services Address: 224 So. Grove street, , Hendersonville, NC, 28792, United States Activity Type: Non-variable Insurance Position/Title: Agent Investment Related: Yes Start Date: 07/14/2011 Hours per month devoted to this business: 2-10 Hours per month devoted to this business during trading hours: 0-1 Description of duties: Advising clients on Life insurance products
- (5)Name of Business: Askew Wealth Services Address: 224 South Grove Street, Hendersonville, NC, 28792, United States Activity Type: Non-variable Insurance Position/Title: Agent Investment Related: Yes Start Date: 12/01/2006 Hours per month devoted to this business: 0-1 Hours per month devoted to this business during trading hours: 0-1 Description of duties: proprietor/owner of branch support company
- (6)Name of Business: Devon Nation, LLC Address: Abbeville, 29620, SC, 29620, United States Activity Type: Agriculture/Farming Position/Title: Other Investment Related: No Start Date: 01/05/2016 Hours per month devoted to this business: 2-10 Hours per month devoted to this business during trading hours: 2-10 Description of duties: MemberOn going management in a family business.
- (7)Name of Business: Hidden Pines Lp Address: 450 Fire Tower Road, Abbeville, SC, 29620, United States Activity Type: Rental Real Estate Position/Title: Investment Related: Yes Start Date: 05/28/2008 Hours per month devoted to this business: 0-1 Hours per month devoted to this business during trading hours: 0-1 Description of duties:
- (8)Name of Business: SUNNYBROOK ASSI Address: 450 Fire Tower Road, Abbeville, SC, 29620, United States Activity Type: Control Person Position/Title: Trustee (Acting) Investment Related: Yes Start Date: 08/01/2002 Hours per month devoted to this business: 2-10 Hours per month devoted to this business during trading hours: 0-1 Description of duties: Trustee



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

Reporting Source: Firm

Employing firm when activities occurred which led to the complaint: WACHOVIA SECURITIES, INC. N/K/A WACHOVIA SECURITIES, LLC

Allegations: NC CLIENT CLAIMS THAT SHE SUFFERED DAMAGES AS A RESULT OF A FAILURE TO PURSUE A SUITABLE INVESTMENT STRATEGY. CLIENT, WHO MAINTAINED HER INVESTMENTS FROM APRIL 2001 TO THE PRESENT, CLAIMS DAMAGES OF \$300,000.

Product Type: Annuity(ies) - Variable

Alleged Damages: \$300,000.00

Customer Complaint Information

Date Complaint Received: 06/06/2005

Complaint Pending? No

Status: Settled

Status Date: 11/01/2005

Settlement Amount: \$130,000.00

Individual Contribution Amount: \$0.00

Firm Statement SETTLED IN THE INTEREST OF CLIENT RELATIONS AND TO AVOID COSTLY AND TIME-CONSUMING FORMAL PROCEEDINGS, WITHOUT ADMITTING LIABILITY, IN THE AMOUNT OF \$130,000.



Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: WACHOVIA SECURITIES N/K/A WACHOVIA SECURITIES LLC

Allegations: NC CLIENT CLAIMS THAT SHE SUFFERED DAMAGES AS A RESULT OF A FAILURE TO PURSUE A SUITABLE INVESTMENT STRATEGY. CLIENT, WHO MAINTAINED HER INVESTMENTS IN APRIL 2001 TO THE PRESENT, CLAIMS DAMAGES OF \$300,000.

Product Type: Annuity(ies) - Variable

Alleged Damages: \$300,000.00

Customer Complaint Information

Date Complaint Received: 06/06/2005

Complaint Pending? No

Status: Settled

Status Date: 11/01/2005

Settlement Amount: \$130,000.00

Individual Contribution Amount: \$0.00

Broker Statement

I MUST ADMIT THAT IT DOESN'T COME AS A COMPLETE SURPRISE. BASED ON CONVERSATIONS W/ THE CLIENTS & THEIR CONCERN FOR THEIR DAUGHTER'S INTEREST IN THEIR MONEY & MY PERSONAL INTERACTIONS WITH HER ONCE SHE TOOK OVER THEIR FINANCES. THIS WAS AN UNFORTUNATE TURN OF EVENTS THAT LURKED OVER THE RELATIONSHIP. I WANT IT KNOWN THAT ALL INV DECISIONS HAVE SOUND FINANCIAL REASONING AS THEIR FOUNDATION. THE CLIENTS WENT THROUGH A FINANCIAL PLANNING PROCESS CONSISTING OF MANY QUESTIONS, 3 TO 4 INTERVIEWS & AN OVERVIEW OF THE TYPES OF INV STRATEGIES. THE QUESTIONS THEY WERE ASKED AIMED SPECIFICALLY AT DETERMINING THEIR INV SUITABILITY; WHAT IS THEIR RISK TOLERANCE, HOW MUCH MONEY THEY WANTED TO HAVE AVAILABLE PER YEAR, THEIR TAX SITUATION AND INTEREST IN SAVING TAXES, PRINCIPLE PROTECTION, & DISTRIBUTIONS TO HEIRS AND SO ON. ALL INV ADVICE WAS BASED ON THEIR ANSWERS TO THESE QUESTIONS. THERE WERE ALSO INV MADE AS A RESULT OF ACTUAL WRITTEN INSTRUCTIONS SIGNED BY THE CLIENTS. THEY HAD EXPRESSED ON SEVERAL OCCASIONS A FEAR OF THEIR DAUGHTER'S DESIRE FOR THEIR MONEY. THE CLIENT APPROACHED ME SEVERAL TIMES WITH A CONCERN FOR HIS WIFE UPON HIS DEMISE & HER ABILITY TO BE PROTECTED AGAINST THEIR DAUGHTER'S DESIRE FOR THEIR MONEY. THE WIFE, HER LATE HUSBAND AND I HAVE ALWAYS HAD A GOOD RELATIONSHIP. THEY NEVER COMMUNICATED ANY CONCERNS REGARDING THE MANAGEMENT OF THEIR ASSETS; TO THE CONTRARY THEY EXPRESSED APPRECIATION THAT THEIR FINANCES WERE ARRANGED IN A WAY THAT MET THEIR FINANCIAL GOALS AND CONCERNS. ONE OF THE CLIENTS EVEN MADE MY FAMILY GIFTS AND THE OTHER WOULD STOP IN EVERY WEEK OR SO TO SAY HI AND TO TELL A JOKE. UPON THE DEMISE OF THE HUSBAND, THE CLIENT'S DAUGHTER BEGAN TO TAKE OVER THE FINANCES. THE DAUGHTER BECAME DISPLEASED WITH THE ARRANGEMENTS & MOVED THE ACCOUNT TO ANOTHER INV COMPANY MID YEAR 04.

SETTLED IN THE INTEREST OF CLIENT RELATIONS & TO AVOID COSTLY AND TIME-CONSUMING FORMAL PROCEEDINGS, WITHOUT ADMITTING LIABILITY, IN THE AMOUNT OF \$130,000.





End of Report

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