



IAPD Report

THOMAS D WYATT

CRD# 3268854

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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

THOMAS D WYATT (CRD# 3268854)

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 **04/02/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	PARK AVENUE SECURITIES LLC	CRD# 46173	10/19/1999
IA	PARK AVENUE SECURITIES LLC	CRD# 46173	06/01/2004

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **49** 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
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No information reported.

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

Employment 1 of 1

Firm Name: **PARK AVENUE SECURITIES LLC**
Main Address: 10 HUDSON YARDS
NEW YORK, NY 10001
Firm ID#: 46173

	Regulator	Registration	Status	Date
B	FINRA	General Securities Representative	Approved	10/19/1999
B	FINRA	General Securities Principal	Approved	01/17/2017
B	Alabama	Agent	Approved	06/23/2022
IA	Alabama	Investment Adviser Representative	Approved	08/22/2024
B	Alaska	Agent	Approved	05/26/2023
IA	Alaska	Investment Adviser Representative	Approved	06/25/2024
B	Arizona	Agent	Approved	09/16/2015
IA	Arizona	Investment Adviser Representative	Approved	03/03/2017
B	Arkansas	Agent	Approved	09/12/2022
B	California	Agent	Approved	05/28/2004
IA	California	Investment Adviser Representative	Approved	02/26/2015
B	Colorado	Agent	Approved	07/28/2009
IA	Colorado	Investment Adviser Representative	Approved	09/30/2009



Qualifications

Regulator	Registration	Status	Date
B Connecticut	Agent	Approved	02/05/2025
B Delaware	Agent	Approved	11/09/2016
B District of Columbia	Agent	Approved	01/09/2024
B Florida	Agent	Approved	11/18/2004
IA Florida	Investment Adviser Representative	Approved	09/14/2015
B Georgia	Agent	Approved	05/10/2013
IA Georgia	Investment Adviser Representative	Approved	05/13/2013
B Hawaii	Agent	Approved	01/05/2023
B Idaho	Agent	Approved	02/02/2024
B Illinois	Agent	Approved	11/08/2018
IA Illinois	Investment Adviser Representative	Approved	04/09/2024
B Indiana	Agent	Approved	02/06/2014
IA Indiana	Investment Adviser Representative	Approved	09/27/2023
B Iowa	Agent	Approved	01/14/2020
B Kansas	Agent	Approved	09/15/2023
B Kentucky	Agent	Approved	08/26/2005
IA Kentucky	Investment Adviser Representative	Approved	02/26/2009
B Louisiana	Agent	Approved	06/02/2015
IA Louisiana	Investment Adviser Representative	Approved	06/12/2024



Qualifications

	Regulator	Registration	Status	Date
B	Maine	Agent	Approved	07/02/2020
B	Maryland	Agent	Approved	01/09/2017
B	Massachusetts	Agent	Approved	11/23/2020
B	Michigan	Agent	Approved	09/28/2015
IA	Michigan	Investment Adviser Representative	Approved	02/02/2018
B	Minnesota	Agent	Approved	01/16/2020
B	Mississippi	Agent	Approved	01/29/2013
B	Missouri	Agent	Approved	09/27/2021
B	Montana	Agent	Approved	08/16/2007
B	Nebraska	Agent	Approved	05/26/2021
B	Nevada	Agent	Approved	01/09/2020
B	New Hampshire	Agent	Approved	04/20/2022
B	New Jersey	Agent	Approved	08/12/2016
IA	New Jersey	Investment Adviser Representative	Approved	08/17/2016
B	New Mexico	Agent	Approved	08/13/2021
B	New York	Agent	Approved	01/02/2015
IA	New York	Investment Adviser Representative	Approved	04/16/2021
B	North Carolina	Agent	Approved	08/10/2011
IA	North Carolina	Investment Adviser Representative	Approved	09/03/2025



Qualifications

Regulator	Registration	Status	Date
B Ohio	Agent	Approved	10/19/1999
IA Ohio	Investment Adviser Representative	Approved	06/01/2004
B Oklahoma	Agent	Approved	04/02/2026
B Oregon	Agent	Approved	09/28/2015
IA Oregon	Investment Adviser Representative	Approved	05/01/2017
B Pennsylvania	Agent	Approved	07/28/2014
IA Pennsylvania	Investment Adviser Representative	Approved	03/08/2017
B Puerto Rico	Agent	Approved	08/31/2023
B Rhode Island	Agent	Approved	06/07/2024
B South Carolina	Agent	Approved	11/19/2019
IA South Carolina	Investment Adviser Representative	Approved	09/19/2025
B South Dakota	Agent	Approved	06/03/2024
B Tennessee	Agent	Approved	01/12/2021
B Texas	Agent	Approved	08/09/2019
IA Texas	Investment Adviser Representative	Restricted Approval	11/11/2020
B Utah	Agent	Approved	02/24/2026
B Virginia	Agent	Approved	09/28/2015
IA Virginia	Investment Adviser Representative	Approved	10/12/2021



Qualifications

Regulator	Registration	Status	Date
B Washington	Agent	Approved	09/29/2022
B West Virginia	Agent	Approved	08/21/2014
B Wisconsin	Agent	Approved	01/20/2023

Branch Office Locations

PARK AVENUE SECURITIES LLC
8425 PULSAR PLACE
SUITE 450
COLUMBUS, OH 43240

PARK AVENUE SECURITIES LLC
419 PLUM STREET
CINCINNATI, OH 45202




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 1 principal/supervisory exam, 2 general industry/product exams, and 1 state securities law exam.


Principal/Supervisory Exams

Exam	Category	Date
 General Securities Principal Examination (S24)	Series 24	01/17/2017

General Industry/Product Exams

Exam	Category	Date
 Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
 General Securities Representative Examination (S7)	Series 7	10/18/1999

State Securities Law Exams

Exam	Category	Date
 Uniform Securities Agent State Law Examination (S63)	Series 63	10/15/1999

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:

No information reported.

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
03/2018 - Present	GUARDIAN LIFE INSURANCE	AGENT	Y	COLUMBUS, OH, United States
03/2018 - Present	PARK AVENUE SECURITIES	REGISTERED REPRESENTATIVE	Y	COLUMBUS, OH, United States
07/1999 - 03/2018	PARK AVENUE SECURITIES LLC	NOT PROVIDED	Y	WORTHINGTON, OH, United States
05/1999 - 03/2018	GUARDIAN LIFE INSURANCE OF AMERICA	REP	Y	WORTHINGTON, OH, 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. Consultant and Owner at Retirement Plan Professionals-Consulting to business owners and Key Persons regarding Qualified and Non-Qualified retirement plans,.

Start: 07/01/2004,
Address: 8425 Pulsar Place, Suite 401 Columbus, OH 43240,
5 total hours per month; 5 during securities trading hours,
Not investment related,
Less than 10% annual compensation,

2. Practice of Law-I provide some legal services, including consulting on legal documents, consulting regarding estate planning and other legal consulting,.

Start: 07/01/2010,
Address: 8425 Pulsar Place, Suite 450 Columbus, OH 43240,
1 bus hr per month,
Not investment related,

3. SFSP President and Board member-Board member on the SFSP National Foundation Board,

Start: 09/30/2018,
Address: 3803 West Chester Pike #225 Newtown Square, PA 19073,
Hrs per month - Tot/Bus: 5/3,
Not investment related,

4. Wyatt & Boord, LLP-The law firm will provide legal services, including tax consultation, estate planning and consulting,



Registration & Employment History



OTHER BUSINESS ACTIVITIES

Start: 07/01/2014,

Address: 8425 Pulsar Place, Suite 450 Columbus, OH 43240,

1 bus hr per month,

Not investment related,

5. GA / ownership interest in Lifetime Financial Growth of Central Ohio and LFG of Ohio, LLC-GA with an ownership interest in Lifetime Financial Growth of Central Ohio, LLC and Lifetime Financial Growth of Ohio, LLC,

Start: 02/01/2019,

Address: 8425 Pulsar Place Suite 450; Columbus, OH 43240,

20 bus hrs per month,

Investment related,

6. Executor and trustee for parents' wills and trusts-I am the named executor and trustee for my parents' wills and trusts. ,

Start: 01/01/2020,

Address: 1026 Balmoral Drive, Delaware OH 43015,

1 total hours per month 0 during securities trading hours,,

Investment related,

7) Trustee related services for close friend and mentor,

Start: 12/01/2021,

Address: 1026 Balmoral Drive, Delaware, OH 43015,

1 total hour per month; 0 during securities trading hours,

Not investment related,

No annual compensation,

8) Serve as Trustee for immediate family Member ,

Start: 12/01/2021,

Address: 1026 Balmoral Drive Delaware, OH 43015,

1 total hours per month 0 during securities trading hours,,

Investment related,

No annual compensation,

9) Structured Employee Benefits of Ohio / LFG Benefits-minority partner, employee benefits organization, specializing in group and health insurance for small-mid size employers,

Start: 01/01/2023,

Address: 815 Grandview Avenue #200 Columbus, Ohio 43215,

4 total hours per month; 0 during securities trading hours,,

Investment related,

Less than 10% annual compensation,



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:	Individual
Employing firm when activities occurred which led to the complaint:	Park Avenue Securities
Allegations:	Client alleges that the registered representative did not accurately explain the terms of the Guaranteed Lifetime Withdrawal Benefit. Client is requesting to surrender his variable annuity without the imposition of any surrender charges.
Product Type:	Annuity-Variable
Alleged Damages:	\$33,578.07
Is this an oral complaint?	No
Is this a written complaint?	Yes
Is this an arbitration/CFTC reparation or civil litigation?	No

Customer Complaint Information

Date Complaint Received:	12/21/2019
Complaint Pending?	No
Status:	Denied
Status Date:	01/16/2020
Settlement Amount:	

Individual Contribution Amount:



Broker Statement

The Firm found no basis to the customer complaint.



End of Report

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