IAPD Report

TIMOTHY ANDREW HOLLOWAY

CRD# 4651126

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

TIMOTHY ANDREW HOLLOWAY (CRD# 4651126)

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 **11/03/2025**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	OSAIC WEALTH, INC.	CRD# 23131	02/28/2014
IA	OSAIC WEALTH, INC.	CRD# 23131	04/07/2017

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **18** 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	FSC SECURITIES CORPORATION	7461	ALEXANDRIA, LA	03/07/2013 - 04/26/2017
B	FSC SECURITIES CORPORATION	7461	ALEXANDRIA, LA	09/19/2012 - 04/26/2017
IA	EDWARD JONES	250	ALEXANDRIA, LA	01/16/2007 - 09/11/2012

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
Termination	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 **18** jurisdiction(s) and 1 SRO(s) through his or her employer(s).

Employment 1 of 1

Firm Name: **OSAIC WEALTH, INC.**

Main Address: 18700 N. HAYDEN ROAD
SUITE 255
SCOTTSDALE, AZ 85255

Firm ID#: 23131

	Regulator	Registration	Status	Date
B	FINRA	General Securities Representative	Approved	02/28/2014
B	Alabama	Agent	Approved	09/23/2015
B	Arkansas	Agent	Approved	04/13/2023
IA	Arkansas	Investment Adviser Representative	Approved	09/27/2024
B	California	Agent	Approved	09/24/2015
B	Florida	Agent	Approved	09/24/2015
B	Illinois	Agent	Approved	11/06/2025
B	Iowa	Agent	Approved	09/25/2015
B	Kansas	Agent	Approved	10/05/2015
B	Louisiana	Agent	Approved	03/07/2014
IA	Louisiana	Investment Adviser Representative	Approved	04/07/2017
B	Mississippi	Agent	Approved	09/22/2015
B	Nebraska	Agent	Approved	09/23/2015

Qualifications

	Regulator	Registration	Status	Date
B	Nevada	Agent	Approved	08/03/2017
B	Oklahoma	Agent	Approved	03/16/2022
B	Pennsylvania	Agent	Approved	09/23/2015
B	Tennessee	Agent	Approved	12/10/2020
B	Texas	Agent	Approved	09/24/2015
B	Utah	Agent	Approved	11/22/2022
B	Virginia	Agent	Approved	04/27/2017
B	Washington	Agent	Approved	08/07/2017

Branch Office Locations

OSAIC WEALTH, INC.
5615 JACKSON STREET EXT.
BUILDING N
ALEXANDRIA, LA 71303

OSAIC WEALTH, INC.
310 NORTH 3rd STREET
DE QUEEN, AR 71832

OSAIC WEALTH, INC.
1220 N 18th ST
SUITE 303
MONROE, LA 71201

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

Principal/Supervisory Exams

	Exam	Category	Date
	No information reported.		

General Industry/Product Exams

	Exam	Category	Date
B	Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
B	General Securities Representative Examination (S7)	Series 7	06/02/2003

State Securities Law Exams

	Exam	Category	Date
IA	Uniform Investment Adviser Law Examination (S65)	Series 65	02/21/2013
B	Uniform Securities Agent State Law Examination (S63)	Series 63	06/05/2003

PROFESSIONAL DESIGNATIONS

This section details that the representative has reported **0** professional designation(s).

No information reported.

Only professional designations listed in Question 8 of the Form U4 will appear in this section if the appropriate box is checked and verified by the issuing organization at the time of the filing. Learn more about eligible designations at IARD and NASAA.

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	03/07/2013 - 04/26/2017	FSC SECURITIES CORPORATION	CRD# 7461	ALEXANDRIA, LA
B	09/19/2012 - 04/26/2017	FSC SECURITIES CORPORATION	CRD# 7461	ALEXANDRIA, LA
IA	01/16/2007 - 09/11/2012	EDWARD JONES	CRD# 250	ALEXANDRIA, LA
B	06/04/2003 - 09/11/2012	EDWARD JONES	CRD# 250	ALEXANDRIA, LA

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
02/2014 - Present	OSAIC WEALTH, INC.	REGISTERED REP	Y	LAFAYETTE, LA, United States
03/2013 - 04/2017	FSC SECURITIES CORP RIA	INVESTMENT ADVISOR REPRESENTATIVE	Y	ATLANTA, GA, United States
09/2012 - 04/2017	FSC AGENCY	AGENT	Y	ALEXANDRIA, LA, United States
09/2012 - 04/2017	FSC SECURITIES CORPORATION	FINANCIAL ADVISOR	Y	ALEXANDRIA, LA, 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. HOLLOWAY FINANCIAL SERVICES LLC
POSITION: Owner - NATURE: Limited Liability Company - INVESTMENT RELATED: No NUMBER OF HOURS: 4 SECURITIES TRADING HOURS: 0 START DATE: 11/01/2012
ADDRESS: 117 Clubhouse Drive, Woodworth LA 71485, United States
DESCRIPTION: This LLC is the business checking account that my business expenses are paid from.

2. ROTARY INTERNATIONAL
POSITION: Member NATURE: Social / Charity Organization INVESTMENT RELATED: No NUMBER OF HOURS: 5 SECURITIES TRADING HOURS: 0 START DATE: 07/01/2016
ADDRESS: 117 Clubhouse Drive, Woodworth LA 71485, United States
DESCRIPTION: attend weekly meetings

3. FOOD BANK OF CENTRAL LOUISIANA

Registration & Employment History

OTHER BUSINESS ACTIVITIES

POSITION: Board Member NATURE: 501 C INVESTMENT RELATED: No NUMBER OF HOURS: 4 SECURITIES TRADING HOURS: 4 START DATE: 07/01/2021
ADDRESS: 3223 Baldwin Ave., Alexandria LA 71301, United States
DESCRIPTION: One of twelve Board member that sets policy, direction, and guidance for the charity.

4. TIMOTHY HOLLOWAY OR HOLLOWAY INVESTMENTS
POSITION: Owner NATURE: Sole Proprietorship and Trade Name INVESTMENT RELATED: Yes NUMBER OF HOURS: 20 SECURITIES TRADING HOURS: 20 START DATE: 09/12/2012
ADDRESS: 5615 Jackson St. Ext. Bldg. N, ALEXANDRIA LA 71303, United States
DESCRIPTION: Insurance agent selling insurance products such as but not Limited too: Life, Health, Annuities (fixed and Variable), Disability andLong-term Care Insurance ?with companies approved by Royal Alliance.

5. CENLA COMMUNITY ACTION COMMITTEE
POSITION: Board Member NATURE: 501C Non-For-Profit INVESTMENT RELATED: No NUMBER OF HOURS: 2 SECURITIES TRADING HOURS: 2 START DATE: 09/01/2023
ADDRESS: 2011 MacArthur Drive, Buliding 1, ALEXANDRIA LA 71301, United States
DESCRIPTION: Provide oversight and extensive non-for-profit board experience to this Board.

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*.
    - o A "pending" disclosure event involves allegations that have not been proven or formally adjudicated.
    - o A disclosure event that is "on appeal" involves allegations that have been adjudicated but are currently being appealed.
    - o 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*.
    - o 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.
    - o 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.
    - o 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
Termination	1

Termination

This disclosure event involves a situation where the Investment Adviser Representative voluntarily resigned, was discharged or was permitted to resign after allegations were made that accused the Investment Adviser Representative of violating investment-related statutes, regulations, rules or industry standards of conduct; fraud or the wrongful taking of property; or failure to supervise in connection with investment-related statutes, regulations, rules or industry standards of conduct.

Disclosure 1 of 1

Reporting Source:	Firm
Firm Name:	EDWARD JONES
Termination Type:	Discharged
Termination Date:	08/13/2012
Allegations:	EDWARD JONES TERMINATED HOLLOWAY'S EMPLOYMENT AFTER AN INTERNAL REVIEW CONCLUDED THAT HE PROVIDED THE NAMES AND ADDRESSES OF FIRM CLIENTS FOR USE IN HIS SPOUSE'S NON-FIRM AFFILIATED TAX PREPARATION BUSINESS, CAUSING FIRM CLIENTS TO RECEIVE LETTERS OF SOLICITATION. THE FIRM FURTHER FOUND THAT HOLLOWAY HAD BEEN AN AUTHORIZED PARTY ON A CLIENT'S NON-FIRM AFFILIATED CHECKING ACCOUNT SINCE 2007. AFTER REVIEW, EDWARD JONES FOUND NO EVIDENCE THAT HOLLOWAY HAD EFFECTED PAYMENTS TO HIMSELF FROM THIS ACCOUNT.
Product Type:	No Product

Reporting Source:	Individual
Firm Name:	EDWARD JONES
Termination Type:	Discharged
Termination Date:	08/13/2012
Allegations:	SENT SOLICITATION LETTERS TO MY CLIENTS FOR MY WIFE'S NON-FIRM AFFILIATED TAX PREPARATION BUSINESS. WAS AN AUTHORIZED PARTY ON A CLIENT'S NON-FIRM AFFILIATED CHECKING ACCOUNT.
Product Type:	No Product

Broker Statement	I DIDN'T REALIZE BY SENDING THESE LETTERS TO MY CLIENTS THAT I WAS VIOLATING CLIENT PRIVACY POLICY. I REMOVED MYSELF OFF THIS ACCOUNT AND KEPT THE RECORDS TO DISCLOSE TO THE AUDITOR UPON THEIR ANNUAL REVIEW. NO TRANSFER OF FUNDS TO MYSELF WERE EVER MADE.

End of Report

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