



## IAPD Report

# PETER THOMAS WALDRON

CRD# 4834523

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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

### PETER THOMAS WALDRON (CRD# 4834523)

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 **05/20/2026**.

### CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
<b>B</b>	OSAIC WEALTH, INC.	CRD# 23131	01/24/2025
<b>IA</b>	OSAIC WEALTH, INC.	CRD# 23131	01/24/2025

### QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **27** 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
<b>IA</b>	OSAIC FA, INC.	3978	SAN FRANCISCO, CA	09/29/2004 - 01/24/2025
<b>B</b>	OSAIC FA, INC.	3978	SAN FRANCISCO, CA	09/24/2004 - 01/24/2025
<b>B</b>	THE LINCOLN NATIONAL LIFE INSURANCE COMPANY	2580	FORT WAYNE, IN	09/24/2004 - 04/07/2006

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	3
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 **27** 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>B</b>	FINRA	General Securities Representative	Approved	01/24/2025
<b>B</b>	Arizona	Agent	Approved	01/24/2025
<b>B</b>	California	Agent	Approved	01/24/2025
<b>IA</b>	California	Investment Adviser Representative	Approved	01/24/2025
<b>B</b>	Colorado	Agent	Approved	01/24/2025
<b>B</b>	Connecticut	Agent	Approved	01/24/2025
<b>B</b>	District of Columbia	Agent	Approved	01/24/2025
<b>B</b>	Florida	Agent	Approved	01/24/2025
<b>B</b>	Georgia	Agent	Approved	01/24/2025
<b>B</b>	Hawaii	Agent	Approved	01/24/2025
<b>B</b>	Idaho	Agent	Approved	01/24/2025
<b>B</b>	Illinois	Agent	Approved	01/24/2025
<b>B</b>	Kentucky	Agent	Approved	01/24/2025



### Qualifications

Regulator	Registration	Status	Date
B Louisiana	Agent	Approved	01/24/2025
B Massachusetts	Agent	Approved	01/24/2025
B Nevada	Agent	Approved	01/24/2025
B New Jersey	Agent	Approved	01/24/2025
B New Mexico	Agent	Approved	01/24/2025
B New York	Agent	Approved	01/24/2025
B North Carolina	Agent	Approved	02/10/2025
B Ohio	Agent	Approved	01/24/2025
B Oregon	Agent	Approved	01/24/2025
B Rhode Island	Agent	Approved	01/24/2025
B South Carolina	Agent	Approved	01/24/2025
B Texas	Agent	Approved	01/24/2025
IA Texas	Investment Adviser Representative	Restricted Approval	01/24/2025
B Utah	Agent	Approved	01/24/2025
B Virginia	Agent	Approved	01/24/2025
B Washington	Agent	Approved	02/04/2025
B Wyoming	Agent	Approved	01/24/2025

### Branch Office Locations

OSAIC WEALTH, INC.



## Qualifications

44 MONTGOMERY STREET  
SUITE 2950  
SAN FRANCISCO, CA 94104

**OSAIC WEALTH, INC.**  
3201 DANVILLE BOULEVARD  
SUITE 190  
ALAMO, CA 94507

**OSAIC WEALTH, INC.**  
6101 BOLLINGER CANYON ROAD  
SUITE 225  
SAN RAMON, CA 94583



## 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 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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<b>B</b> Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
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<b>B</b> General Securities Representative Examination (S7)	Series 7	09/23/2004
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#### State Securities Law Exams

Exam	Category	Date
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<b>IA</b> <b>B</b> Uniform Combined State Law Examination (S66)	Series 66	09/11/2004
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### 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	09/29/2004 - 01/24/2025	OSAIC FA, INC.	CRD# 3978	SAN FRANCISCO, CA
B	09/24/2004 - 01/24/2025	OSAIC FA, INC.	CRD# 3978	SAN FRANCISCO, CA
B	09/24/2004 - 04/07/2006	THE LINCOLN NATIONAL LIFE INSURANCE COMPANY	CRD# 2580	FORT WAYNE, IN

### 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
01/2025 - Present	OSAIC WEALTH, INC.	REGISTERED REPRESENTATIVE	Y	SAN FRANCISCO, CA, United States
06/2004 - 01/2025	LINCOLN FINANCIAL ADVISORS	REGISTERED REP	Y	ALAMO, CA, 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) PETER WALDRON/TRAILBLAZER WEALTH LLC,  
 3201 DANVILLE BLVD., SUITE 190,  
 ALAMO, CA  
 CATEGORY: LEGAL ENTITY/LLC  
 INVESTMENT-RELATED: NO  
 TITLE: MANAGER/OWNER  
 DUTIES: OWN LLC; MANAGE TRAILBLAZER WEALTH COMPANY  
 START DATE: 1/2022  
 HOURS PER MONTH: 20  
 HOURS PER MONTH DURING TRADING HOURS: 20

2) PETER WALDRON, WALDRON PARTNERS LLC  
 3201 DANVILLE BOULEVARD, SUITE 190  
 ALAMO, CA  
 CATEGORY: LLC/LEGAL ENTITY  
 INVESTMENT-RELATED: NO  
 TITLE: MANAGER/GENERAL PARTNER  
 DUTIES: LLC USED FOR EXPENSE AND CASH FLOW MANAGEMENT  
 START DATE: 5/2014  
 HOURS PER MONTH: 1  
 HOURS PER MONTH DURING TRADING HOURS: 0



## Registration & Employment History



### OTHER BUSINESS ACTIVITIES

3)PETER WALDRON/EGGRS, LLC

3201 DANVILLE BLVD

SUITE 190

ALAMO, CA

CATEGORY: INSURANCE/LEGAL ENTITY

INVESTMENT-RELATED: YES

TITLE: OWNER

DUTIES: MANAGE THE QUOTING, SUBMISSION AND DELIVERY OF TERM LIFE INSURANCE

START DATE: 9/2022

HOURS PER MONTH: 12

HOURS PER MONTH DURING TRADING HOURS: 4

ALAMO MUNICIPAL AREA COUNCIL

POSITION: Council Member NATURE: The Alamo Municipal Advisory Council (MAC) is a county-appointed advisory group for unincorporated Alamo, California. Created by the Contra Costa County Board of Supervisors in 2009, it serves as a liaison between residents and the county on issues such as land use, public safety, roads, parks, flood control, beautification, and infrastructure.

The MAC is advisory only. It is not a city council and has no legislative, fiscal, or enforcement authority. Its role is to gather community input and make recommendations to the county.

The council typically includes seven appointed members, one alternate, and sometimes a youth representative, with members serving staggered terms. Public meetings are usually held on the first Tuesday of each month at 6 p.m., often at the Alamo Women's Club. The MAC may also form subcommittees to address specific issues.

It is separate from the Alamo Improvement Association (AIA), which is a private nonprofit organization. INVESTMENT RELATED: No NUMBER OF HOURS: 5 SECURITIES TRADING HOURS: 0 START DATE: 04/01/2026

ADDRESS: 309 Diablo Rd, Danville CA 94526, United States

DESCRIPTION: The Alamo Municipal Advisory Council (MAC) board members are 7 appointed residents who advise the Contra Costa County Board of Supervisors on local issues, including land use, public safety, transportation, and public works. They act as a community liaison, reviewing local development projects and infrastructure needs to provide recommendations directly to the county.



## 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	3
Judgment/Lien	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 3

<b>Reporting Source:</b>	Individual
<b>Employing firm when activities occurred which led to the complaint:</b>	Lincoln Financial Advisors Corporation
<b>Allegations:</b>	The client alleges the RR misinformed her regarding advisor fees and the financial planning fee initially discussed in March 2018.
<b>Product Type:</b>	No Product
<b>Alleged Damages:</b>	\$0.00
<b>Alleged Damages Amount Explanation (if amount not exact):</b>	Client claims damages in the amount of \$5,000.
<b>Is this an oral complaint?</b>	No
<b>Is this a written complaint?</b>	Yes
<b>Is this an arbitration/CFTC reparation or civil litigation?</b>	No

### Customer Complaint Information

<b>Date Complaint Received:</b>	08/15/2018
<b>Complaint Pending?</b>	No
<b>Status:</b>	Denied
<b>Status Date:</b>	09/04/2018

**Settlement Amount:****Individual Contribution Amount:****Broker Statement**

The firms investigation found no evidence to support the allegations and confirmed the client received appropriate disclosures to make informed decisions.

**Disclosure 2 of 3****Reporting Source:**

Individual

**Employing firm when activities occurred which led to the complaint:**

Lincoln Financial Advisors

**Allegations:**

Claimants allege the representative's August 2015 investment recommendation incurred market loss contrary to their objective that their principal remain safe.

**Product Type:**

Mutual Fund  
Other: Asset Management Accounts

**Alleged Damages:**

\$0.00

**Alleged Damages Amount Explanation (if amount not exact):**

Actual damages to be determined at hearing.

**Arbitration Information****Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.):**

FINRA

**Docket/Case #:**

16-02525

**Date Notice/Process Served:**

10/20/2016

**Arbitration Pending?**

No

**Disposition:**

Settled

**Disposition Date:**

02/15/2018

**Monetary Compensation Amount:**

\$40,000.00

**Individual Contribution Amount:**

\$10,000.00

**Broker Statement**

This matter was resolved through a settlement to avoid the substantial litigation costs associated with further defense of this case. I specifically deny the false allegations that were levied against me by this client, and I will continue to treat all my clients honestly, ethically, and with integrity.

**Disclosure 3 of 3****Reporting Source:**

Individual

**Employing firm when activities occurred which led to the complaint:**

LINCOLN FINANCIAL ADVISORS

**Allegations:**

THE CLIENT ALLEGED THAT HIS INVESTMENTS, PURCHASED BEGINNING IN 2011, WERE IN CONTRADICTION WITH THIS FINANCIAL OBJECTIVES.



<b>Product Type:</b>	Insurance Real Estate Security
<b>Alleged Damages:</b>	\$0.00
<b>Alleged Damages Amount Explanation (if amount not exact):</b>	DAMAGES ARE BELIEVED TO BE GREATER THAN \$5,000.
<b>Is this an oral complaint?</b>	No
<b>Is this a written complaint?</b>	Yes
<b>Is this an arbitration/CFTC reparation or civil litigation?</b>	No

**Customer Complaint Information**

<b>Date Complaint Received:</b>	07/07/2014
<b>Complaint Pending?</b>	No
<b>Status:</b>	Denied
<b>Status Date:</b>	07/14/2014

**Settlement Amount:**

**Individual Contribution Amount:**

**Broker Statement**

THE FIRM'S INVESTIGATION FOUND THE INVESTMENT RECOMMENDATION FOR EACH PRODUCT TO BE SUITABLE AND APPROPRIATE TO FULFILL THE CUSTOMER'S OBJECTIVES AND FOUND NO EVIDENCE TO SUPPORT THE ALLEGATIONS THAT THE REPRESENTATIVE SOLD THE CLIENT PRODUCTS THAT WERE IN CONTRADICTION TO HIS FINANCIAL OBJECTIVES.



## 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>	Internal Revenue Service
<b>Judgment/Lien Amount:</b>	\$141,430.19
<b>Judgment/Lien Type:</b>	Tax
<b>Date Filed with Court:</b>	02/13/2024
<b>Date Individual Learned:</b>	02/16/2024
<b>Type of Court:</b>	Federal Court
<b>Name of Court:</b>	Contra Costa County Court
<b>Location of Court:</b>	Martinez, CA
<b>Docket/Case #:</b>	486737324
<b>Judgment/Lien Outstanding?</b>	Yes



## End of Report

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