



## IAPD Report

# VICTOR JOSEPH MASTRELLA

CRD# 5060308

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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

### VICTOR JOSEPH MASTRELLA (CRD# 5060308)

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 **01/05/2026**.

### CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
<b>B</b>	OSAIC WEALTH, INC.	CRD# 23131	03/31/2023
<b>IA</b>	NWF ADVISORY SERVICES INC	CRD# 110410	04/03/2023

### QUALIFICATIONS

This representative is currently registered in **1** 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
<b>B</b>	CETERA ADVISORS LLC	10299	Westlake Village, CA	09/08/2022 - 04/04/2023
<b>IA</b>	CETERA INVESTMENT ADVISERS LLC	105644	WESTLAKE VILLAGE, CA	11/12/2020 - 04/04/2023
<b>B</b>	FIRST ALLIED SECURITIES, INC.	32444	Westlake Village, CA	06/13/2014 - 09/08/2022

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	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 1 SRO(s) through his or her employer(s).

### Employment 1 of 2

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	03/31/2023
<b>B</b> Alabama	Agent	Approved	08/17/2023
<b>B</b> Arizona	Agent	Approved	03/31/2023
<b>B</b> California	Agent	Approved	03/31/2023
<b>B</b> Colorado	Agent	Approved	05/01/2023
<b>B</b> Connecticut	Agent	Approved	03/31/2023
<b>B</b> Florida	Agent	Approved	03/31/2023
<b>B</b> Massachusetts	Agent	Approved	03/31/2023
<b>B</b> Nevada	Agent	Approved	03/31/2023
<b>B</b> New Jersey	Agent	Approved	03/31/2023
<b>B</b> New York	Agent	Approved	03/31/2023
<b>B</b> Oregon	Agent	Approved	03/31/2023
<b>B</b> South Carolina	Agent	Approved	03/31/2023



### Qualifications

Regulator	Registration	Status	Date
<b>B</b> Washington	Agent	Approved	04/05/2023

### Branch Office Locations

**OSAIC WEALTH, INC.**  
 340 N. WESTLAKE BLVD  
 SUITE 118  
 WESTLAKE VILLAGE, CA 91362

### Employment 2 of 2

Firm Name: **NWF ADVISORY SERVICES INC**  
 Main Address: 11835 W OLYMPIC BLVD  
 STE 1155 E.  
 LOS ANGELES, CA 90064  
 Firm ID#: 110410

Regulator	Registration	Status	Date
<b>IA</b> California	Investment Adviser Representative	Approved	04/03/2023

### Branch Office Locations

**NWF ADVISORY SERVICES INC**  
 32107 Lindero Canyon Rd. Suite 217  
 Westlake Village, CA 91361



## 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
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No information reported.

#### General Industry/Product Exams

Exam	Category	Date
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Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
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General Securities Representative Examination (S7)	Series 7	12/22/2005
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#### State Securities Law Exams

Exam	Category	Date
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Uniform Combined State Law Examination (S66)	Series 66	01/29/2007
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Uniform Securities Agent State Law Examination (S63)	Series 63	12/29/2005
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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
B	09/08/2022 - 04/04/2023	CETERA ADVISORS LLC	CRD# 10299	Westlake Village, CA
IA	11/12/2020 - 04/04/2023	CETERA INVESTMENT ADVISERS LLC	CRD# 105644	WESTLAKE VILLAGE, C
B	06/13/2014 - 09/08/2022	FIRST ALLIED SECURITIES, INC.	CRD# 32444	Westlake Village, CA
IA	06/16/2014 - 11/12/2020	FIRST ALLIED ADVISORY SERVICES, INC.	CRD# 137888	Westlake Village, CA
IA	09/02/2009 - 06/16/2014	WESTERN INTERNATIONAL SECURITIES	CRD# 39262	AGOURA HILLS, CA
B	09/01/2009 - 06/16/2014	WESTERN INTERNATIONAL SECURITIES, INC.	CRD# 39262	AGOURA HILLS, CA
IA	10/31/2008 - 09/03/2009	BANC OF AMERICA INVESTMENT SERVICES, INC.	CRD# 16361	WESTLAKE VILLAGE, C
B	10/30/2008 - 09/03/2009	BANC OF AMERICA INVESTMENT SERVICES, INC.	CRD# 16361	WESTLAKE VILLAGE, C
IA	02/05/2007 - 11/04/2008	EDWARD JONES	CRD# 250	WESTLAKE, CA
B	01/03/2006 - 11/04/2008	EDWARD JONES	CRD# 250	WESTLAKE, CA

### 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
03/2023 - Present	ROYAL ALLIANCE ASSOCIATES, INC.	REGISTERED REPRESENTATIVE	Y	WESTLAKE VILLAGE, CA, United States
09/2022 - 03/2023	CETERA ADVISORS LLC	REGISTERED REPRESENTATIVE	Y	Westlake Village, CA, United States
11/2020 - 09/2022	FIRST ALLIED ADVISORY SERVICES	INVESTMENT ADVISOR REPRESENTATIVE	Y	SCHAUMBURG, IL, United States
06/2014 - 09/2022	FIRST ALLIED SECURITIES, INC.	REGISTERED REPRESENTATIVE	Y	SAN DIEGO, CA, United States



## Registration & Employment History

### EMPLOYMENT HISTORY

Employment Dates	Employer Name	Position	Investment Related	Employer Location
06/2014 - 11/2020	FIRST ALLIED ADVISORY SERVICES, INC.	INVESTMENT ADVISORY REPRESENTATIVE	Y	CHESTERFIELD, MO, 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. LAW OFFICE OF VICTOR J MASTRELLA

POSITION: Attorney at Law NATURE: Sole proprietor offering legal services. INVESTMENT RELATED: No NUMBER OF HOURS: 10 SECURITIES TRADING HOURS: 5 START DATE: 06/11/1996  
 ADDRESS: 340 N. Westlake Boulevard, Suite 118, Westlake Village CA 91362, United States  
 DESCRIPTION: Giving legal consultation, analysis and representation.

#### 2. INSURANCE; FIXED INSURANCE; INDEPENDENT CONTRACTOR; 4 HOURS PER MONTH; START DATE: 06/13/2014

#### 3. UPTICK WEALTH MANAGEMENT - INSURANCE

POSITION: Insurance Agent NATURE: Sole Proprietorship selling Life, Health & LTC Insurance & Fixed Annuities. INVESTMENT RELATED: Yes NUMBER OF HOURS: 10 SECURITIES TRADING HOURS: 0 START DATE: 06/14/2014  
 ADDRESS: 340 N. Westlake Boulevard, Suite 118, Westlake Village CA 91362, United States  
 DESCRIPTION: Selling Life, Health & LTC Insurance & Fixed Annuities.

#### 4. UPTICK WEALTH MANAGEMENT - DBA

POSITION: Owner-Financial Professional NATURE: Sole Proprietorship DBA INVESTMENT RELATED: Yes NUMBER OF HOURS: 40 SECURITIES TRADING HOURS: 5 START DATE: 06/14/2014  
 ADDRESS: 340 N. Westlake Boulevard, Suite 118, Westlake Village CA 91362, United States  
 DESCRIPTION: This is my DBA which covers all of the responsibilities I have regarding my duties as a financial professional, including but not limited to, opening client accounts, providing investment advice and recommendations to clients, supervising and maintaining client accounts, particularly in fee-based manner.

#### 5. NWF ADVISORY SERVICES RIA

POSITION: Registered Investment Advisor NATURE: Sole Proprietorship. INVESTMENT RELATED: Yes NUMBER OF HOURS: 40 SECURITIES TRADING HOURS: 20 START DATE: 03/27/2023  
 ADDRESS: 340 N. Westlake Boulevard Ste 118, Suite 118, Westlake Village CA 91361, United States  
 DESCRIPTION: As RIA I meet with clients to create investment portfolios. I review the portfolios on my own and with clients as well and make adjustments as needed.



## 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	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 1

<b>Reporting Source:</b>	Individual
<b>Court Details:</b>	EXACT NAME OF COURT UNKNOWN; LOCATION OF COURT WAS PHOENIX OR TEMPE; THE COUNTY WAS MARICOPA COUNTY; THE STATE WAS ARIZONA; THE DOCKET OR CASE NUMBER IS UNKNOWN; THE CASE WAS DISMISSED AND I DID NOT RECEIVE ANY PAPERWORK; ATTEMPTS TO FIND INFORMATION FROM THE COUNTY WERE UNSUCCESSFUL.
<b>Charge Date:</b>	05/10/1987
<b>Charge Details:</b>	ONE COUNT OF PETTY THEFT; MISDEMEANOR; NO PLEA ENTERED - CASE DISMISSED BY THE PROSECUTION AT ARRAIGNMENT.
<b>Felony?</b>	No
<b>Current Status:</b>	Final
<b>Status Date:</b>	05/10/1987
<b>Disposition Details:</b>	A. DISMISSED; B. MAY OF 1987; C. NO SENTENCE OR PENALTY; D. NOT APPLICABLE; E. NOT APPLICABLE; F. NOT APPLICABLE; G. NOT APPLICABLE.
<b>Broker Statement</b>	THE MATTER WAS A MISUNDERSTANDING AND WHEN EXPLAINED TO THE PROSECUTOR HE DECIDED TO DISMISS THE CASE.



## End of Report

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