IAPD Report

TIMOTHY HAROLD JUDSON

CRD# 709195

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 HAROLD JUDSON (CRD# 709195)

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 **07/07/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	OSAIC WEALTH, INC.	CRD# 23131	11/19/1989
IA	OSAIC WEALTH, INC.	CRD# 23131	09/09/2005

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **34** 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	INTEGRATED RESOURCES EQUITY CORPORATION	6403	LOCATION	06/02/1983 - 11/19/1989
B	DERAND INVESTMENT CORPORATION OF AMERICA	4679	LOCATION	06/02/1980 - 06/02/1983

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
Customer Dispute	3

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 **34** 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 Principal	Approved	11/19/1989
B	FINRA	General Securities Representative	Approved	11/19/1989
B	FINRA	Municipal Fund	Approved	06/16/2003
B	Alabama	Agent	Approved	07/26/2002
B	Arizona	Agent	Approved	10/07/2021
B	California	Agent	Approved	02/19/1998
B	Colorado	Agent	Approved	11/22/2013
B	Connecticut	Agent	Approved	01/27/2000
B	Delaware	Agent	Approved	06/02/1998
B	District of Columbia	Agent	Approved	11/19/1989
B	Florida	Agent	Approved	06/04/1998
IA	Florida	Investment Adviser Representative	Approved	09/27/2024
B	Georgia	Agent	Approved	06/15/1998

Qualifications

	Regulator	Registration	Status	Date
B	Hawaii	Agent	Approved	06/04/2025
B	Idaho	Agent	Approved	09/23/2022
B	Illinois	Agent	Approved	01/15/2014
B	Indiana	Agent	Approved	09/01/2020
B	Kansas	Agent	Approved	01/08/2010
B	Kentucky	Agent	Approved	05/28/2004
B	Maine	Agent	Approved	08/26/2015
B	Maryland	Agent	Approved	11/19/1989
B	Massachusetts	Agent	Approved	07/30/2015
B	Michigan	Agent	Approved	09/10/2015
B	Missouri	Agent	Approved	07/11/2017
B	Nevada	Agent	Approved	10/02/2025
B	New Jersey	Agent	Approved	06/23/1995
B	New York	Agent	Approved	05/19/1999
B	North Carolina	Agent	Approved	06/02/1998
IA	North Carolina	Investment Adviser Representative	Approved	05/12/2025
B	Ohio	Agent	Approved	08/21/2018
B	Oregon	Agent	Approved	03/03/2026
B	Pennsylvania	Agent	Approved	06/06/1997

Qualifications

	Regulator	Registration	Status	Date
B	South Carolina	Agent	Approved	10/02/1998
B	Texas	Agent	Approved	06/01/1998
IA	Texas	Investment Adviser Representative	Restricted Approval	06/10/2024
B	Utah	Agent	Approved	07/30/2026
B	Vermont	Agent	Approved	07/23/2024
B	Virginia	Agent	Approved	11/19/1989
IA	Virginia	Investment Adviser Representative	Approved	09/09/2005
B	Washington	Agent	Approved	07/30/2015
B	West Virginia	Agent	Approved	06/02/1998

Branch Office Locations

OSAIC WEALTH, INC.
7918 JONES BRANCH DR
SUITE 400
MCLEAN, VA 22102

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

Principal/Supervisory Exams

	Exam	Category	Date
B	Municipal Fund Securities Principal Examination (S51)	Series 51	06/13/2003
B	General Securities Principal Examination (S24)	Series 24	09/16/1983

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	05/17/1980

State Securities Law Exams

	Exam	Category	Date
IA	Uniform Investment Adviser Law Examination (S65)	Series 65	09/06/2005
B	Uniform Securities Agent State Law Examination (S63)	Series 63	07/09/1980

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
B	06/02/1983 - 11/19/1989	INTEGRATED RESOURCES EQUITY CORPORATION	CRD# 6403	
B	06/02/1980 - 06/02/1983	DERAND INVESTMENT CORPORATION OF AMERICA	CRD# 4679	

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
11/1989 - Present	OSAIC WEALTH, INC.	REGISTERED REPRESENTATIVE	Y	MCLEAN, VA, 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. TIM JUDSON
POSITION: Statutory Agent - NATURE: Sole Proprietorship - INVESTMENT RELATED: Yes NUMBER OF HOURS: 1
SECURITIES TRADING HOURS: 0 START DATE: 01/01/1990
ADDRESS: 7918 Jones Branch Dr, suite 400, Mclean VA 22102, United States
DESCRIPTION: I do a very limited amount of insurance business.usually only by request of an existing client.

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
Customer Dispute	3

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

Reporting Source:	Individual
Court Details:	ARLINGTON COUNTY VIRGINIA (COMMONWEALTH VS JUDSON 1983) C-21039
Charge Date:	07/15/1983
Charge Details:	IN FEBRUARY OF 1983 I WAS CHARGED WITH POSSESSION OF COCAINE (A CLASS FELONY) STEMMING FROM AN INCIDENT OCCURRING ON OR ABOUT JAN 15, 1983. UNDER WHAT WAS THEN A FIRST OFFENDER TYPE PROGRAM I WAS ON A PROBATION TYPE PERIOD AND AT THE END OF THE PROBATION PERIOD I PLEAD GUILTY TO POSSESSION OF PARAPHINALIA (A MISDEMENAOR CASE CLOSED
Felony?	
Current Status:	Final
Status Date:	07/19/1985
Disposition Details:	I PLEAD GUILTY TO POSSESSION OF PARAPHINALIA (A MISDEMEANOR) AND PAID A $50.00 (FIFTY DOLLAR FINE) PLUS COURT COSTS.
Broker Statement	AS PER THE REQUEST OF THE NASD I HAVE ENCLOSED A COPY OF THE 1983 VA STATUTE AS HAVING BEEN PROVIDED BY MY ATTORNEY. PLEASE LET ME KNOW IF ANY ADDITION DOCUMENTATION SHOULD BE REQUIRED.

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

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	ROYAL ALLIANCE ASSOCIATES, INC.
Allegations:	The claimants allege that recommendations of two products out of many investment recommendations were not in keeping with their investment needs and objectives.
Product Type:	Direct Investment-DPP & LP Interests
Alleged Damages:	$100,000.00
Alleged Damages Amount Explanation (if amount not exact):	Damages are alleged "between $100,000 and $500,000."

Arbitration Information

Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.):	FINRA
Docket/Case #:	23-02034
Date Notice/Process Served:	07/21/2023
Arbitration Pending?	No
Disposition:	Settled
Disposition Date:	03/25/2025
Monetary Compensation Amount:	$12,250.00
Individual Contribution Amount:	$0.00
Broker Statement	The matter was settled by the broker-dealer in order to avoid the ongoing costs and uncertainly of arbitration. The representative did not contribute to the settlement.

Disclosure 2 of 3

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	ROYAL ALLIANCE ASSOCIATES
Allegations:	CLAIMANT ALLEGES THAT TWO RECOMMENDATIONS OF ALTERNATIVE INVESTMENTS WERE NOT IN KEEPING WITH THE CLIENTS NEEDS AND OBJECTIVES.

Product Type:	Direct Investment-DPP & LP Interests
Alleged Damages:	$50,000.00
Alleged Damages Amount Explanation (if amount not exact):	DAMAGES OF BETWEEN $50,000 AND $100,000 ARE REQUESTED IN THIS MATTER.
Is this an oral complaint?	No
Is this a written complaint?	No
Is this an arbitration/CFTC reparation or civil litigation?	Yes
Arbitration/Reparation forum or court name and location:	FINRA Dispute Resolution
Docket/Case #:	21-00198
Filing date of arbitration/CFTC reparation or civil litigation:	01/26/2021

Customer Complaint Information

Date Complaint Received:	01/26/2021
Complaint Pending?	No
Status:	Settled
Status Date:	06/13/2022
Settlement Amount:	$30,000.00
Individual Contribution Amount:	$0.00
Broker Statement	The claim was settled by the Firm to avoid the uncertainty and on-going costs of arbitration. The financial professional did not participate in or contribute to the settlement.

Disclosure 3 of 3

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	INTEGRATED RESOURCES EQUITY CORP.
Allegations:	REP UNDER MY SUPERVISION SOLD HIGH CONCENTRATION OF ILLIQUID INTEGRATED RESOURCES LIMITED PARTNERSHIPS TO OLDER CLIENT. ARBITRATION ALLEGED CLIENT NOT SUITABLE. ALSO PERFORMANCE ISSUES AND LIQUIDITY ISSUES ARISING FROM INTEGRATED RESOURCES BANKRUPTCY.
Product Type:	Direct Investment(s) - DPP & LP Interest(s)
Other Product Type(s):	ANNUITY
Alleged Damages:	$500,000.00

Customer Complaint Information

Date Complaint Received:	01/15/1991

Complaint Pending?	No
Status:	Arbitration/Reparation
Status Date:	01/15/1994
Settlement Amount:	
Individual Contribution Amount:	

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.:	NASD; 91-04082
Date Notice/Process Served:	01/15/1991
Arbitration Pending?	No
Disposition:	Settled
Disposition Date:	01/15/1994
Monetary Compensation Amount:	$200,000.00
Individual Contribution Amount:	$0.00

Civil Litigation Information

Court Details:	NO
Date Notice/Process Served:	
Litigation Pending?	No
Broker Statement	INSURANCE COMPANY SETTLED W CLIENT FOR $200,000. CASE WAS SETTLED IN 1994 WITH A PRE-ARBITRATION AGREEMENT WITH A MONETARY SETTLEMENT WHICH I DID NOT PARTICIPATE IN BUT WAS HOWEVER, INDEMNIFIED AND PERMANENTLY RELEASED FROM ANY LIABILITY IN THE CASE. I HAVE PROVEDED THESE DETAILS FROM MEMORY AND BELIEVE THEM TO BE ACCURATE. HOWEVER, I CAN'T BE EXACTLY SURE BECAUSE OF THE LONG TIME THAT HAS ELAPSED SINCE THIS CASE WAS SETTLED.

End of Report

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