



IAPD Report

Joel W Austin

CRD# 8032748

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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

Joel W Austin (CRD# 8032748)

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 **07/02/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
IA	PORTFOLIO MEDICS, LLC	CRD# 145958	07/06/2026

QUALIFICATIONS

This representative is currently registered in **0** SRO(s) and **1** 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	THRIVENT INVESTMENT MANAGEMENT INC.	18387	High Point, NC	08/15/2025 - 02/27/2026
B	THRIVENT INVESTMENT MANAGEMENT INC.	18387	High Point, NC	05/07/2025 - 02/27/2026

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 **1** jurisdiction(s) and **0** SRO(s) through his or her employer(s).

Employment 1 of 1

Firm Name: **PORTFOLIO MEDICS, LLC**
Main Address: 27499 RIVERVIEW CENTER BLVD
SUITE 406
BONITA SPRINGS, FL 34134
Firm ID#: 145958

	Regulator	Registration	Status	Date
IA	North Carolina	Investment Adviser Representative	Approved	07/06/2026

Branch Office Locations

PORTFOLIO MEDICS, LLC
High Point, NC



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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B	General Securities Representative Examination (S7TO)	Series 7TO	05/06/2025
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B	Securities Industry Essentials Examination (SIE)	SIE	04/02/2025
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State Securities Law Exams

Exam	Category	Date
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IA	B	Uniform Combined State Law Examination (S66)	Series 66	08/08/2025
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B	Uniform Securities Agent State Law Examination (S63)	Series 63	07/21/2025
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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	08/15/2025 - 02/27/2026	THRIVENT INVESTMENT MANAGEMENT INC.	CRD# 18387	High Point, NC
B	05/07/2025 - 02/27/2026	THRIVENT INVESTMENT MANAGEMENT INC.	CRD# 18387	High Point, NC

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
07/2026 - Present	Portfolio Medics	Investment Advisor Representative	Y	Bonita Springs, FL, United States
05/2025 - Present	Multiple Insurance Firms	Independent Insurance Agent	N	High Point, NC, United States
09/2022 - Present	Revolution Worship	Pastor	N	Highpoint, NC, United States
09/2025 - 06/2026	Thrivent Financial	Financial Associate	Y	Appleton, WI, United States
02/2025 - 06/2026	Thrivent Investment Management Inc.	Registered Representative	Y	High Point, NC, United States
01/2002 - 04/2025	Self-Employed Insurance Agent	Self-employed Insurance Agent	N	Hickory, NC, United States
01/2025 - 03/2025	The Auto Club Group	Remote CSR	N	Tampa, FL, United States
03/2024 - 11/2024	The Auto Club Group	Multiline Agent/ Field Service Agent	N	Greensboro, NC, United States
02/2024 - 03/2024	Phillip Robinson All State	Insurance Agent	N	Charlotte, NC, United States
07/2022 - 03/2024	Ailm Financial	Insurance Agent/Self-Employed	N	High Point, NC, United States
09/2023 - 01/2024	John Wagner State Farm	Insurance Agent	N	Greensboro, NC, United States
03/2022 - 05/2022	Macedonia Baptist Church	Interim Pastor	N	Fayetteville, NC, United States
08/2019 - 03/2022	First Baptist Church of Archdale DBA Joy Community Fellowship	Family Life Director	N	High Point, NC, United States
09/2018 - 08/2019	Burke International Tours	Diesel Technician	N	Maiden, NC, United States



Registration & Employment History



EMPLOYMENT HISTORY

Employment Dates	Employer Name	Position	Investment Related	Employer Location
11/2017 - 08/2019	Southern Senior Network	Remote Marketing Director	N	Hickory, NC, United States
07/2015 - 11/2017	Southern Senior Network	Remote External Wholesaler	N	Hickory, NC, 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.

Independent Insurance Agent for multiple insurance agencies. In this role he transacts in insurance products including annuities. He spends approximately 20 hours a week during market and non-market hours in this endeavor.

REVOLUTION WORSHIP

POSITION: Pastor NATURE: Its a church INVESTMENT RELATED: No NUMBER OF HOURS: 15 SECURITIES TRADING HOURS: 5 START DATE: 09/01/2022

ADDRESS: 304 Greenoak dr, Archdale NC 27263, United States

DESCRIPTION: I preach and minister to the members of Revolution Worship.



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

Reporting Source:	Individual
Formal Charges were brought in:	State Court
Name of Court:	General Court of North Carolina Iredell County
Location of Court:	Statesville, NC
Docket/Case #:	03cr0512470
Charge Date:	02/12/2003
Charge(s) 1 of 1	
Formal Charge(s)/Description:	Misdemeanor Worthless Check
No of Counts:	1
Felony or Misdemeanor:	Misdemeanor
Plea for each charge:	Guilty
Disposition of charge:	Pled guilty
Current Status:	Final
Status Date:	04/04/2003
Disposition Date:	04/04/2003
Sentence/Penalty:	No Fine Court Costs \$100 Check: \$9.59 NSF Fee: \$25.00 TOTAL: 134.59
Broker Statement	I wrote a check as a 22 year old father of a baby born 8/01/02 for Luvs diapers at Walmart. It bounced, I was young and didn't do well balancing my checkbook at



the time. I was living with my wife and baby at the time but had not moved my address from my parents yet and so I never received to my person the notice. Walmart filed, I got a call from my dad, I went and met the Sherriff, walked across the courtyard to the clerk and paid the fine. \$9.59 cost me \$134.59 and years of explanations like this one.



End of Report

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