

BrokerCheck Report

Timothy Lynn Askew

CRD# 2841715

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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.

About BrokerCheck®



BrokerCheck offers information on all current, and many former, registered securities brokers, and all current and former registered securities firms. FINRA strongly encourages investors to use BrokerCheck to check the background of securities brokers and brokerage firms before deciding to conduct, or continue to conduct, business with them.

- **What is included in a BrokerCheck report?**

- BrokerCheck reports for individual brokers include information such as employment history, professional qualifications, disciplinary actions, criminal convictions, civil judgments and arbitration awards. BrokerCheck reports for brokerage firms include information on a firm's profile, history, and operations, as well as many of the same disclosure events mentioned above.
- Please note that the information contained in a BrokerCheck 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 broker or brokerage firm, or concluded through a negotiated settlement with no admission or finding of wrongdoing.

- **Where did this information come from?**

- The information contained in BrokerCheck comes from FINRA's Central Registration Depository, or CRD® and is a combination of:
 - o information FINRA and/or the Securities and Exchange Commission (SEC) require brokers and brokerage firms to submit as part of the registration and licensing process, and
 - o information that regulators report regarding disciplinary actions or allegations against firms or brokers.

- **How current is this information?**

- Generally, active brokerage firms and brokers are required to update their professional and disciplinary information in CRD within 30 days. Under most circumstances, information reported by brokerage firms, brokers and regulators is available in BrokerCheck the next business day.

- **What if I want to check the background of an investment adviser firm or investment adviser representative?**

- To check the background of an investment adviser firm or representative, you can search for the firm or individual in BrokerCheck. If your search is successful, click on the link provided to view the available licensing and registration information in the SEC's Investment Adviser Public Disclosure (IAPD) website at <https://www.adviserinfo.sec.gov>. In the alternative, you may search the IAPD website directly or contact your state securities regulator at <http://www.finra.org/Investors/ToolsCalculators/BrokerCheck/P455414>.

- **Are there other resources I can use to check the background of investment professionals?**

- FINRA recommends that you learn as much as possible about an investment professional before deciding to work with them. Your state securities regulator can help you research brokers and investment adviser representatives doing business in your state.

Thank you for using FINRA BrokerCheck.



Using this site/information means that you accept the FINRA BrokerCheck Terms and Conditions. A complete list of Terms and Conditions can be found at brokercheck.finra.org



For additional information about the contents of this report, please refer to the User Guidance or www.finra.org/brokercheck. It provides a glossary of terms and a list of frequently asked questions, as well as additional resources. For more information about FINRA, visit www.finra.org.

**Timothy L. Askew**

CRD# 2841715

Currently employed by and registered with the following Firm(s):

IA RAYMOND JAMES FINANCIAL SERVICES ADVISORS, INC
 224 B SOUTH GROVE STREET
 HENDERSONVILLE, NC 28792
 CRD# 149018
 Registered with this firm since: 01/02/2009

B RAYMOND JAMES FINANCIAL SERVICES, INC.
 224 B SOUTH GROVE STREET
 HENDERSONVILLE, NC 28792
 CRD# 6694
 Registered with this firm since: 05/19/2004

Report Summary for this Broker

This report summary provides an overview of the broker's professional background and conduct. Additional information can be found in the detailed report.

Broker Qualifications

This broker is registered with:

- 1 Self-Regulatory Organization
- 30 U.S. states and territories

This broker has passed:

- 2 Principal/Supervisory Exams
- 3 General Industry/Product Exams
- 2 State Securities Law Exams

Registration History

This broker was previously registered with the following securities firm(s):

- IA RAYMOND JAMES FINANCIAL SERVICES**
 CRD# 6694
 ST. PETERSBURG, FL
 05/2004 - 01/2009
- IA WACHOVIA SECURITIES, LLC**
 CRD# 19616
 ST. LOUIS, MO
 05/2003 - 05/2004
- B WACHOVIA SECURITIES, LLC**
 CRD# 19616
 ST. LOUIS, MO
 06/2002 - 05/2004

Disclosure Events

All individuals registered to sell securities or provide investment advice are required to disclose customer complaints and arbitrations, regulatory actions, employment terminations, bankruptcy filings, and criminal or civil judicial proceedings.

Are there events disclosed about this broker? **Yes**

The following types of disclosures have been reported:

Type	Count
Customer Dispute	1



Broker Qualifications

Registrations

This section provides the self-regulatory organizations (SROs) and U.S. states/territories the broker is currently registered and licensed with, the category of each license, and the date on which it became effective. This section also provides, for every brokerage firm with which the broker is currently employed, the address of each branch where the broker works.

This individual is currently registered with 1 SRO and is licensed in 30 U.S. states and territories through his or her employer.

Employment 1 of 2

Firm Name: **RAYMOND JAMES FINANCIAL SERVICES ADVISORS, INC**
 Main Office Address: **880 CARILLON PARKWAY
 SAINT PETERSBURG, FL 33716**
 Firm CRD#: **149018**

	U.S. State/ Territory	Category	Status	Date
IA	North Carolina	Investment Adviser Representative	Approved	01/02/2009
IA	South Carolina	Investment Adviser Representative	Approved	01/26/2022
IA	Texas	Investment Adviser Representative	Restricted Approval	09/11/2019

Branch Office Locations

224 B SOUTH GROVE STREET
 HENDERSONVILLE, NC 28792

Abbeville, SC

Employment 2 of 2

Firm Name: **RAYMOND JAMES FINANCIAL SERVICES, INC.**
 Main Office Address: **880 CARILLON PARKWAY
 ST. PETERSBURG, FL 33716**
 Firm CRD#: **6694**

	SRO	Category	Status	Date
B	FINRA	General Securities Representative	Approved	05/19/2004



Broker Qualifications

Employment 2 of 2, continued

SRO	Category	Status	Date
B FINRA	General Securities Sales Supervisor	Approved	10/22/2004

U.S. State/ Territory	Category	Status	Date
B Alabama	Agent	Approved	09/19/2012
B Arizona	Agent	Approved	05/03/2016
B Arkansas	Agent	Approved	06/13/2024
B California	Agent	Approved	06/01/2012
B Colorado	Agent	Approved	06/03/2019
B Connecticut	Agent	Approved	11/15/2021
B Florida	Agent	Approved	07/29/2005
B Georgia	Agent	Approved	03/20/2007
B Illinois	Agent	Approved	02/23/2015
B Kentucky	Agent	Approved	06/29/2022
B Louisiana	Agent	Approved	11/06/2019
B Maryland	Agent	Approved	10/15/2020
B Massachusetts	Agent	Approved	02/03/2022
B Michigan	Agent	Approved	06/22/2020
B Missouri	Agent	Approved	04/19/2021
B New Jersey	Agent	Approved	03/27/2014
B New York	Agent	Approved	01/03/2007
B North Carolina	Agent	Approved	05/19/2004
B Ohio	Agent	Approved	01/08/2021



Broker Qualifications

Employment 2 of 2, continued

	U.S. State/ Territory	Category	Status	Date
B	Oklahoma	Agent	Approved	06/18/2020
B	Oregon	Agent	Approved	07/08/2016
B	Pennsylvania	Agent	Approved	01/02/2014
B	South Carolina	Agent	Approved	05/19/2004
B	Tennessee	Agent	Approved	03/24/2017
B	Texas	Agent	Approved	11/04/2016
B	Utah	Agent	Approved	01/04/2013
B	Vermont	Agent	Approved	01/21/2020
B	Virginia	Agent	Approved	03/10/2010
B	West Virginia	Agent	Approved	09/15/2004
B	Wisconsin	Agent	Approved	01/04/2010

Branch Office Locations

RAYMOND JAMES FINANCIAL SERVICES, INC.
 224 B SOUTH GROVE STREET
 HENDERSONVILLE, NC 28792



Broker Qualifications

Industry Exams this Broker has Passed

This section includes all securities industry exams that the broker has passed. Under limited circumstances, a broker may attain a registration after receiving an exam waiver based on exams the broker has passed and/or qualifying work experience. Any exam waivers that the broker has received are not included below. A passed exam or exam waiver does not permit a broker to do business without an active SRO or state registration.

This individual has passed 2 principal/supervisory exams, 3 general industry/product exams, and 2 state securities law exams.

Principal/Supervisory Exams

Exam	Category	Date
B General Securities Sales Supervisor - Options Module Examination	Series 9	10/21/2004
B General Securities Sales Supervisor - General Module Examination	Series 10	08/25/2004

General Industry/Product Exams

Exam	Category	Date
B Securities Industry Essentials Examination	SIE	10/01/2018
B Futures Managed Funds Examination	Series 31	06/02/2003
B General Securities Representative Examination	Series 7	02/03/1997

State Securities Law Exams

Exam	Category	Date
IA Uniform Investment Adviser Law Examination	Series 65	03/06/1997
B Uniform Securities Agent State Law Examination	Series 63	02/20/1997

Additional information about the above exams or other exams FINRA administers to brokers and other securities professionals can be found at www.finra.org/brokerqualifications/registeredrep/.

Broker Qualifications



Professional Designations

This section details that the representative has reported **1** professional designation(s).

Certified Financial Planner

This representative holds or did hold **1** professional designation(s) that may have been used to qualify as an Investment Advisor representative. Please check with the appropriate designation authority for verification that the designation is still in effect. The contact information for these professional designation authorities can be found on the website for the North American Securities Administrators Association at <http://www.nasaa.org>



Registration and Employment History

Registration History

The broker previously was registered with the following firms:

Registration Dates	Firm Name	CRD#	Branch Location
IA 05/2004 - 01/2009	RAYMOND JAMES FINANCIAL SERVICES	6694	ST. PETERSBURG, FL
IA 05/2003 - 05/2004	WACHOVIA SECURITIES, LLC	19616	HENDERSONVILLE, NC
B 06/2002 - 05/2004	WACHOVIA SECURITIES, LLC	19616	ST. LOUIS, MO
B 06/1998 - 06/2002	WACHOVIA SECURITIES, INC.	431	CHARLOTTE, NC
B 02/1997 - 05/1998	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	7691	NEW YORK, NY

Employment History

This section provides up to 10 years of an individual broker's employment history as reported by the individual broker on the most recently filed Form U4.

Please note that the broker is required to provide this information only while registered with FINRA or a national securities exchange and the information is not updated via Form U4 after the broker ceases to be registered. Therefore, an employment end date of "Present" may not reflect the broker's current employment status.

Employment	Employer Name	Position	Investment Related	Employer Location
04/2013 - Present	ASKEW FAMILY FARM	OWNER	N	ABBYVILLE, SC, United States
01/2009 - Present	RAYMOND JAMES FINANCIAL SERVICES ADVISORS, INC.	Investment Advisor Representative	Y	HENDERSONVILLE, NC, United States
05/2004 - Present	RAYMOND JAMES FINANCIAL SERVICES, INC.	Registered Representative	Y	HENDERSONVILLE, NC, United States
03/1999 - Present	SAGE ADVISORY SYSTEMS	OWNER	N	HENDERSONVILLE, NC, United States

Other Business Activities

This section includes information, if any, as provided by the broker regarding other business activities the broker 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)Name of Business: Abbeville Ammo and arms, LLC Address: 450 Fire Tower Rd., Abbeville, SC, 29620, United States Activity Type: Business Owner Position/Title: Owner/Proprietor Investment Related: No Start Date: 10/25/2023 Hours per month devoted to this business: 2-10 Hours per



Registration and Employment History

Other Business Activities, continued

month devoted to this business during trading hours: 0-1 Description of duties: Sales and manufacturing of guns and sales of ammo.

(2)Name of Business: Askew & Associates Wealth Services Address: 224 S Grove St Ste B, Hendersonville, NC, 28792-5067, United States

Activity Type: Support Company - Owner Position/Title: Officer - President Investment Related: No Start Date: 06/20/2004 Hours per month devoted to this business: 81+ Hours per month devoted to this business during trading hours: 81+ Description of duties: Branch Manager & Financial Advisor

(3)Name of Business: Askew Family Farm, LLC Address: 450 Fire Tower Road, Abbeville, sc, 29620, United States Activity Type:

Agriculture/Farming Position/Title: Officer - President Investment Related: No Start Date: 04/03/2013 Hours per month devoted to this business:

11-20 Hours per month devoted to this business during trading hours: 0-1 Description of duties: Owner

(4)Name of Business: Askew Wealth Services Address: 224 So. Grove street, , Hendersonville, NC, 28792, United States Activity Type: Non-variable Insurance Position/Title: Agent Investment Related: Yes Start Date: 07/14/2011 Hours per month devoted to this business: 2-10 Hours per month devoted to this business during trading hours: 0-1 Description of duties: Advising clients on Life insurance products

(5)Name of Business: Askew Wealth Services Address: 224 South Grove Street, Hendersonville, NC, 28792, United States Activity Type: Non-variable Insurance Position/Title: Agent Investment Related: Yes Start Date: 12/01/2006 Hours per month devoted to this business: 0-1 Hours per month devoted to this business during trading hours: 0-1 Description of duties: proprietor/owner of branch support company

(6)Name of Business: Devon Nation, LLC Address: Abbeville, 29620, SC, 29620, United States Activity Type: Agriculture/Farming Position/Title: Other Investment Related: No Start Date: 01/05/2016 Hours per month devoted to this business: 2-10 Hours per month devoted to this business during trading hours: 2-10 Description of duties: MemberOn going management in a family business.

(7)Name of Business: Hidden Pines Lp Address: 450 Fire Tower Road, Abbeville, SC, 29620, United States Activity Type: Rental Real Estate Position/Title: Investment Related: Yes Start Date: 05/28/2008 Hours per month devoted to this business: 0-1 Hours per month devoted to this business during trading hours: 0-1 Description of duties:

(8)Name of Business: SUNNYBROOK ASSI Address: 450 Fire Tower Road, Abbeville, SC, 29620, United States Activity Type: Control Person Position/Title: Trustee (Acting) Investment Related: Yes Start Date: 08/01/2002 Hours per month devoted to this business: 2-10 Hours per month devoted to this business during trading hours: 0-1 Description of duties: Trustee

Disclosure Events



What you should know about reported disclosure events:

1. All individuals registered to sell securities or provide investment advice are required to disclose customer complaints and arbitrations, regulatory actions, employment terminations, bankruptcy filings, and criminal or civil judicial proceedings.
2. **Certain thresholds must be met before an event is reported to CRD, for example:**
 - o A law enforcement agency must file formal charges before a broker is required to disclose a particular criminal event.
 - o A customer dispute must involve allegations that a broker engaged in activity that violates certain rules or conduct governing the industry and that the activity resulted in damages of at least \$5,000.
 - o
3. **Disclosure events in BrokerCheck reports come from different sources:**
 - o As mentioned at the beginning of this report, information contained in BrokerCheck comes from brokers, brokerage 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 BrokerCheck report. The different versions will be separated by a solid line with the reporting source labeled.
 - o
4. **There are different statuses and dispositions for disclosure events:**
 - o A disclosure event may have a status of *pending*, *on appeal*, or *final*.
 - A "pending" event involves allegations that have not been proven or formally adjudicated.
 - An event that is "on appeal" involves allegations that have been adjudicated but are currently being appealed.
 - A "final" event has been concluded and its resolution is not subject to change.
 - o A final 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 involves an agreement by the parties to resolve the matter. Please note that brokers and brokerage firms may choose to settle customer disputes or regulatory matters for business or other reasons.
 - A "resolved" matter usually involves no payment to the customer and no finding of wrongdoing on the part of the individual broker. Such matters generally involve customer disputes.

For your convenience, below is a matrix of the number and status of disclosure events involving this broker. Further information regarding these events can be found in the subsequent pages of this report. You also may wish to contact the broker to obtain further information regarding these events.

	Pending	Final	On Appeal
Customer Dispute	0	1	N/A



Disclosure Event Details

When evaluating this information, please keep in mind that a disclosure event may be pending or involve allegations that are contested and have not been resolved or proven. The matter may, in the end, be withdrawn, dismissed, resolved in favor of the broker, or concluded through a negotiated settlement for certain business reasons (e.g., to maintain customer relationships or to limit the litigation costs associated with disputing the allegations) with no admission or finding of wrongdoing.

This report provides the information exactly as it was reported to CRD and therefore some of the specific data fields contained in the report may be blank if the information was not provided to CRD.

Customer Dispute - Settled

This type of disclosure event involves a consumer-initiated, investment-related complaint, arbitration proceeding or civil suit containing allegations of sale practice violations against the broker that resulted in a monetary settlement to the customer.

Disclosure 1 of 1

Reporting Source:	Firm
Employing firm when activities occurred which led to the complaint:	WACHOVIA SECURITIES, INC. N/K/A WACHOVIA SECURITIES, LLC
Allegations:	NC CLIENT CLAIMS THAT SHE SUFFERED DAMAGES AS A RESULT OF A FAILURE TO PURSUE A SUITABLE INVESTMENT STRATEGY. CLIENT, WHO MAINTAINED HER INVESTMENTS FROM APRIL 2001 TO THE PRESENT, CLAIMS DAMAGES OF \$300,000.
Product Type:	Annuity(ies) - Variable
Alleged Damages:	\$300,000.00

Customer Complaint Information

Date Complaint Received:	06/06/2005
Complaint Pending?	No
Status:	Settled
Status Date:	11/01/2005
Settlement Amount:	\$130,000.00
Individual Contribution Amount:	\$0.00
Firm Statement	SETTLED IN THE INTEREST OF CLIENT RELATIONS AND TO AVOID COSTLY AND TIME-CONSUMING FORMAL PROCEEDINGS, WITHOUT ADMITTING LIABILITY, IN THE AMOUNT OF \$130,000.



Reporting Source: Broker

Employing firm when activities occurred which led to the complaint: WACHOVIA SECURITIES N/K/A WACHOVIA SECURITIES LLC

Allegations: NC CLIENT CLAIMS THAT SHE SUFFERED DAMAGES AS A RESULT OF A FAILURE TO PURSUE A SUITABLE INVESTMENT STRATEGY. CLIENT, WHO MAINTAINED HER INVESTMENTS IN APRIL 2001 TO THE PRESENT, CLAIMS DAMAGES OF \$300,000.

Product Type: Annuity(ies) - Variable

Alleged Damages: \$300,000.00

Customer Complaint Information

Date Complaint Received: 06/06/2005

Complaint Pending? No

Status: Settled

Status Date: 11/01/2005

Settlement Amount: \$130,000.00

Individual Contribution Amount: \$0.00

Broker Statement

I MUST ADMIT THAT IT DOESN'T COME AS A COMPLETE SURPRISE. BASED ON CONVERSATIONS W/ THE CLIENTS & THEIR CONCERN FOR THEIR DAUGHTER'S INTEREST IN THEIR MONEY & MY PERSONAL INTERACTIONS WITH HER ONCE SHE TOOK OVER THEIR FINANCES. THIS WAS AN UNFORTUNATE TURN OF EVENTS THAT LURKED OVER THE RELATIONSHIP. I WANT IT KNOWN THAT ALL INV DECISIONS HAVE SOUND FINANCIAL REASONING AS THEIR FOUNDATION. THE CLIENTS WENT THROUGH A FINANCIAL PLANNING PROCESS CONSISTING OF MANY QUESTIONS, 3 TO 4 INTERVIEWS & AN OVERVIEW OF THE TYPES OF INV STRATEGIES. THE QUESTIONS THEY WERE ASKED AIMED SPECIFICALLY AT DETERMINING THEIR INV SUITABILITY; WHAT IS THEIR RISK TOLERANCE, HOW MUCH MONEY THEY WANTED TO HAVE AVAILABLE PER YEAR, THEIR TAX SITUATION AND INTEREST IN SAVING TAXES, PRINCIPLE PROTECTION, & DISTRIBUTIONS TO HEIRS AND SO ON. ALL INV ADVICE WAS BASED ON THEIR ANSWERS TO THESE QUESTIONS. THERE WERE ALSO INV MADE AS A RESULT OF ACTUAL WRITTEN INSTRUCTIONS SIGNED BY THE CLIENTS. THEY HAD EXPRESSED ON SEVERAL OCCASIONS A FEAR OF THEIR DAUGHTER'S DESIRE FOR THEIR MONEY. THE CLIENT APPROACHED ME



SEVERAL TIMES WITH A CONCERN FOR HIS WIFE UPON HIS DEMISE & HER ABILITY TO BE PROTECTED AGAINST THEIR DAUGHTER'S DESIRE FOR THEIR MONEY. THE WIFE, HER LATE HUSBAND AND I HAVE ALWAYS HAD A GOOD RELATIONSHIP. THEY NEVER COMMUNICATED ANY CONCERNS REGARDING THE MANAGEMENT OF THEIR ASSETS; TO THE CONTRARY THEY EXPRESSED APPRECIATION THAT THEIR FINANCES WERE ARRANGED IN A WAY THAT MET THEIR FINANCIAL GOALS AND CONCERNS. ONE OF THE CLIENTS EVEN MADE MY FAMILY GIFTS AND THE OTHER WOULD STOP IN EVERY WEEK OR SO TO SAY HI AND TO TELL A JOKE. UPON THE DEMISE OF THE HUSBAND, THE CLIENT'S DAUGHTER BEGAN TO TAKE OVER THE FINANCES. THE DAUGHTER BECAME DISPLEASED WITH THE ARRANGEMENTS & MOVED THE ACCOUNT TO ANOTHER INV COMPANY MID YEAR 04. SETTLED IN THE INTEREST OF CLIENT RELATIONS & TO AVOID COSTLY AND TIME-CONSUMING FORMAL PROCEEDINGS, WITHOUT ADMITTING LIABILITY, IN THE AMOUNT OF \$130,000.

End of Report



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