



## IAPD Report

### BRIAN WAYNE BUSKIRK

CRD# 1140602

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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

### BRIAN WAYNE BUSKIRK (CRD# 1140602)

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 **03/06/2020**.

### CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
IA	SOWELL MANAGEMENT	CRD# 127145	10/17/2016
IA	LIGHTHOUSE WEALTH STRATEGIES, LLC	CRD# 299334	02/21/2019

### 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	CONCERT WEALTH MANAGEMENT	141253	GIG HARBOR, WA	03/06/2015 - 01/03/2017
IA	LIGHTHOUSE WEALTH STRATEGIES	285094	GIG HARBOR, WA	10/12/2016 - 10/17/2016
IA	NORTHWEST ASSET MANAGEMENT	147923	GIG HARBOR, WA	08/10/2012 - 03/03/2015

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
Regulatory Event	2
Customer Dispute	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 2

Firm Name: **LIGHTHOUSE WEALTH STRATEGIES, LLC**

Main Address: 3312 ROSEDALE ST  
SUITE 201  
GIG HARBOR, WA 98335

Firm ID#: 299334

Regulator	Registration	Status	Date
IA Washington	Investment Adviser Representative	Approved	02/21/2019

#### Branch Office Locations

**LIGHTHOUSE WEALTH STRATEGIES, LLC**

3312 ROSEDALE ST  
SUITE 201  
GIG HARBOR, WA 98335

#### Employment 2 of 2

Firm Name: **SOWELL MANAGEMENT**

Main Address: 5320 NORTHSORE DRIVE  
NORTH LITTLE ROCK, AR 72118

Firm ID#: 127145

Regulator	Registration	Status	Date
IA Washington	Investment Adviser Representative	Approved	10/17/2016

#### Branch Office Locations

**SOWELL MANAGEMENT**

3312 Rosedale Street NW  
Suite 201  
Gig Harbor, WA 98335



## 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, 1 general industry/product exam, and 2 state securities law exams.**

#### Principal/Supervisory Exams

Exam	Category	Date
 General Securities Sales Supervisor - General Module Examination (S10)	Series 10	06/23/2000
 General Securities Sales Supervisor - Options Module Examination (S9)	Series 9	06/20/2000

#### General Industry/Product Exams

Exam	Category	Date
 General Securities Representative Examination (S7)	Series 7	06/18/1983

#### State Securities Law Exams

Exam	Category	Date
  Uniform Combined State Law Examination (S66)	Series 66	06/12/2007
 Uniform Securities Agent State Law Examination (S63)	Series 63	07/19/1983

### 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	03/06/2015 - 01/03/2017	CONCERT WEALTH MANAGEMENT	CRD# 141253	GIG HARBOR, WA
IA	10/12/2016 - 10/17/2016	LIGHTHOUSE WEALTH STRATEGIES	CRD# 285094	GIG HARBOR, WA
IA	08/10/2012 - 03/03/2015	NORTHWEST ASSET MANAGEMENT	CRD# 147923	GIG HARBOR, WA
B	03/02/1998 - 08/27/2012	RBC CAPITAL MARKETS, LLC	CRD# 31194	GIG HARBOR, WA
IA	08/27/1991 - 08/27/2012	RBC CAPITAL MARKETS, LLC	CRD# 31194	GIG HARBOR, WA
B	07/18/1986 - 03/02/1998	DAIN RAUSCHER INCORPORATED	CRD# 7600	
B	06/22/1983 - 07/23/1986	BOETTCHER & COMPANY, INC.	CRD# 101	

### 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
10/2016 - Present	Lighthouse Wealth Strategies	Investment Advisor	Y	Gig Harbor, WA, United States
09/2016 - Present	Sowell Financial Services, LLC	Investment Advisor representative	Y	North Little Rock, AR, United States
03/2015 - 01/2017	CONCERT WEALTH MANAGEMENT, INC.	INVESTMENT ADVISOR REPRESENTATIVE	Y	SAN JOSE, 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) OLYMPIC GROWTH INVESTMENT GROUP;REAL ESTATE PARTNERSHIP;7646 CHICO WAY NW, BREMERTON, WA 9831;PARTNER;SINCE 1990;APPROX 1 HRS/MO

2) PACIFIC ASSOCIATION;COMMERCIAL BUILDING;5TH & PACIFIC, BREMERTON, WA 98510;PARTNER;SINCE



## Registration & Employment History

### OTHER BUSINESS ACTIVITIES

1990;APPROX 1 HRS/MO

3) Lighthouse Wealth Strategies LLC, Position: Investment Advisor, Since 2/2019, Investment related, 3312 Rosedale St NW, Ste 201 Gig Harbor WA, Compensation: Investment advisor fees, 5 hours per month, no hours during trading hours.



## 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
Regulatory Event	2
Customer Dispute	1

### Regulatory Event

This disclosure event may include a final, formal proceeding initiated by a regulatory authority (e.g., a state securities agency, a federal regulator such as the Securities and Exchange Commission or the Commodities Futures Trading Commission, or a foreign financial regulatory body) for a violation of investment-related rules or regulations. This disclosure event may also include a revocation or suspension of an Investment Adviser Representative's authority to act as an attorney, accountant or federal contractor.

#### Disclosure 1 of 2

<b>Reporting Source:</b>	Regulator
<b>Regulatory Action Initiated By:</b>	NATIONALASSOCIATION OF SECURITIES DEALERS, INC.
<b>Sanction(s) Sought:</b>	
<b>Other Sanction(s) Sought:</b>	
<b>Date Initiated:</b>	07/05/2000
<b>Docket/Case Number:</b>	C3B000012
<b>Employing firm when activity occurred which led to the regulatory action:</b>	DAIN RAUSCHER, INC.
<b>Product Type:</b>	Other
<b>Other Product Type(s):</b>	UNKNOWN TYPE OF SECURITIES
<b>Allegations:</b>	NASD RULES 2110 AND 2510(B) - RESPONDENT ACCEPTED ORALLY GRANTED DISCRETION IN THE ACCOUNT OF A PUBLIC CUSTOMER WITHOUT OBTAINING WRITTEN AUTHORIZATION FROM THE CUSTOMER OR WRITTEN ACCEPTANCE OF SUCH DISCRETION BY HIS MEMBER FIRM AND EFFECTED TRANSACTIONS IN THE CUSTOMER'S ACCOUNT.
<b>Current Status:</b>	Final
<b>Resolution:</b>	Acceptance, Waiver & Consent(AWC)
<b>Resolution Date:</b>	07/05/2000
<b>Sanctions Ordered:</b>	Censure Monetary/Fine \$7,800.00

**Other Sanctions Ordered:**

**Sanction Details:** WITHOUT ADMITTING OR DENYING THE ALLEGATIONS, BUSKIRK CONSENTED TO THE DESCRIBED SANCTIONS AND TO THE ENTRY OF FINDINGS, THEREFORE, HE IS CENSURED AND FINED \$7,800 WHICH INCLUDES THE DISGORGEMENT OF COMMISSIONS EARNED IN THE AMOUNT OF \$3,800.

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**Reporting Source:** Individual

**Regulatory Action Initiated By:** NASDR

**Sanction(s) Sought:** Other

**Other Sanction(s) Sought:** LETTER OF ACCEPTANCE WAIVER & CONSENT

**Date Initiated:** 06/29/1998

**Docket/Case Number:** C3B000012

**Employing firm when activity occurred which led to the regulatory action:** DAIN RAUSCHER INC.

**Product Type:** Equity Listed (Common & Preferred Stock)

**Other Product Type(s):** DEBT-CORPORATE  
EQUITY OTC

**Allegations:** MR. BUSKIRK ACCEPTED ORALLY GRANTED DISCRETION IN THE ACCOUNT OF HIS CUSTOMER WITHOUT OBTAINING WRITTEN AUTHORIZATION FROM HER OR THE MEMBER FIRM FROM 11/95-10/96.

**Current Status:** Final

**Resolution:** Other

**Resolution Date:** 06/28/2000

**Sanctions Ordered:** Censure  
Disgorgement/Restitution  
Monetary/Fine \$7,800.00

**Other Sanctions Ordered:**

**Sanction Details:** MR. BUSKIRK PAID THE FULL AMOUNT (\$7800.00) ON 6/1/00. THE \$7800.00 CONSISTED OF A FINE OF \$4000.00 AND \$3800.00 IN DISGORGED COMMISSIONS.

**Disclosure 2 of 2**

**Reporting Source:** Regulator

**Regulatory Action Initiated By:** NATIONAL ASSOCIATION OF SECURITIES DEALERS, INC.

**Sanction(s) Sought:**

**Other Sanction(s) Sought:**

**Date Initiated:** 03/31/1992

**Docket/Case Number:** 3B910053



**Employing firm when activity occurred which led to the regulatory action:**

**Product Type:**

**Other Product Type(s):**

**Allegations:**

**Current Status:** Final

**Resolution:** Consent

**Resolution Date:** 03/31/1992

**Sanctions Ordered:** Censure  
Monetary/Fine \$1,000.00

**Other Sanctions Ordered:**

**Sanction Details:**

**Regulator Statement** ON MARCH 31, 1992, THE LETTER OF ACCEPTANCE, WAIVER AND CONSENT NO. C3B910053 (DISTRICT NO. 3) SUBMITTED BY RESPONDENT BRIAN WAYNE BUSKIRK WAS ACCEPTED; THEREFORE, HE IS CENSURED AND FINED \$1,000 - (ARTICLE III, SECTIONS 1 AND 35(b)(1) OF THE RULES OF FAIR PRACTICE - RESPONDENT BUSKIRK PREPARED AND SENT TO A PUBLIC CUSTOMER A LETTER ON COMPANY LETTERHEAD REPRESENTING THAT AN INVESTMENT WOULD YIELD 14% AND WAS BACKED BY THE U.S. GOVERNMENT; IN RELIANCE UPON THESE REPRESENTATIONS, THE CUSTOMER PURCHASED SHARES IN THIS INVESTMENT WHEN IN FACT, THE INVESTMENT WAS NOT BACKED BY THE U.S. GOVERNMENT; AND, IN CONNECTION WITH THIS DISSEMINATION OF SALES LITERATURE TO A PUBLIC CUSTOMER, RESPONDENT BUSKIRK FAILED TO OBTAIN APPROVAL OF THE LETTER BY A REGISTERED PRINCIPAL OR HIS DESIGNEE, PRIOR TO USE).  
\*\*\*\$1,000.00 PAID ON 4/28/92 INVOICE #92-3B-371\*\*\*

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**Reporting Source:** Individual

**Regulatory Action Initiated By:** NASD DBCC - DISTRICT NO. 3

**Sanction(s) Sought:** Other

**Other Sanction(s) Sought:** NASD COMPLAINT

**Date Initiated:** 03/31/1992

**Docket/Case Number:** 3B910053

**Employing firm when activity occurred which led to the regulatory action:** DAIN BOSWORTH, INC.

**Product Type:** Other

**Other Product Type(s):** STOCK



<b>Allegations:</b>	RESPONDENT BRIAN BUSKIRK PREPARED AND SENT TO A CUSTOMER A LETTER WITHOUT BRANCH MANAGER APPROVAL INDICATING INCORRECTLY THAT A PARTICULAR PRODUCT WAS BACKED BY THE U.S. GOVERNMENT.
<b>Current Status:</b>	Final
<b>Resolution:</b>	Consent
<b>Resolution Date:</b>	03/31/1992
<b>Sanctions Ordered:</b>	Censure Monetary/Fine \$1,000.00
<b>Other Sanctions Ordered:</b>	
<b>Sanction Details:</b>	A LETTER OF ACCEPTANCE OF WAIVER AND CONSENT WAS RENDERED WHERE RESPONDENT BRIAN BUSKIRK WAS CENSURED AND FINED \$1,000.00 FOR VIOLATIONS OF ARTICLE III, SECTION 1 AND 35 OF THE NASD RULES OF FAIR PRACTICE.
<b>Broker Statement</b>	NOT PROVIDED



## 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 1

**Reporting Source:** Individual

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

**Allegations:** CLAIMANTS WERE SEEKING THE SUM OF \$27,092 ON THE BASIS THAT THE RECOMMENDATION TO PURCHASE RESIDENTIAL RESOURCES MORTGAGE INVESTMENT CORP. WAS NOT CONSISTENT WITH THEIR INVESTMENT OBJECTIVES AND NOT BACKED BY THE U.S. GOVERNMENT AS REPRESENTED BY MR. BUSKIRK.

**Product Type:**

**Alleged Damages:** \$27,092.00

## Customer Complaint Information

**Date Complaint Received:**

**Complaint Pending?** No

**Status:** Arbitration/Reparation

**Status Date:**

**Settlement Amount:**

**Individual Contribution Amount:**

## Arbitration Information

**Arbitration/Reparation Claim filed with and Docket/Case No.:** National Association of Securities Dealers, Inc.; 91-02132

**Date Notice/Process Served:** 07/05/1991

**Arbitration Pending?** No

**Disposition:** Settled

**Disposition Date:** 10/11/1991

**Monetary Compensation Amount:** \$15,000.00

**Individual Contribution Amount:** \$3,000.00

**Broker Statement** THE CLAIM WAS SETTLED FOR \$15,000. MR. BUSKIRK WAS CHARGED \$3,000. THE THOMAS' WERE INTERESTED IN HIGH INCOME WITH A CONSERVATIVE STRATEGY WHICH I BELIEVED WAS TRUE OF RRR, AND WHICH WAS STATED ON THE FACT SHEET, "CONSERVATIVE STRATEGY



AIMED AT PROVIDING STABLE YIELDS OVER A WIDE RANGE OF INTEREST RATES"



## End of Report

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