



IAPD Report

MARK ALLEN SEWALSON

CRD# 1177582

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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

MARK ALLEN SEWALSON (CRD# 1177582)

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 **04/13/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
IA	AXXCESS WEALTH MANAGEMENT, LLC	CRD# 164081	03/31/2022

QUALIFICATIONS

This representative is currently registered in **0** SRO(s) and **2** 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	WELLS FARGO CLEARING SERVICES, LLC	19616	OVERLAND PARK, KS	10/24/2000 - 04/13/2022
IA	WELLS FARGO CLEARING SERVICES, LLC	19616	OVERLAND PARK, KS	10/24/2000 - 04/13/2022
B	GEORGE K. BAUM & COMPANY	36354	KANSAS CITY, MO	03/01/1996 - 10/20/2000

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

Employment 1 of 1

Firm Name: **AXXCESS WEALTH MANAGEMENT, LLC**
Main Address: 6005 HIDDEN VALLEY ROAD
SUITE 290
CARLSBAD, CA 92011
Firm ID#: 164081

	Regulator	Registration	Status	Date
	Kansas	Investment Adviser Representative	Approved	04/01/2022
	Texas	Investment Adviser Representative	Restricted Approval	03/31/2022

Branch Office Locations

AXXCESS WEALTH MANAGEMENT, LLC
7400 West 130th Street
Suite 230
Overland Park, KS 66062



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, 3 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
 Futures Managed Funds Examination (S31)	Series 31	01/20/2005
 General Securities Representative Examination (S7)	Series 7	08/20/1983

State Securities Law Exams

Exam	Category	Date
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 Uniform Investment Adviser Law Examination (S65)	Series 65	04/07/1994
 Uniform Securities Agent State Law Examination (S63)	Series 63	08/26/1983

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
B	10/24/2000 - 04/13/2022	WELLS FARGO CLEARING SERVICES, LLC	CRD# 19616	OVERLAND PARK, KS
IA	10/24/2000 - 04/13/2022	WELLS FARGO CLEARING SERVICES, LLC	CRD# 19616	OVERLAND PARK, KS
B	03/01/1996 - 10/20/2000	GEORGE K. BAUM & COMPANY	CRD# 36354	KANSAS CITY, MO
B	10/10/1988 - 03/11/1996	SMITH BARNEY INC.	CRD# 7059	NEW YORK, NY
B	08/25/1983 - 10/13/1988	DEAN WITTER REYNOLDS INC.	CRD# 7556	

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
03/2022 - Present	AXXCESS WEALTH MANAGEMENT, LLC	INVESTMENT ADVISOR REPRESENTATIVE	Y	Overland Park, KS, United States
10/2000 - 04/2022	WELLS FARGO CLEARING SERVICES, LLC	REGISTERED REPRESENTATIVE & INVESTMENT ADVISOR REPRESENTATIVE	Y	OVERLAND PARK, KS, United States
05/2009 - 11/2016	WELLS FARGO ADVISORS LLC	REGISTERED REPRESENTATIVE	Y	OVERLAND PARK, KS, 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.) Sewalson Milazzo Financial Consulting Group, LLC; Investment-related; Overland Park, KS; 50% Ownership; Start 03/2022; 200 Hrs Per Month, 130 Hrs During Trading, DBA for advisory activities at Axxcess Wealth Management, LLC
- 2.) Insurance Sales; Not investment-related; Overland Park, KS; Insurance; Agent; Start 05/2000; Appx 10% of time during the month, during securities trading hours; Accident and Health or Sickness and Life insurance sales
- 3.) Mark Sewalson Photography; Not Investment-related; Olathe, KS; Photography Services; Owner; Start 9/2013; 4 Hrs Per Month; 0 Hrs During Trading; Takes photos for sale
- 4.) Ann Lawrence Special Needs Trust; Investment-related; Olathe, KS; Trust; Co-trustee; Start 04/2023; 4 Hrs Per Month; 0 Hrs During Trading; Trustee of family member's trust



Registration & Employment History



OTHER BUSINESS ACTIVITIES

5.) City Union Mission; Not Investment-related; Kansas City, MO; Charitable Organization; Board Member; Start 04/2004; 4 Hrs Per Month; 0 Hrs During Trading; Attends monthly meetings



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	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
Court Details:	FORMAL CHARGES WERE NEVER FILED. AGENT WAS A MINOR AT THE TIME OF INCIDENT.
Charge Date:	06/01/1974
Charge Details:	SHOPLIFTING
Felony?	No
Current Status:	Final
Status Date:	01/01/1975
Disposition Details:	CHARGES WERE NEVER FILED.
Broker Statement	IN JUNE 1974, I WAS CAUGHT SHOPLIFTING AT LEWIS DRUG STORE IN SIOUX FALLS, SOUTH DAKOTA. IT HAPPENED WHEN I WAS A JUVENILE AT AGE 13. I WAS PICKED UP BY MY PARENTS AND TOLD NEVER TO DO IT AGAIN. IT SEEMS THAT I NEGLIGENTLY PUT THIS DOWN ON MY U-4 AT DEAN WITTER. AS I RECALL, THIS OCCURRENCE DID NOT END UP ON ANY RECORDS. IT NEVER WENT TO ANY COURT AND I WAS NEVER CONVICTED OF ANY MISDEMEANOR.



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: Firm

Employing firm when activities occurred which led to the complaint: GEORGE K. BAUM & COMPANY

Allegations: GEORGE K. BAUM & COMPANY RECEIVED A COMPLAINT FROM THE CUSTOMER ALLEGING EXCESSIVE AND UNSUITABLE TRADING RESULTING IN A LOSS EXCEEDING \$25,000.

Product Type: Equity Listed (Common & Preferred Stock)

Alleged Damages: \$25,000.00

Customer Complaint Information

Date Complaint Received: 06/10/1999

Complaint Pending? No

Status: Arbitration/Reparation

Status Date: 11/19/1999

Settlement Amount:

Individual Contribution Amount:

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: NASD CASE NUMBER 99-04807

Date Notice/Process Served: 11/19/1999

Arbitration Pending? No

Disposition: Settled

Disposition Date: 11/27/2000

Monetary Compensation Amount: \$45,623.00

Individual Contribution Amount: \$20,000.00

Firm Statement SETTLED TO AVOID INCURRING LITIGATION COST

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: GEORGE K BAUM & CO.



Allegations: GEORGE K. BAUM & COMPANY RECEIVED A COMPLAINT FROM THE CUSTOMER ALLEGING EXCESSIVE AND UNSUITABLE TRADING RESULTING IN A LOSS EXCEEDING \$25,000.

Product Type: Equity Listed (Common & Preferred Stock)

Alleged Damages: \$25,000.00

Customer Complaint Information

Date Complaint Received: 06/10/1999

Complaint Pending? No

Status: Arbitration/Reparation
Denied

Status Date: 11/19/1999

Settlement Amount:

Individual Contribution Amount:

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: NASD CASE NUMBER 99-04807

Date Notice/Process Served: 11/19/1999

Arbitration Pending? No

Disposition: Settled

Disposition Date: 11/27/2000

Monetary Compensation Amount: \$45,623.00

Individual Contribution Amount: \$20,000.00

Broker Statement NOT PROVIDED
NOT PROVIDED



End of Report

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