IAPD Report

TROY ANTHONY DAWSON

CRD# 2473897

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

[User Guidance](#)

[www.adviserinfo.sec.gov](#)

Report Summary

TROY ANTHONY DAWSON (CRD# 2473897)

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 **04/06/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	LINCOLN INVESTMENT	CRD# 519	01/19/2011
IA	LINCOLN INVESTMENT	CRD# 519	02/18/2020
IA	CAPITAL ANALYSTS	CRD# 162200	02/19/2020

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **7** 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	PACIFIC WEST SECURITIES, INC.	6390	DES MOINES, WA	03/14/2008 - 12/31/2010
B	AXA ADVISORS, LLC	6627	DES MOINES, WA	11/22/2006 - 03/18/2008
B	GREAT AMERICAN ADVISORS, INC.	36451	RENTON, WA	02/15/2005 - 12/04/2006

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
Judgment/Lien	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 **7** jurisdiction(s) and 1 SRO(s) through his or her employer(s).

Employment 1 of 2

Firm Name: **LINCOLN INVESTMENT**

Main Address: 601 OFFICE CENTER DRIVE
SUITE 300
FORT WASHINGTON, PA 19034-3232

Firm ID#: 519

	Regulator	Registration	Status	Date
B	FINRA	Invest. Co and Variable Contracts	Approved	01/19/2011
B	Arizona	Agent	Approved	08/06/2015
B	California	Agent	Approved	01/03/2012
B	Colorado	Agent	Approved	07/12/2023
B	Georgia	Agent	Approved	04/07/2026
B	Ohio	Agent	Approved	10/10/2022
B	Texas	Agent	Approved	10/14/2015
IA	Texas	Investment Adviser Representative	Restricted Approval	01/28/2021
B	Washington	Agent	Approved	01/19/2011
IA	Washington	Investment Adviser Representative	Approved	02/18/2020

Branch Office Locations

LINCOLN INVESTMENT
21804 Marine View Drive S
Suite C
DES MOINES, WA 98198

Qualifications

Employment 2 of 2

Firm Name: **CAPITAL ANALYSTS**

Main Address: 601 OFFICE CENTER DRIVE
SUITE 300
FORT WASHINGTON, PA 19034-3232

Firm ID#: 162200

	Regulator	Registration	Status	Date
IA	Washington	Investment Adviser Representative	Approved	02/19/2020

Branch Office Locations

CAPITAL ANALYSTS
21804 Marine View Drive South
Suite C
Des Moines, WA 98198

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
	No information reported.		

General Industry/Product Exams

	Exam	Category	Date
B	Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
B	Investment Company Products/Variable Contracts Representative Examination (S6)	Series 6	05/23/1994

State Securities Law Exams

	Exam	Category	Date
IA	Uniform Investment Adviser Law Examination (S65)	Series 65	01/07/2020
B	Uniform Securities Agent State Law Examination (S63)	Series 63	05/23/1994

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	03/14/2008 - 12/31/2010	PACIFIC WEST SECURITIES, INC.	CRD# 6390	DES MOINES, WA
B	11/22/2006 - 03/18/2008	AXA ADVISORS, LLC	CRD# 6627	DES MOINES, WA
B	02/15/2005 - 12/04/2006	GREAT AMERICAN ADVISORS, INC.	CRD# 36451	RENTON, WA
B	08/01/2000 - 02/15/2005	PMG SECURITIES CORPORATION	CRD# 27107	ELGIN, IL
B	05/24/1994 - 08/01/2000	INVESTORS BROKERAGE SERVICES, INC.	CRD# 4257	ELGIN, IL

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
01/2011 - Present	LINCOLN INVESTMENT PLANNING	FINANCIAL REPRESENTATIVE	Y	RENTON, WA, United States
01/2011 - Present	SHELGREN FINANCIAL GROUP	FINANCIAL REPRESENTATIVE	Y	RENTON, WA, 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.

ABIDING WORD CHURCH PACIFIC NORTHWEST
POSITION: Board of Directors NATURE: Church INVESTMENT RELATED: No NUMBER OF HOURS: 1 SECURITIES TRADING HOURS: 0 START DATE: 08/01/2017
ADDRESS: P.O. 18122, Seattle WA 98118, United States
DESCRIPTION: Initial Board of Directors of a start up church with membership less than 10 persons. No duties held with relationship to receiving money. Duties pertain to procedures of church direction.

RELIANT FINANCIAL GROUP
POSITION: Insurance agent NATURE: Insurance INVESTMENT RELATED: Yes NUMBER OF HOURS: 10 SECURITIES TRADING HOURS: 10 START DATE: 03/11/2021
ADDRESS: 21804 Marine View Drive, Ste. C, Des Moines WA 98198, United States
DESCRIPTION: Offering insurance based products: life, disability and long term care insurance.

GENESIS NTB, LLC
POSITION: Founder. President NATURE: Manufacture and distribution of a non-financial related consumer retail product.

Registration & Employment History

OTHER BUSINESS ACTIVITIES

INVESTMENT RELATED: No NUMBER OF HOURS: 20 SECURITIES TRADING HOURS: 20 START DATE: 12/06/2022
ADDRESS: 30 N. Gould Street, Suite R, Sheidan WY 82801, United States
DESCRIPTION: Development, administration and marketing of a non-financial retail product.

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
Judgment/Lien	1

Judgment/Lien

This disclosure event involves an unsatisfied and outstanding judgment or lien against the Investment Adviser Representative.

Disclosure 1 of 1

Reporting Source:	Individual
Judgment/Lien Holder:	NEW YORK CITY SUPREME COURT - CIVIL DIVISION
Judgment/Lien Amount:	$37,384.00
Judgment/Lien Type:	Civil
Date Filed with Court:	11/07/2012
Date Individual Learned:	11/01/2012
Type of Court:	State Court
Name of Court:	NEW YORK SUPREME COURT
Location of Court:	NEW YORK, NEW YORK
Docket/Case #:	003048936
Judgment/Lien Outstanding?	Yes
Broker Statement	RR HAD PAYMENT AGREEMENT WITH AXA ADVISORS. RR DEFAULTED ON AGREEMENT. THE INITIAL AGREEMENT WAS DOCUMENTED BY THE B/D. AT THE TIME IT WAS NOT REPORTABLE BECAUSE IT WAS NOT A JUDGMENT. IT DEFAULTED IN 09/2012. THE RR CONTINUED TO REPORT THE INFORMATION IN ANNUAL REVIEWS. THE U-4 WAS NOT UPDATED DUE TO THE FOLLOWING: THE 2014 ANNUAL COMPLIANCE QUESTIONNAIRE SPECIFICALLY ASK ABOUT INVESTMENT RELATED CIVIL JUDGEMENT. THE RR HAD DISCLOSED AND REPORTED THIS JUDGEMENT TO THE B/D. THE RR IS IN THE PROCESS OF SETTLING THE JUDGEMENT. THIS JUDGMENT WAS NON-INSURANCE AND NON-INVESTMENT RELATED

End of Report

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