



IAPD Report

JOHN DAVID CAMPBELL III

CRD# 2550804

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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

JOHN DAVID CAMPBELL III (CRD# 2550804)

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 **01/09/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	OSAIC WEALTH, INC.	CRD# 23131	06/14/2024
IA	OSAIC WEALTH, INC.	CRD# 23131	06/14/2024

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **11** 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	SECURITIES AMERICA ADVISORS, INC.	110518	CLAREMONT, CA	12/10/2015 - 06/14/2024
B	SECURITIES AMERICA, INC.	10205	CLAREMONT, CA	12/10/2015 - 06/14/2024
B	LPL FINANCIAL LLC	6413	CLAREMONT, CA	08/30/2012 - 12/24/2015

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
Customer Dispute	1
Judgment/Lien	4



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

Employment 1 of 1

Firm Name: **OSAIC WEALTH, INC.**
Main Address: 18700 N. HAYDEN ROAD
SUITE 255
SCOTTSDALE, AZ 85255
Firm ID#: 23131

	Regulator	Registration	Status	Date
B	FINRA	General Securities Representative	Approved	06/14/2024
B	FINRA	General Securities Sales Supervisor	Approved	06/14/2024
B	Alabama	Agent	Approved	06/14/2024
B	Arizona	Agent	Approved	06/14/2024
B	California	Agent	Approved	06/14/2024
IA	California	Investment Adviser Representative	Approved	06/14/2024
B	Colorado	Agent	Approved	06/14/2024
B	Georgia	Agent	Approved	06/30/2025
B	Indiana	Agent	Approved	06/14/2024
B	Mississippi	Agent	Approved	06/14/2024
B	Montana	Agent	Approved	06/14/2024
B	Nevada	Agent	Approved	06/14/2024
B	Utah	Agent	Approved	06/14/2024



Qualifications

Regulator	Registration	Status	Date
B Washington	Agent	Approved	06/14/2024

Branch Office Locations

OSAIC WEALTH, INC.
1490 N CLAREMONT BLVD, STE 100
CLAREMONT, CA 91711





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, 2 general industry/product exams, and 2 state securities law exams.



Principal/Supervisory Exams

Exam	Category	Date
 General Securities Sales Supervisor - General Module Examination (S10)	Series 10	08/17/2010
 General Securities Sales Supervisor - Options Module Examination (S9)	Series 9	07/20/2010

General Industry/Product Exams

Exam	Category	Date
 Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
 General Securities Representative Examination (S7)	Series 7	12/06/1994

State Securities Law Exams

Exam	Category	Date
 Uniform Securities Agent State Law Examination (S63)	Series 63	12/16/1994
 Uniform Investment Adviser Law Examination (S65)	Series 65	12/13/1994

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
IA	12/10/2015 - 06/14/2024	SECURITIES AMERICA ADVISORS, INC.	CRD# 110518	CLAREMONT, CA
B	12/10/2015 - 06/14/2024	SECURITIES AMERICA, INC.	CRD# 10205	CLAREMONT, CA
B	08/30/2012 - 12/24/2015	LPL FINANCIAL LLC	CRD# 6413	CLAREMONT, CA
IA	08/30/2012 - 12/24/2015	LPL FINANCIAL LLC	CRD# 6413	CLAREMONT, CA
IA	04/27/2010 - 09/10/2012	RAYMOND JAMES FINANCIAL SERVICES ADVISORS, INC	CRD# 149018	CLAREMONT, CA
B	04/23/2010 - 09/10/2012	RAYMOND JAMES FINANCIAL SERVICES, INC.	CRD# 6694	CLAREMONT, CA
B	06/01/2009 - 05/19/2010	MORGAN STANLEY SMITH BARNEY	CRD# 149777	CLARMONT, CA
IA	06/01/2009 - 05/19/2010	MORGAN STANLEY SMITH BARNEY LLC	CRD# 149777	CLARMONT, CA
IA	07/08/1997 - 06/01/2009	CITIGROUP GLOBAL MARKETS INC.	CRD# 7059	CLARMONT, CA
B	12/07/1994 - 06/01/2009	CITIGROUP GLOBAL MARKETS INC.	CRD# 7059	CLARMONT, CA

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
06/2024 - Present	OSAIC WEALTH, INC.	Mass Transfer	Y	CLAREMONT, CA, United States
06/2024 - Present	OSAIC WEALTH, INC.	Mass Transfer	Y	CLAREMONT, CA, United States
04/2010 - Present	LONE EAGLE WEALTH SERVICES, INC	Financial Advisor	Y	CLAREMONT, CA, United States
12/2015 - 06/2024	SECURITIES AMERICA ADVISORS	INVESTMENT ADVISORS REPRESENTATIVE	Y	CLAREMONT, CA, United States
12/2015 - 06/2024	SECURITIES AMERICA INC	RETRGISTERED REPRESENTATIVE	Y	CLAREMONT, CA, United States



Registration & Employment History

EMPLOYMENT HISTORY

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. Pomona Valley Hospital Medical Center Foundation

POSITION: Board Member **NATURE:** John Campbell is a Board Member of the Pomona Valley Hospital Medical Center Foundation. John is a member of the Investment Sub-Committee that maintains the upper and lower limits for each component of the Endowment's allocation in the Investment Policy. The Board Members do not select or recommend specific mutual funds or money managers. That selection is done by the Account Representative from Northern Trust. **INVESTMENT RELATED:** No **NUMBER OF HOURS:** 1 **SECURITIES TRADING HOURS:** 0 **START DATE:** 04/29/2010
ADDRESS: 1798 N Garey Avenue, Pomona CA 91767
DESCRIPTION: The Foundation Board members approve disbursements from the endowment to benefit various activities of the Medical Center. We approve the guidelines that make up the investment policy statement that governs the way the endowment is allocated.

2. CAMPBELL PROPERTIES

POSITION: Owner **NATURE:** Name: Rental Property - **Position:** Owner - **Nature:** Rental Property - **Investment Related:** No - **Hours:** 1 - **Securities Trading Hours:** 0 - **Start Date:** 01/01/2009 - **Address:** 1053 Moab Drive, Claremont CA 91711 **INVESTMENT RELATED:** No **NUMBER OF HOURS:** 1 **SECURITIES TRADING HOURS:** 0 **START DATE:** 01/01/2009
ADDRESS: 1053 Moab Dr, Claremont CA 91711
DESCRIPTION: I collect rent from tenants. We currently have no tenants.

3. LONE EAGLE WEALTH SERVICES

POSITION: Owner **NATURE:** Osaic, Inc. - **Investment Related:** Yes - **IAR - Investment Related:** Yes - **Address** 1490 N Claremont Blvd STE 100 Claremont, CA 91711 **INVESTMENT RELATED:** Yes **NUMBER OF HOURS:** 1 **SECURITIES TRADING HOURS:** 0 **START DATE:** 12/01/2015
ADDRESS: 1490 N Claremont Blvd., Suite 100, Claremont CA 91711, United States
DESCRIPTION: I am a Registered Representative doing business in a Osaic, Inc. Branch called Lone Eagle Wealth Services.



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
Customer Dispute	1
Judgment/Lien	4

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:	SALOMON SMITH BARNEY
Allegations:	CLIENT ALLEGED THAT THERE WERE STOCKS SOLD IN HIS ACCOUNT IN AUGUST 1999 WITHOUT HIS AUTHORIZATION.
Product Type:	Equity Listed (Common & Preferred Stock)
Other Product Type(s):	EQUITY- OTC
Alleged Damages:	\$5,000.00

Customer Complaint Information

Date Complaint Received:	12/07/1999
Complaint Pending?	No
Status:	Denied
Status Date:	03/24/2000

Settlement Amount:

Individual Contribution Amount:

Broker Statement THE CLIENT'S CLAIM WAS DENIED.



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Judgment/Lien

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

Disclosure 1 of 4

Reporting Source: Individual
Judgment/Lien Holder: Internal Revenue Service
Judgment/Lien Amount: \$18,526.81
Judgment/Lien Type: Tax
Date Filed with Court: 01/24/2022
Date Individual Learned: 03/11/2022
Type of Court: Los Angeles County Court
Name of Court: Los Angeles County Court
Location of Court: Los Angeles County, CA
Docket/Case #: 20220086486
Judgment/Lien Outstanding? Yes

Disclosure 2 of 4

Reporting Source: Individual
Judgment/Lien Holder: Internal Revenue Service
Judgment/Lien Amount: \$6,579.00
Judgment/Lien Type: Tax
Date Filed with Court: 02/14/2020
Date Individual Learned: 05/06/2020
Type of Court: County Court
Name of Court: Los Angeles County Court
Location of Court: Los Angeles, California
Docket/Case #: 20200184013
Judgment/Lien Outstanding? Yes

Disclosure 3 of 4

Reporting Source: Individual
Judgment/Lien Holder: Internal Revenue Service
Judgment/Lien Amount: \$48,698.51
Judgment/Lien Type: Tax
Date Filed with Court: 06/04/2019
Date Individual Learned: 08/08/2019
Type of Court: Recorder of Deeds
Name of Court: LA County Recorder of Deeds



Location of Court: Los Angeles, California

Docket/Case #: 20190516651

Judgment/Lien Outstanding? Yes

Disclosure 4 of 4

Reporting Source: Individual

Judgment/Lien Holder: Internal Revenue Service

Judgment/Lien Amount: \$32,083.12

Judgment/Lien Type: Tax

Date Filed with Court: 08/14/2018

Date Individual Learned: 02/19/2019

Type of Court: County Court

Name of Court: Los Angeles County Recorder

Location of Court: Los Angeles, CA

Docket/Case #: 20170817403

Judgment/Lien Outstanding? Yes

Broker Statement Still currently investigating. My wife contacted the IRS and was told that they show no lien. They advised checking with the county which has to be done in person.



End of Report

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