IAPD Report

MICHAEL COLIN CAMPBELL

CRD# 4236505

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

MICHAEL COLIN CAMPBELL (CRD# 4236505)

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 **02/24/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	OSAIC WEALTH, INC.	CRD# 23131	11/06/2020
IA	OSAIC WEALTH, INC.	CRD# 23131	11/06/2020

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
IA	HORNOR, TOWNSEND & KENT, LLC	4031	BELLEVUE, WA	06/07/2007 - 11/18/2020
B	HORNOR, TOWNSEND & KENT, LLC	4031	BELLEVUE, WA	04/30/2007 - 11/18/2020
IA	PALISADES INVESTMENT ADVISORS, INC.	112566	LOS ANGELES, CA	03/27/2006 - 12/15/2006

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
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 **7** 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	11/06/2020
B	FINRA	Invest. Co and Variable Contracts	Approved	11/06/2020
B	Arizona	Agent	Approved	11/06/2020
B	California	Agent	Approved	11/06/2020
IA	California	Investment Adviser Representative	Approved	11/06/2020
B	Florida	Agent	Approved	10/14/2022
B	Illinois	Agent	Approved	11/06/2020
B	Mississippi	Agent	Approved	11/06/2020
B	Oregon	Agent	Approved	11/06/2020
B	Washington	Agent	Approved	11/18/2020
IA	Washington	Investment Adviser Representative	Approved	11/18/2020

Branch Office Locations

OSAIC WEALTH, INC.
10900 NE 4TH STREET

Qualifications

STE 2300, #2413
BELLEVUE, WA 98004

OSAIC WEALTH, INC.
SEATTLE, WA

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
No information reported.		

General Industry/Product Exams

	Exam	Category	Date
B	Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
B	General Securities Representative Examination (S7)	Series 7	09/30/2003
B	Investment Company Products/Variable Contracts Representative Examination (S6)	Series 6	07/31/2000

State Securities Law Exams

	Exam	Category	Date
IA B	Uniform Combined State Law Examination (S66)	Series 66	03/03/2006
B	Uniform Securities Agent State Law Examination (S63)	Series 63	01/12/2001

PROFESSIONAL DESIGNATIONS

This section details that the representative has reported **0** professional designation(s).

No information reported.

Only professional designations listed in Question 8 of the Form U4 will appear in this section if the appropriate box is checked and verified by the issuing organization at the time of the filing. Learn more about eligible designations at IARD and NASAA.

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	06/07/2007 - 11/18/2020	HORNOR, TOWNSEND & KENT, LLC	CRD# 4031	BELLEVUE, WA
B	04/30/2007 - 11/18/2020	HORNOR, TOWNSEND & KENT, LLC	CRD# 4031	BELLEVUE, WA
IA	03/27/2006 - 12/15/2006	PALISADES INVESTMENT ADVISORS, INC.	CRD# 112566	LOS ANGELES, CA
B	07/01/2002 - 12/05/2006	SECURITIES AMERICA, INC.	CRD# 10205	LOS ANGELES, CA
B	12/01/2000 - 05/07/2002	U.S. BANCORP INVESTMENTS, INC.	CRD# 17868	SAINT PAUL, MN
B	08/01/2000 - 10/13/2000	SUNAMERICA SECURITIES, INC.	CRD# 20068	PHOENIX, AZ

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
11/2020 - Present	ROYAL ALLIANCE ASSOCIATES, INC.	REGISTERED REPRESENTATIVE	Y	BELLEVUE, WA, United States
04/2007 - Present	PACIFIC CAPITAL	SALES	N	BELLEVUE, WA, United States
04/2007 - 11/2020	HORNOR TOWNSEND & KENT INC	REGISTERED REP	Y	HORSHAM, PA, United States
04/2007 - 11/2020	PENN MUTUAL LIFE INS CO	AGENT	N	HORSHAM, PA, 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) FRIENDS OF LAURELHURST FOUNDATION
POSITION: Board Member NATURE: 501(c)(3) neighborhood foundation raising funds for the Laurelhurst Elementary School.
INVESTMENT RELATED: No NUMBER OF HOURS: 2 SECURITIES TRADING HOURS: 0 START DATE: 10/01/2018
ADDRESS: 5424 Sand Point Way NE, Seattle WA 98105, United States
DESCRIPTION: Attend board meetings every other month to discuss fundraising efforts and areas of need for the elementary school

Registration & Employment History

OTHER BUSINESS ACTIVITIES

2) PACIFIC CAPITAL RESOURCE GROUP
POSITION: Insurance Agent NATURE: Corporation INVESTMENT RELATED: Yes NUMBER OF HOURS: 25 SECURITIES TRADING HOURS: 6 START DATE: 04/01/2007
ADDRESS: 10900 NE 4th Street, Suite 2300 #2413, Bellevue WA 98004, United States
DESCRIPTION: Insurance services for life and disability

3) FRED HUTCH PROFESSIONAL ADVISORY COUNCIL
POSITION: Council Member NATURE: Advisory council for the Fred Hutchinson Cancer Research Center. Non Profit. INVESTMENT RELATED: No NUMBER OF HOURS: 2 SECURITIES TRADING HOURS: 2 START DATE: 06/01/2017
ADDRESS: 1100 Fairview Ave N, Seattle WA 98109, United States
DESCRIPTION: Attend quarterly council meetings to learn about research at the Hutch and discuss fundraising efforts.

4) ARIZONA RENTAL PROPERTY
POSITION: Owner NATURE: Rental Property. Sole Proprietorship INVESTMENT RELATED: No NUMBER OF HOURS: 2 SECURITIES TRADING HOURS: 0 START DATE: 05/01/2021
ADDRESS: 6501 East Claire Drive, Scottsdale AZ 85254, United States
DESCRIPTION: Listing our home for rent on VRBO and/or Zillow.

5) CLIFFORD NORD LIVING TRUST
POSITION: No position NATURE: My uncle Cliff Nord passed away in 2019 and he named myself, my sister, and my two cousins as beneficiaries to his estate. This included duplexes in Fort Worth TX and his home in Kansas City. None of these properties have been sold and all are being rented. They are still held in the trust at the recommendation of the cpa and I have zero involvement with the management or operations of the properties or the trust but we do receive a K1 each year for rents received. I have listed the address of one of the duplexes as the business address and my cousin Sarah Rogers' phone as business number as she is the only beneficiary who has any involvement with the duplexes in the trust. INVESTMENT RELATED: Yes NUMBER OF HOURS: 0 SECURITIES TRADING HOURS: 0 START DATE: 11/15/2019
ADDRESS: 200 Clearwood Dr, Fort Worth TX 76108, United States
DESCRIPTION: I have no duties or responsibilities. I was informed recently that I should include this on my oba as passive and uninvolved as it may be. My involvement is just being one of the 4 beneficiaries of the trust.

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

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:	SECURITIES AMERICA, INC.
Allegations:	IN CONNECTION WITH THE RECOMMENDATION AND SALE OF MEDICAL CAPITAL, PROVIDENT SHALE, AND VARIOUS OTHER INVESTMENTS, CLAIMANTS ALLEGE UNSUITABILITY, IMPROPER ASSET ALLOCATION, MISREPRESENTATION AND OMISSION OF MATERIAL FACTS.
Product Type:	Direct Investment-DPP & LP Interests Oil & Gas Real Estate Security
Alleged Damages:	$1,615,000.00
Alleged Damages Amount Explanation (if amount not exact):	THIS IS A MULTI-CLIENT CLAIM INVOLVING MORE THAN ONE REPRESENTATIVE. ALLEGED DAMAGES FOR THIS REPRESENTATIVE ARE $1,020,000.
Is this an oral complaint?	No
Is this a written complaint?	Yes
Is this an arbitration/CFTC reparation or civil litigation?	Yes
Arbitration/Reparation forum or court name and location:	FINRA
Docket/Case #:	10-03205

Filing date of arbitration/CFTC reparation or civil litigation:	07/13/2010

Customer Complaint Information

Date Complaint Received:	07/26/2010
Complaint Pending?	No
Status:	Settled
Status Date:	09/29/2011
Settlement Amount:	$601,360.37
Individual Contribution Amount:	$0.00
Firm Statement	10/12/2011: THE PORTION OF THIS CLAIM RELATING TO MEDICAL CAPITAL WAS PART OF A GLOBAL SETTLEMENT INITIATED BY SECURITIES AMERICA, INC. CLAIMS RELATING TO ADDITIONAL PRODUCTS CONTINUE AT THIS TIME. 05/08/2012: THE FIRM SETTLED ALL REMAINING CLAIMS FOR $60,574.29 THIS MATTER IS NOW CONCLUDED.

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	SECURITIES AMERICA, INC.
Allegations:	BASED ON THE FORM U5 AMENDMENT FILED BY THE REPRESENTATIVE'S PREDECESSOR BROKER DEALER " IN CONNECTION WITH THE RECOMMENDATION AND SALE OF MEDICAL CAPITAL, PROVIDENT SHALE, AND VARIOUS OTHER INVESTMENTS, CLAIMANTS ALLEGE UNSUITABILITY, IMPROPER ASSET ALLOCATION, MISREPRESENTATION AND OMISSION OF MATERIAL FACTS".
Product Type:	Direct Investment-DPP & LP Interests Oil & Gas Real Estate Security
Alleged Damages:	$1,615,000.00
Alleged Damages Amount Explanation (if amount not exact):	THIS IS A MULTI-CLIENT CLAIM INVOLVING MORE THAT ONE REPRESENTATIVE. ALLEGED DAMAGES FOR THIS REPRESENTATIVE ARE $1,020,000.00.
Is this an oral complaint?	No
Is this a written complaint?	Yes
Is this an arbitration/CFTC reparation or civil litigation?	Yes
Arbitration/Reparation forum or court name and location:	FINRA
Docket/Case #:	10-03205
Filing date of arbitration/CFTC reparation or civil litigation:	07/13/2010

Customer Complaint Information

Date Complaint Received:	07/26/2010
Complaint Pending?	No
Status:	Settled
Status Date:	09/29/2011
Settlement Amount:	$540,786.00
Individual Contribution Amount:	$0.00
Broker Statement	10/12/2011: THE PORTION OF THIS CLAIM RELATING TO MEDICAL CAPITAL WAS PART OF A GLOBAL SETTLEMENT INITIATED BY SECURITIES AMERICA, INC. CLAIMS RELATING TO ADDITIONAL PRODUCTS CONTINUE AT THIS TIME.

End of Report

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