



IAPD Report

JOSHUA DAVID SWAYNE

CRD# 4296721

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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

JOSHUA DAVID SWAYNE (CRD# 4296721)

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 **02/27/2026**.

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 **12** 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	BELLEVUE, WA	11/06/2020 - 06/14/2024
B	SECURITIES AMERICA, INC.	10205	Bellevue, WA	11/06/2020 - 06/14/2024
IA	KMS FINANCIAL SERVICES, INC	3866	Bellevue, WA	01/16/2015 - 11/06/2020

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	3



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 **12** 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	Arizona	Agent	Approved	06/14/2024
B	California	Agent	Approved	06/14/2024
B	Florida	Agent	Approved	06/14/2024
B	Missouri	Agent	Approved	06/14/2024
B	Nevada	Agent	Approved	03/02/2026
B	New York	Agent	Approved	06/14/2024
B	North Dakota	Agent	Approved	06/14/2024
B	Oregon	Agent	Approved	06/14/2024
B	Tennessee	Agent	Approved	06/14/2024
B	Texas	Agent	Approved	06/14/2024
IA	Texas	Investment Adviser Representative	Restricted Approval	06/14/2024
B	Washington	Agent	Approved	06/14/2024



Qualifications

Regulator	Registration	Status	Date
IA Washington	Investment Adviser Representative	Approved	06/14/2024
B Wisconsin	Agent	Approved	06/14/2024

Branch Office Locations

OSAIC WEALTH, INC.
400 112th Avenue NE, Suite 135
Bellevue, WA 98004



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 1 state securities law exam.

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	11/10/2009
General Securities Representative Examination (S7)	Series 7	04/03/2001

State Securities Law Exams

Exam	Category	Date
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Uniform Combined State Law Examination (S66)	Series 66	04/13/2001
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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	11/06/2020 - 06/14/2024	SECURITIES AMERICA ADVISORS, INC.	CRD# 110518	BELLEVUE, WA
B	11/06/2020 - 06/14/2024	SECURITIES AMERICA, INC.	CRD# 10205	Bellevue, WA
IA	01/16/2015 - 11/06/2020	KMS FINANCIAL SERVICES, INC	CRD# 3866	Bellevue, WA
B	01/16/2015 - 11/06/2020	KMS FINANCIAL SERVICES, INC.	CRD# 3866	Bellevue, WA
IA	01/20/2012 - 02/09/2015	SIGNATOR FINANCIAL SERVICES, INC.	CRD# 19061	BELLEVUE, WA
B	01/19/2012 - 02/09/2015	SIGNATOR FINANCIAL SERVICES, INC.	CRD# 19061	BELLEVUE, WA
IA	09/22/2003 - 01/23/2012	PACIFIC WEST FINANCIAL CONSULTANTS INC	CRD# 108728	SEATTLE, WA
B	09/19/2003 - 01/23/2012	PACIFIC WEST SECURITIES, INC.	CRD# 6390	SEATTLE, WA
B	06/01/2001 - 09/30/2003	WELLS FARGO INVESTMENTS, LLC	CRD# 10582	SAN FRANCISCO, CA
B	04/04/2001 - 06/26/2001	PACIFIC WEST SECURITIES, INC.	CRD# 6390	RENTON, WA

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.	Registered Rep	Y	Bellevue, WA, United States
11/2020 - 06/2024	SECURITIES AMERICA ADVISORS, INC.	IAR	Y	BELLEVUE, WA, United States
11/2020 - 06/2024	SECURITIES AMERICA, INC.	Registered Representative	Y	Bellevue, WA, United States
01/2015 - 11/2020	KMS FINANCIAL SERVICES, INC.	REGISTERED REP	Y	SEATTLE, WA, United States



Registration & 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. JOSHUA D. SWAYNE

POSITION: Representative NATURE: Life and Disability Insurance Licensed INVESTMENT RELATED: Yes NUMBER OF HOURS: 1 SECURITIES TRADING HOURS: 0 START DATE: 01/15/2012 ADDRESS: 400 112th Ave NE, Bellevue WA 98004 DESCRIPTION: Only investment related when there is an indexed option within a whole life policy or an equity indexed option.

2. JOSHUA SWAYNE

POSITION: IAR NATURE: Advisory Accounts as an IAR. Fee based wrap accounts all held at Pershing. INVESTMENT RELATED: Yes NUMBER OF HOURS: 140 SECURITIES TRADING HOURS: 6 START DATE: 01/16/2012 ADDRESS: 400 112th Ave NE, Redmond WA 98052 DESCRIPTION: Advisory Accounts as an IAR. Fee based wrap accounts all held at Pershing.

3. DBA - Crossroads Capital Management

4. CROSSROADS, LLC

POSITION: Sole Member NATURE: LLC INVESTMENT RELATED: Yes NUMBER OF HOURS: 2 SECURITIES TRADING HOURS: 0 START DATE: 01/01/2025 ADDRESS: 400 112th Ave NE, Suite 135, Bellevue WA 98004, United States DESCRIPTION: LLC used to operate business/dba. This is how I have business structured now and is simply used to run payroll and expenses for Crossroads Capital Management. Switched from a C-Corp to an LLC per the advice of CPA.



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	3

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 3

Reporting Source:	Firm
Employing firm when activities occurred which led to the complaint:	PACIFIC WEST SECURITIES, INC
Allegations:	CLAIMANTS ALLEGE VIOLATIONS OF THE WASHINGTON SECURITIES ACT, VIOLATIONS OF THE CONSUMER PROTECTION ACT, BREACH OF FIDUCIARY DUTY, AND NEGLIGENCE IN CONNECTION WITH THE PURCHASE OF SEVERAL TICS FROM EARLY 2003 THROUGH 2009.
Product Type:	Direct Investment-DPP & LP Interests
Alleged Damages:	\$3,285,789.04
Alleged Damages Amount Explanation (if amount not exact):	LANGUAGE OF THE ARBITRATION READS DAMAGES AS DETERMINED BY THE PANEL AWARD. AT THE CLOSE OF THE HEARING THE CLAIMANTS ADJUSTED ITS CLAIM.

Customer Complaint Information

Date Complaint Received:	
Complaint Pending?	
Settlement Amount:	\$1,862,960.65
Individual Contribution Amount:	\$0.00

Arbitration Information



Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.):

FINRA

Docket/Case #:

[11-00230](#)

Date Notice/Process Served:

01/14/2011

Arbitration Pending?

No

Disposition:

Award to Customer

Disposition Date:

03/30/2012

Monetary Compensation Amount:

\$1,862,960.65

Individual Contribution Amount:

\$0.00

Firm Statement

RESPONDENT CONTINUES TO DENY LIABILITY AND ALLEGED AFFIRMATIVE DEFENSES. CLAIMANT FAILED TO STATE A CLAIM, FAILED TO PROVE MATERIALITY, AND FAILED TO MITIGATE DAMAGES. AT THE TIME OF THEIR PURCHASES THE CLIENTS WERE IN THE MID-70S, FULLY ENGAGED IN AND EXPERIENCED IN REAL ESTATE INVESTMENTS. DUE TO AN ECONOMIC DOWNTURN IN THE GLOBAL MARKETS AND ITS RESULTING EFFECT ON US REAL ESTATES, CLAIMANTS USED THESE EVENTS AS A CATALYST TO CLAIM WRONG DOING ON THE PART OF RESPONDENTS. RESPONDENTS RETAIN THE POSITION THAT ALL INVESTMENTS WERE SUITABLE AND IN ACTUAL FACT, AFTER ALL DISTRIBUTIONS AND A MARKET VALUATION OF THEIR CURRENT PORTFOLIO, IT COULD NOT BE DEMONSTRATED THAT CLIENTS LOST ANY OF THEIR INVESTED DOLLARS.

Reporting Source:

Individual

Employing firm when activities occurred which led to the complaint:

PACIFIC WEST SECURITIES, INC.

Allegations:

CLAIMANTS ALLEGE VIOLATIONS OF THE WASHINGTON SECURITIES ACT, VIOLATIONS OF THE CONSUMER PROTECTION ACT, BREACH OF FIDUCIARY DUTY, AND NEGLIGENCE IN CONNECTION WITH THE PURCHASE OF SEVERAL TICS FROM EARLY 2003 THROUGH 2009.

Product Type:

Direct Investment-DPP & LP Interests

Alleged Damages:

\$3,285,789.04

Alleged Damages Amount Explanation (if amount not exact):

LANGUAGE OF THE ARBITRATION READS DAMAGES AS DETERMINED BY THE PANEL AWARD. AT THE CLOSE OF THE HEARING THE CLAIMANTS ADJUSTED ITS CLAIM.

Arbitration Information

Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.):

FINRA

Docket/Case #:

[11-00230](#)

Date Notice/Process Served:

01/14/2011

Arbitration Pending?

No

Disposition:

Award to Customer



Disposition Date: 03/30/2012

Monetary Compensation Amount: \$1,862,960.55

Individual Contribution Amount: \$0.00

Broker Statement RESPONDENT CONTINUES TO DENY LIABILITY AND ALLEGED AFFIRMATIVE DEFENSES. CLAIMANT FAILED TO STATE A CLAIM, FAILED TO PROVE MATERIALITY, AND FAILED TO MITIGATE DAMAGES. AT THE TIME OF THEIR PURCHASES THE CLIENTS WERE IN THE MID-70S, FULLY ENGAGED IN AND EXPERIENCED IN REAL ESTATE INVESTMENTS. DUE TO AN ECONOMIC DOWNTURN IN THE GLOBAL MARKETS AND ITS RESULTING EFFECT ON US REAL ESTATES, CLAIMANTS USED THESE EVENTS AS A CATALYST TO CLAIM WRONG DOING ON THE PART OF RESPONDENTS. RESPONDENTS RETAIN THE POSITION THAT ALL INVESTMENTS WERE SUITABLE AND IN ACTUAL FACT, AFTER ALL DISTRIBUTIONS AND A MARKET VALUATION OF THEIR CURRENT PORTFOLIO, IT COULD NOT BE DEMONSTRATED THAT CLIENTS LOST ANY OF THEIR INVESTED DOLLARS.

Disclosure 2 of 3

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: PACIFIC WEST SECURITIES, INC.

Allegations: CLAIMANT ALLEGES BREACH OF FIDUCIARY DUTY, VIOLATION OF WASHINGTON CONSUMER PROTECTION ACT, NEGLIGENCE, NEGLIGENT MISREPRESENTATION, AND VIOLATION OF THE WASHINGTON STATE SECURITIES ACT IN RELATION TO THE PURCHASE OF SEVERAL DPPS, EQUIPMENT LEASING, AND OIL & GAS INTERESTS.

Product Type: Direct Investment-DPP & LP Interests
Equipment Leasing
Oil & Gas

Alleged Damages: \$1,298,790.00

Arbitration Information

Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.): FINRA

Docket/Case #: 09-5519LA

Date Notice/Process Served: 10/09/2009

Arbitration Pending? No

Disposition: Settled

Disposition Date: 11/02/2010

Monetary Compensation Amount: \$500,000.00

Individual Contribution Amount: \$0.00

Disclosure 3 of 3



Reporting Source: Firm
Employing firm when activities occurred which led to the complaint: WELLS FARGO INVESTMENTS LLC
Allegations: SUITABILITY 11/2002
Product Type: Insurance
Alleged Damages: \$25,778.00

Customer Complaint Information

Date Complaint Received: 08/20/2003
Complaint Pending? No
Status: Denied
Status Date: 09/17/2003
Settlement Amount: \$0.00
Individual Contribution Amount: \$0.00

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Reporting Source: Individual
Employing firm when activities occurred which led to the complaint: WELLS FARGO INVESTMENTS, LLC
Allegations: SUITABILITY 11/2002
Product Type: Insurance
Alleged Damages: \$25,778.00

Customer Complaint Information

Date Complaint Received: 08/20/2003
Complaint Pending? No
Status: Denied
Status Date: 09/17/2003
Settlement Amount: \$0.00
Individual Contribution Amount: \$0.00



End of Report

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