



## IAPD Report

# DAWN ALISON STRACHAN

CRD# 4323197

<b><u>Section Title</u></b>	<b><u>Page(s)</u></b>
Report Summary	1
Qualifications	2 - 4
Registration and Employment History	5 - 6
Disclosure Information	7

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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

### DAWN ALISON STRACHAN (CRD# 4323197)

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 **03/11/2026**.

### CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
<b>B</b>	OSAIC WEALTH, INC.	CRD# 23131	01/19/2024
<b>IA</b>	OSAIC WEALTH, INC.	CRD# 23131	01/19/2024
<b>IA</b>	TOUCHSTONE FINANCIAL PLANNING	CRD# 132010	08/23/2024

### QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **9** 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>B</b>	WOODBURY FINANCIAL SERVICES, INC.	421	Torrance, CA	03/01/2019 - 01/19/2024
<b>IA</b>	WOODBURY FINANCIAL SERVICES, INC.	421	Torrance, CA	03/01/2019 - 01/19/2024
<b>IA</b>	QUESTAR ASSET MANAGEMENT, INC.	133358	TORRANCE, CA	09/05/2014 - 03/01/2019

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	2



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

### Employment 1 of 2

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	01/19/2024
B	Arizona	Agent	Approved	01/19/2024
B	California	Agent	Approved	01/19/2024
IA	California	Investment Adviser Representative	Approved	01/19/2024
B	Georgia	Agent	Approved	10/27/2025
B	Maine	Agent	Approved	01/19/2024
IA	Maine	Investment Adviser Representative	Approved	01/19/2024
B	Maryland	Agent	Approved	03/11/2026
B	Ohio	Agent	Approved	01/19/2024
B	Oregon	Agent	Approved	01/19/2024
IA	Oregon	Investment Adviser Representative	Approved	01/19/2024
B	Utah	Agent	Approved	01/19/2024
B	Washington	Agent	Approved	01/28/2025



## Qualifications

### Branch Office Locations

#### OSAIC WEALTH, INC.

3838 W Carson Street  
Suite 325  
Torrance, CA 90503

### Employment 2 of 2

Firm Name: **TOUCHSTONE FINANCIAL PLANNING**

Main Address: 3838 W CARSON ST STE 325  
TORRANCE, CA 90503

Firm ID#: 132010

Regulator	Registration	Status	Date
IA California	Investment Adviser Representative	Approved	08/23/2024

### Branch Office Locations

#### TOUCHSTONE FINANCIAL PLANNING

3838 W CARSON ST STE 325  
TORRANCE, CA 90503



## 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 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
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General Securities Representative Examination (S7)	Series 7	03/05/2001
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#### State Securities Law Exams

Exam	Category	Date
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Uniform Combined State Law Examination (S66)	Series 66	03/19/2001
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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
B	03/01/2019 - 01/19/2024	WOODBURY FINANCIAL SERVICES, INC.	CRD# 421	Torrance, CA
IA	03/01/2019 - 01/19/2024	WOODBURY FINANCIAL SERVICES, INC.	CRD# 421	Torrance, CA
IA	09/05/2014 - 03/01/2019	QUESTAR ASSET MANAGEMENT, INC.	CRD# 133358	TORRANCE, CA
B	09/05/2014 - 03/01/2019	QUESTAR CAPITAL CORPORATION	CRD# 43100	Torrance, CA
IA	04/17/2009 - 09/08/2014	SUMMIT FINANCIAL GROUP INC	CRD# 109485	TORRANCE, CA
B	04/16/2009 - 09/08/2014	SUMMIT BROKERAGE SERVICES, INC.	CRD# 34643	TORRANCE, CA
B	07/01/2004 - 04/20/2009	LPL FINANCIAL CORPORATION	CRD# 6413	TORRANCE, CA
IA	07/01/2004 - 04/20/2009	LPL FINANCIAL CORPORATION	CRD# 6413	TORRANCE, CA
IA	03/27/2001 - 05/25/2004	WADDELL & REED, INC.	CRD# 866	TORRANCE, CA
B	03/06/2001 - 05/25/2004	WADDELL & REED, INC.	CRD# 866	OVERLAND PARK, KS

### 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
01/2024 - Present	OSAIC WEALTH, INC.	REGISTERED REPRESENTATIVE	Y	Torrance, CA, United States
03/2019 - Present	WOODBURY FINANCIAL SERVICES, INC.	REGISTERED REPRESENTATIVE	Y	Torrance, CA, United States
03/2019 - 01/2024	WOODBURY FINANCIAL SERVICES, INC.	REGISTERED REPRESENTATIVE	Y	Torrance, CA, United States
09/2014 - 03/2019	QUESTAR ASSET MANAGEMENT	INVESTMENT ADVISOR REPRESENTATIVE	Y	GOLDEN VALLEY, MN, United States
08/2014 - 03/2019	QUESTAR CAPITAL CORPORATION	REGISTERED REPRESENTATIVE	Y	MINNEAPOLIS, MN, 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) CERTIFIED DIVORCE FINANCIAL ANALYST.

DBA: TOUCHSTONE WEALTH MANAGEMENT

POSITION: Owner. NATURE: Financial analysis for couples or individuals going through divorce. INVESTMENT RELATED: No  
NUMBER OF HOURS: 10 SECURITIES TRADING HOURS: 0 START DATE: 12/01/2001

ADDRESS: 2780 Skypark Dr, Suite 206, Torrance CA 90505, United States

DESCRIPTION: Financial analysis for couples or individuals going through divorce. I help them understand the financial implications of their settlement ideas.

2) TOUCHSTONE WEALTH MANAGEMENT.

POSITION: Insurance Agent. NATURE: Insurance Agent. INVESTMENT RELATED: Yes NUMBER OF HOURS: 1 SECURITIES TRADING HOURS: 0 START DATE: 09/02/2014

ADDRESS: 2780 Skypark Dr, Suite 206, Torrance CA 90505, United States

DESCRIPTION: Sale of insurance products to my clients.

3) TOUCHSTONE WEALTH MANAGEMENT

POSITION: owner NATURE: I use this DBA for my advisory business with Woodbury. INVESTMENT RELATED: Yes NUMBER OF HOURS: 160 SECURITIES TRADING HOURS: 80 START DATE: 05/28/2019

ADDRESS: 2780 Skypark Drive, Suite 206, Torrance CA 90505, United States

DESCRIPTION: financial advisor with Woodbury

4) DAWN STRACHAN

POSITION: self NATURE: sole proprietor INVESTMENT RELATED: Yes NUMBER OF HOURS: 4 SECURITIES TRADING HOURS: 0 START DATE: 05/28/2019

ADDRESS: 2780 Skypark Drive, Suite 206, Torrance CA 90505, United States

DESCRIPTION: provide insurance information and products to clients.

5) TOUCHSTONE FINANCIAL PLANNING

POSITION: owner NATURE: sole proprietor INVESTMENT RELATED: No NUMBER OF HOURS: 20 SECURITIES TRADING HOURS: 0 START DATE: 05/28/2019

ADDRESS: 3838 W. Carson Street, Suite 325, Torrance CA 90503, United States

DESCRIPTION: I help people going through divorce understand the financial implications of the settlement offers they are considering. I help clients with pre and post nup agreements understand the financial implications of the proposed offer.

6) SKYRIDGE ESTATES HOA

POSITION: board member NATURE: this is a homeowners association. I live in this community and volunteered to be a member of the board. There is no physical HOA address. INVESTMENT RELATED: No NUMBER OF HOURS: 1 SECURITIES TRADING HOURS: 0 START DATE: 10/28/2024

ADDRESS: There is no business address, No address OR 97603, United States

DESCRIPTION: I attend board meetings when they are scheduled. No set schedule. The board discusses issues if any in the community.

7) COLLABORATIVE PRACTICE CALIFORNIA (CP CAL)

POSITION: Treasurer NATURE: CP Cal is a professional collaborative divorce statewide organization. Its purpose is to educate the public and other professionals about the collaborative divorce process option. INVESTMENT RELATED: No NUMBER OF HOURS: 2 SECURITIES TRADING HOURS: 0 START DATE: 10/28/2024

ADDRESS: 2872 Ygnacio Valley Road, #401, Walnut Creek CA 94598, United States

DESCRIPTION: I review the financial statements prepared by the executive assistant. I review the financial statements with the other Board members at our periodic board meetings. I do not have check writing capabilities.



## 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	2

### 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 2

<b>Reporting Source:</b>	Individual
<b>Employing firm when activities occurred which led to the complaint:</b>	QUESTAR CAPITAL CORPORATION
<b>Allegations:</b>	Clients allege 2015 Private Placement and Real Estate Investment Trusts (REITs) purchases were unsuitable.
<b>Product Type:</b>	Real Estate Security Other: Private Placements
<b>Alleged Damages:</b>	\$999,999.00
<b>Is this an oral complaint?</b>	No
<b>Is this a written complaint?</b>	Yes
<b>Is this an arbitration/CFTC reparation or civil litigation?</b>	Yes
<b>Arbitration/Reparation forum or court name and location:</b>	FINRA
<b>Docket/Case #:</b>	21-00865
<b>Filing date of arbitration/CFTC reparation or civil litigation:</b>	03/31/2021

### Customer Complaint Information

<b>Date Complaint Received:</b>	04/29/2021
<b>Complaint Pending?</b>	No



**Status:** Settled  
**Status Date:** 08/12/2022  
**Settlement Amount:** \$1.00  
**Individual Contribution Amount:** \$0.00  
**Broker Statement** Settlement was entered into by prior broker-dealer and rep has not been advised of the settlement amount in a confidential settlement. Confidential Matter: We are under belief that settlement was less than \$15,000 (That is why the 1.00 reference was provided on DRP.)

### Disclosure 2 of 2

**Reporting Source:** Individual  
**Employing firm when activities occurred which led to the complaint:** Questar Capital Corporation  
**Allegations:** The client has alleged two real estate investment trusts sold between 3/26/2015 and 4/30/2015 were unsuitable.  
**Product Type:** Real Estate Security  
**Alleged Damages:** \$0.00  
**Alleged Damages Amount Explanation (if amount not exact):** no specific claim for damages was received however the Firm is unable to make a good faith determination that damages would be less than \$5,000.  
**Is this an oral complaint?** No  
**Is this a written complaint?** Yes  
**Is this an arbitration/CFTC reparation or civil litigation?** No

### Customer Complaint Information

**Date Complaint Received:** 04/18/2018  
**Complaint Pending?** No  
**Status:** Denied  
**Status Date:** 06/26/2018  
**Settlement Amount:**  
**Individual Contribution Amount:**  
**Broker Statement** I believe that the claim has no merit. I met with the clients a number of times to develop their financial plan for retirement. I prepared a financial plan for their retirement, reviewed it with them and they approved the plan. The clients have elected to deplete all of their liquid assets and all of their retirement assets, with the exception of these two investments and an IRA, well before retirement.



## End of Report

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