



IAPD Report

SEAN OLIVER BUXTON

CRD# 4697339

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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

SEAN OLIVER BUXTON (CRD# 4697339)

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 **11/12/2025**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
IA	LEGACY CAPITAL GROUP CALIFORNIA, INC.	CRD# 111436	03/04/2014
B	INTEGRITY ALLIANCE, LLC.	CRD# 139627	11/03/2025

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **6** 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	LION STREET FINANCIAL, LLC	165828	Los Gatos, CA	03/05/2015 - 11/03/2025
IA	REACT INVESTMENT SOLUTIONS, LLC	150801	LOS GATOS, CA	02/03/2022 - 12/31/2023
B	NFP ADVISOR SERVICES, LLC	42046	LOS GATOS, CA	09/08/2014 - 01/05/2015

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
Criminal	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 **6** jurisdiction(s) and 1 SRO(s) through his or her employer(s).

Employment 1 of 2

Firm Name: **INTEGRITY ALLIANCE, LLC**
Main Address: 4135 NW URBANDALE DR
URBANDALE, IA 50322
Firm ID#: 139627

	Regulator	Registration	Status	Date
	FINRA	General Securities Representative	Approved	11/03/2025
	Arizona	Agent	Approved	11/20/2025
	California	Agent	Approved	11/03/2025
	Florida	Agent	Approved	11/14/2025
	Montana	Agent	Approved	11/03/2025
	Washington	Agent	Approved	11/03/2025
	Wyoming	Agent	Approved	11/03/2025

Branch Office Locations

INTEGRITY ALLIANCE, LLC
459 Monterey Ave Ste 100
Los Gatos, CA 95030

Employment 2 of 2

Firm Name: **LEGACY CAPITAL GROUP CALIFORNIA, INC.**
Main Address: 459 MONTEREY AVENUE
SUITE 100
LOS GATOS, CA 95030
Firm ID#: 111436



Qualifications

Regulator	Registration	Status	Date
IA California	Investment Adviser Representative	Approved	03/04/2014

Branch Office Locations

LEGACY CAPITAL GROUP CALIFORNIA, INC.

459 MONTEREY AVE
LOS GATOS, CA 95030



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 1 principal/supervisory exam, 2 general industry/product exams, and 2 state securities law exams.

Principal/Supervisory Exams

Exam	Category	Date
B General Securities Principal Examination (S24)	Series 24	01/25/2005

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	09/05/2014

State Securities Law Exams

Exam	Category	Date
B Uniform Securities Agent State Law Examination (S63)	Series 63	06/01/2015
IA B Uniform Combined State Law Examination (S66)	Series 66	12/02/2003



PROFESSIONAL DESIGNATIONS

This section details that the representative has reported **1** professional designation(s).

Certified Financial Planner

This representative holds or did hold **1** professional designation(s) that may have been used to qualify as an Investment Advisor representative. Please check with the appropriate designation authority for verification that the designation is still in effect. The contact information for these professional designation authorities can be found on the website for the North American Securities Administrators Association at <http://www.nasaa.org>



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	03/05/2015 - 11/03/2025	LION STREET FINANCIAL, LLC	CRD# 165828	Los Gatos, CA
IA	02/03/2022 - 12/31/2023	REACT INVESTMENT SOLUTIONS, LLC	CRD# 150801	LOS GATOS, CA
B	09/08/2014 - 01/05/2015	NFP ADVISOR SERVICES, LLC	CRD# 42046	LOS GATOS, CA
IA	09/15/2011 - 02/03/2014	BEACON POINTE WEALTH ADVISORS, LLC	CRD# 151328	SAN JOSE, CA
IA	01/06/2011 - 10/31/2011	EXCELCIA FINANCIAL GROUP, LTD.	CRD# 154278	SAN JOSE, CA
IA	05/27/2010 - 12/03/2010	BERTHEL FISHER & COMPANY FINANCIAL SERVICES, INC.	CRD# 13609	SAN JOSE, CA
B	05/27/2010 - 12/03/2010	BERTHEL, FISHER & COMPANY FINANCIAL SERVICES, INC.	CRD# 13609	SAN JOSE, CA
IA	02/29/2008 - 04/29/2010	AFA ADVISOR SERVICES LLC	CRD# 129104	SAN JOSE, CA
B	02/29/2008 - 04/29/2010	AFA FINANCIAL GROUP, LLC	CRD# 127648	SAN JOSE, CA
IA	07/13/2006 - 03/12/2008	PRIME SOLUTIONS SECURITIES, INC.	CRD# 46017	CAPITOLA, CA
B	07/13/2006 - 03/12/2008	PRIMESOLUTIONS SECURITIES, INC.	CRD# 46017	CAPITOLA, CA
B	09/14/2004 - 06/22/2006	PRIVATE CONSULTING GROUP, INC.	CRD# 45053	SANTA CLARA, CA
IA	09/14/2004 - 06/22/2006	PRIVATE CONSULTING GROUP, INC.	CRD# 45053	SANTA CLARA, CA
B	02/27/2004 - 08/27/2004	AMERICAN EXPRESS FINANCIAL ADVISORS INC.	CRD# 6363	MINNEAPOLIS, MN
B	02/27/2004 - 08/27/2004	IDS LIFE INSURANCE COMPANY	CRD# 6321	MINNEAPOLIS, MN
IA	12/03/2003 - 08/27/2004	AMERICAN EXPRESS FINANCIAL ADVISORS, INC.	CRD# 6363	CAMPBELL, CA



Registration & Employment History

PREVIOUSLY REGISTERED WITH THE FOLLOWING FIRMS

This representative held registrations with the following firms:

Registration Dates	Firm Name	ID#	Branch Location
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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
11/2025 - Present	INTEGRITY ALLIANCE, LLC.	Mass Transfer	Y	Los Gatos, CA, United States
03/2015 - Present	LION STREET FINANCIAL	REGISTERED REPRESENTATIVE	Y	LOS GATOS, CA, United States
01/2014 - Present	LEGACY CAPITAL GROUP CALIFORNIA	WEALTH ADVISOR	Y	LOS GATOS, CA, United States
01/2014 - Present	REACT INVESTMENT SOLUTIONS, LLC	Investment Advisor Representative	Y	Los Gatos, CA, 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) BAER & BUNGER FINANCIAL AND INSURANCE SERVICES, LLC. | 459 MONTEREY AVENUE LOS GATOS, CA 95030 | INVESTMENT-RELATED.SALE OF INSURANCE PRODUCTS (LIFE). LICENSED INSURANCE AGENT | 05/2012 TO PRESENT | 5 HRS/MONTH. 5 HRS DURING SECURITIES TRADING HOURS | SALE OF INSURANCE PRODUCTS (LIFE).

LEGACY CAPITAL GROUP CALIFORNIA

POSITION: Employee NATURE: RIA INVESTMENT RELATED: Yes NUMBER OF HOURS: 160 SECURITIES TRADING HOURS: 100 START DATE: 01/01/2014

ADDRESS: 459 Monterey Ave, suite 100, los gatos CA 95030, United States

DESCRIPTION: Do fee based financial planning and asset management for individuals.

GMW ASSOCIATES

POSITION: Board Member NATURE: I will be serving on the board. They specialize in magnets and magnetic testing and support. INVESTMENT RELATED: No NUMBER OF HOURS: 2 SECURITIES TRADING HOURS: 0 START DATE: 05/01/2023 ADDRESS: 955 Industrial Rd., San Carlos CA 94070, United States DESCRIPTION: 4 board meetings a year plus prep time



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
Criminal	1

Criminal

This disclosure event involves a criminal charge against the Investment Adviser Representative that has resulted in a dismissal, plea, acquittal or conviction. The criminal matter may relate to any felony or certain misdemeanor offenses (e.g., bribery, perjury, forgery, counterfeiting, extortion, fraud, wrongful taking of property).

Disclosure 1 of 1

Reporting Source:	Individual
Formal Charges were brought in:	State Court
Name of Court:	JUSTICE COURT OF THE STATE OF ARIZONA
Location of Court:	PIMA PIMA COUNTY
Docket/Case #:	#CR-00-020047
Charge Date:	10/21/2000
Charge(s) 1 of 1	
Formal Charge(s)/Description:	ONE COUNT - MISDEMEANOR RESISTING ARREST - NO PLEA ONE COUNT - MISDEMEANOR FALSE REPORTING TO LAW ENFORCEMENT - NO PLEA ONE COUNT - MISDEMEANOR MINOR IN POSSESSION - NO PLEA ONE COUNT - MISDEMEANOR 3RD DEGREE CRIMINAL TRESPASS - NO PLEA
No of Counts:	4
Felony or Misdemeanor:	Misdemeanor
Plea for each charge:	NO PLEA
Disposition of charge:	Dismissed
Current Status:	Final
Status Date:	06/11/2001
Disposition Date:	06/11/2001
Sentence/Penalty:	ALL COUNTS WERE DISMISSED ON 6/11/01. COMPLETED DIVERSION PROGRAM AND DRUG/ALCOHOL EDUCATION CLASS (8 HOUR CLASS FOR 1 DAY). COMPLETED THE DIVERSION PROGRAM ON 05/02/01 AND COMPLETED THE EDUCATION CLASS ON 05/12/01.



Broker Statement

THIS CRIMINAL DISCLOSURE IS NOT BUSINESS OR SECURITIES
RELATED.ALL COUNTS WERE DISMISSED ON 6/11/01.



End of Report

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