



## IAPD Report

# TYLER THOMAS BASHAW

CRD# 4922569

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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

### TYLER THOMAS BASHAW (CRD# 4922569)

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 **01/28/2026**.

### CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
<b>B</b>	KINGSWOOD CAPITAL PARTNERS, LLC	CRD# 288898	05/26/2021
<b>IA</b>	KINGSWOOD WEALTH ADVISORS, LLC	CRD# 288792	06/07/2021

### QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **5** 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>	EF HUTTON LLC	103792	NEW YORK, NY	06/07/2023 - 05/13/2024
<b>B</b>	BENCHMARK INVESTMENTS, LLC	103792	New York, NY	05/26/2021 - 05/19/2023
<b>IA</b>	BENCHMARK ADVISORY SERVICES, LLC	305662	Lake Worth, FL	07/30/2021 - 12/31/2022

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

### Employment 1 of 2

Firm Name: **KINGSWOOD CAPITAL PARTNERS, LLC**  
Main Address: 11440 W. BERNARDO CT.  
SUITE 300  
SAN DIEGO, CA 92127  
Firm ID#: 288898

	Regulator	Registration	Status	Date
B	FINRA	Compliance Officer	Approved	05/26/2021
B	FINRA	Corporate Securities Represent	Approved	05/26/2021
B	FINRA	Direct Participation Programs	Approved	05/26/2021
B	FINRA	Direct Participation Programs Principal	Approved	05/26/2021
B	FINRA	General Securities Principal	Approved	05/26/2021
B	FINRA	General Securities Representative	Approved	05/26/2021
B	FINRA	General Securities Sales Supervisor	Approved	05/26/2021
B	FINRA	Government Securities Principal	Approved	05/26/2021
B	FINRA	Invest. Co and Variable Contracts	Approved	05/26/2021
B	FINRA	Investment Co./Variable Contracts Prin	Approved	05/26/2021
B	FINRA	Limited Representative-Prvt Scrts Ofngs	Approved	05/26/2021
B	FINRA	Municipal Securities Principal	Approved	05/26/2021
B	FINRA	Municipal Securities Representative	Approved	05/26/2021



### Qualifications

Regulator	Registration	Status	Date
B FINRA	Operations Professional	Approved	05/26/2021
B FINRA	Private Securities Offerings Principal	Approved	05/26/2021
B FINRA	Registered Options Principal	Approved	05/26/2021
B FINRA	Securities Trader	Approved	05/26/2021
B FINRA	Securities Trader Principal	Approved	05/26/2021
B FINRA	Investment Banking Representative	Approved	12/05/2022
B Colorado	Agent	Approved	05/19/2023
B Florida	Agent	Approved	05/26/2021
B New York	Agent	Approved	06/10/2021
B Washington	Agent	Approved	01/28/2026
B Wisconsin	Agent	Approved	05/26/2021

### Branch Office Locations

1111 Brickell Ave  
Ste 1820  
Miami, FL 33131

126 E 56th St  
22nd FL  
New York, NY 10022

### Employment 2 of 2

Firm Name: **KINGSWOOD WEALTH ADVISORS, LLC**  
Main Address: 11440 W. BERNARDO COURT  
SUITE 300  
SAN DIEGO, CA 92127  
Firm ID#: 288792

Regulator	Registration	Status	Date
IA Florida	Investment Adviser Representative	Approved	06/07/2021



## Qualifications

Regulator	Registration	Status	Date
IA New York	Investment Adviser Representative	Approved	07/30/2021

### Branch Office Locations

**KINGSWOOD WEALTH ADVISORS, LLC**  
Lake Worth, FL











## 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 8 principal/supervisory exams, 11 general industry/product exams, and 3 state securities law exams.**

#### Principal/Supervisory Exams

Exam	Category	Date
 Investment Company Products/Variable Contracts Principal Examination (S26)	Series 26	01/02/2023
 Direct Participation Programs Principal Examination (S39)	Series 39	01/02/2023
 Compliance Officer Examination (S14)	Series 14	01/02/2023
 General Securities Sales Supervisor - Options Module Examination (S9)	Series 9	01/02/2023
 General Securities Sales Supervisor - General Module Examination (S10)	Series 10	01/02/2023
 Municipal Securities Principal Examination (S53)	Series 53	11/13/2015
 Registered Options Principal Examination (S4)	Series 4	04/14/2012
 General Securities Principal Examination (S24)	Series 24	04/16/2010

#### General Industry/Product Exams







Exam	Category	Date
 Operations Professional Examination (S99TO)	Series 99TO	01/02/2023
 Municipal Securities Representative Examination (S52TO)	Series 52TO	01/02/2023
 Corporate Securities Limited Representative Examination (S62)	Series 62	01/02/2023
 Limited Representative-Private Securities Offerings (S82TO)	Series 82TO	01/02/2023
 Direct Participation Programs Representative Examination (S22TO)	Series 22TO	01/02/2023







## Qualifications

### PASSED INDUSTRY EXAMS

#### General Industry/Product Exams

	Exam	Category	Date
	Securities Trader Exam (S57TO)	Series 57TO	01/02/2023
	Investment Company Products/Variable Contracts Representative Examination (S6TO)	Series 6TO	01/02/2023
	Investment Banking Registered Representative Examination (S79TO)	Series 79TO	12/03/2022
	Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
	Limited Representative-Equity Trader Exam (S55)	Series 55	12/19/2009
	General Securities Representative Examination (S7)	Series 7	03/03/2005

#### State Securities Law Exams

	Exam	Category	Date
	Uniform Investment Adviser Law Examination (S65)	Series 65	02/05/2015
	 Uniform Combined State Law Examination (S66)	Series 66	07/20/2007
	Uniform Securities Agent State Law Examination (S63)	Series 63	03/11/2005

### 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	06/07/2023 - 05/13/2024	EF HUTTON LLC	CRD# 103792	NEW YORK, NY
B	05/26/2021 - 05/19/2023	BENCHMARK INVESTMENTS, LLC	CRD# 103792	New York, NY
IA	07/30/2021 - 12/31/2022	BENCHMARK ADVISORY SERVICES, LLC	CRD# 305662	Lake Worth, FL
IA	09/17/2015 - 05/04/2021	NEWBRIDGE FINANCIAL SERVICES GROUP, INC.	CRD# 130814	BOCA RATON, FL
B	09/08/2015 - 05/04/2021	NEWBRIDGE SECURITIES CORPORATION	CRD# 104065	BOCA RATON, FL
IA	03/10/2017 - 12/31/2018	OSOTORO	CRD# 284234	LAKE WORTH, FL
IA	02/20/2015 - 06/16/2015	ROWE WEALTH MANAGEMENT	CRD# 168033	BOCA RATON, FL
B	11/10/2009 - 01/13/2015	IAA FINANCIAL LLC	CRD# 6578	Boca Raton, FL
IA	09/05/2007 - 11/10/2008	GUNNALLEN FINANCIAL, INC	CRD# 17609	BOCA RATON, FL
B	08/31/2007 - 11/10/2008	GUNNALLEN FINANCIAL, INC	CRD# 17609	BOCA RATON, FL
IA	07/24/2007 - 08/06/2007	GUNNALLEN FINANCIAL, INC	CRD# 17609	WEST PALM BEACH, FL
B	07/06/2007 - 08/06/2007	GUNNALLEN FINANCIAL, INC	CRD# 17609	WEST PALM BEACH, FL
B	03/04/2005 - 07/12/2007	BROOKSTREET SECURITIES CORPORATION	CRD# 14667	WEST PALM BEACH, FL



## Registration & Employment History

### 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
05/2023 - Present	KINGSWOOD CAPITAL PARTNERS, LLC	Mass Transfer	Y	New York, NY, United States
05/2021 - Present	Benchmark Advisory Services , LLC	Compliance	Y	New York, NY, United States
05/2021 - Present	Benchmark Investments, INC	Compliance	Y	New York, NY, United States
05/2021 - Present	Kingswood Capital Partners, LLC	Compliance	Y	New York, NY, United States
05/2021 - Present	Kingswood Wealth Advisors, LLC	Compliance	Y	New York, NY, United States
09/2015 - 05/2021	NEWBRIDGE SECURITIES CORPORATION	COMPLIANCE DEPARTMENT	Y	BOCA RATON, FL, 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) Osotoro Co
  - yes investment related
  - 5637 Sandbirch Way , Lake Worth Fl 33463
  - Purchasing Tax Certs
  - CEO/Owner
  - 3/1/2021
  - 1 hour per month
  - 0 hours per trading hours
  - Review and purchase tax certs and file and required documents
- 2) "My Venture Fund, LLC", Is Not Investment Related, Venture Capital, Member, 2022-08-01, 10 hours per month, 0 hours per month during trading hours, Other Compensation, "Member of My Venture Fund, llc. Duties include administration of and selection of investments for Special Purpose Vehicle funds. My Venture Fund llc, is the managing entity of Special Purpose Vehicle funds. My Venture Fund, llc is affiliated with Kingswood US"



## 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

<b>Reporting Source:</b>	Firm
<b>Employing firm when activities occurred which led to the complaint:</b>	NEWBRIDGE SECURITIES CORPORATION
<b>Allegations:</b>	Negligence, Breach of Fiduciary Duty, Negligent Supervision
<b>Product Type:</b>	Other: ALTERNATIVE INVESTMENTS
<b>Alleged Damages:</b>	\$40,000.00
<b>Is this an oral complaint?</b>	No
<b>Is this a written complaint?</b>	No
<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>	22-01372
<b>Filing date of arbitration/CFTC reparation or civil litigation:</b>	06/20/2022

### Customer Complaint Information

<b>Date Complaint Received:</b>	06/21/2022
<b>Complaint Pending?</b>	No
<b>Status:</b>	Settled



**Status Date:** 06/06/2023

**Settlement Amount:** \$14,999.00

**Individual Contribution Amount:** \$14,999.00

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**Reporting Source:** Individual

**Employing firm when activities occurred which led to the complaint:** NEWBRIDGE SECURITIES CORPORATION

**Allegations:** Newbridge Securities Corporation is a named party of an arbitration with the allegation of negligence, breach of fiduciary duty, and negligent supervision. The registered representative, Tyler Bashaw, was not named in the arbitration and was only mentioned in the subject of the statement of claim.

**Product Type:** Other: ALTERNATIVE INVESTMENT

**Alleged Damages:** \$40,000.00

**Is this an oral complaint?** No

**Is this a written complaint?** No

**Is this an arbitration/CFTC reparation or civil litigation?** Yes

**Arbitration/Reparation forum or court name and location:** FINRA

**Docket/Case #:** 22-01372

**Filing date of arbitration/CFTC reparation or civil litigation:** 06/02/2022

**Customer Complaint Information**

**Date Complaint Received:** 07/14/2020

**Complaint Pending?** No

**Status:** Settled

**Status Date:** 06/06/2023

**Settlement Amount:** \$14,999.00

**Individual Contribution Amount:** \$0.00



## End of Report

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