IAPD Report

JAMES VANCE KAMPSTRA

CRD# 5645590

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

JAMES VANCE KAMPSTRA (CRD# 5645590)

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 **03/02/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
IA	OSAIC ADVISORY SERVICES, LLC	CRD# 171070	11/01/2018
B	OSAIC WEALTH, INC.	CRD# 23131	08/23/2024

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **16** 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	TRIAD ADVISORS LLC	25803	Gettysburg, PA	11/01/2018 - 08/23/2024
IA	GENEOS WEALTH MANAGEMENT, INC.	120894	GETTYSBURG, PA	04/06/2010 - 11/06/2018
B	GENEOS WEALTH MANAGEMENT, INC.	120894	GETTYSBURG, PA	03/05/2009 - 11/06/2018

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 **16** 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 Principal	Approved	08/23/2024
B	FINRA	General Securities Representative	Approved	08/23/2024
B	Arizona	Agent	Approved	08/23/2024
B	Arkansas	Agent	Approved	08/23/2024
B	Florida	Agent	Approved	08/23/2024
B	Georgia	Agent	Approved	08/23/2024
B	Kentucky	Agent	Approved	01/06/2025
B	Maryland	Agent	Approved	08/23/2024
B	Nevada	Agent	Approved	08/23/2024
B	New Jersey	Agent	Approved	08/23/2024
B	New York	Agent	Approved	08/23/2024
B	North Carolina	Agent	Approved	08/23/2024
B	Oklahoma	Agent	Approved	06/02/2025

Qualifications

	Regulator	Registration	Status	Date
B	Pennsylvania	Agent	Approved	08/23/2024
B	South Carolina	Agent	Approved	08/23/2024
B	Texas	Agent	Approved	08/23/2024
B	Virginia	Agent	Approved	08/23/2024
B	West Virginia	Agent	Approved	08/23/2024

Branch Office Locations

OSAIC WEALTH, INC.
37 South 5th Street
Gettysburg, PA 17325

Employment 2 of 2

Firm Name: **OSAIC ADVISORY SERVICES, LLC**

Main Address: 2300 WINDY RIDGE PARKWAY
SUITE 750
ATLANTA, GA 30339

Firm ID#: 171070

	Regulator	Registration	Status	Date
IA	Florida	Investment Adviser Representative	Approved	02/12/2020
IA	Maryland	Investment Adviser Representative	Approved	11/05/2018
IA	North Carolina	Investment Adviser Representative	Approved	11/05/2018
IA	Pennsylvania	Investment Adviser Representative	Approved	11/02/2018
IA	Texas	Investment Adviser Representative	Restricted Approval	11/01/2018

Branch Office Locations

OSAIC ADVISORY SERVICES, LLC
37 South 5th Street
Gettysburg, PA 17325

 Report about JAMES VANCE KAMPSTRA.

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 1 state securities law exam.

Principal/Supervisory Exams

	Exam	Category	Date
B	General Securities Principal Examination (S24)	Series 24	07/03/2012

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	03/04/2009

State Securities Law Exams

	Exam	Category	Date
IA B	Uniform Combined State Law Examination (S66)	Series 66	03/31/2010

PROFESSIONAL DESIGNATIONS

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

Certified Financial Planner

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
B	11/01/2018 - 08/23/2024	TRIAD ADVISORS LLC	CRD# 25803	Gettysburg, PA
IA	04/06/2010 - 11/06/2018	GENEOS WEALTH MANAGEMENT, INC.	CRD# 120894	GETTYSBURG, PA
B	03/05/2009 - 11/06/2018	GENEOS WEALTH MANAGEMENT, INC.	CRD# 120894	GETTYSBURG, PA

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
08/2024 - Present	OSAIC WEALTH, INC.	Mass Transfer	Y	Gettysburg, PA, United States
11/2018 - Present	Triad Hybrid Solutions	Investment Advisor Representative	Y	Norcross, GA, United States
11/2012 - Present	FERRARA KAMPSTRA	DBA	N	GETTYSBURG, PA, United States
11/2018 - 08/2024	Triad Advisors	Registered Representative	Y	Norcross, GA, United States
01/2011 - 11/2018	GENEOS WEALTH MANAGEMENT, INC	REGISTERED REP/INVESTMENT ADVISOR	Y	GETTYSBURG, 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) Kampstra Enterprises Inc;investment related;37 S 5th St,Gettysburg,PA 17325;financial advisory;financial advisor;7/1/2020;160 hrs/month;6.5 hrs during trading;advise clients

2) Fixed insurance-multiple carriers;investment related;37 S. 5th St,Gettysburg,PA 17325;life,disability,long-term care,fixed annuity sales;wealth advisor/agent;11/1/2018;2 hrs/month;0 hrs during trading;insurance sales w/clients,assisting with application process

3) Kampstra Wealth Management;investment related;37 S 5th St,Gettysburg,PA 17325;financial advisory;wealth advisor;9/7/2020;160 hrs/month;8 hrs during trading;financial professional-fees and commission business

4) KAMPSTRA REAL ESTATE LLC

Registration & Employment History

OTHER BUSINESS ACTIVITIES

POSITION: member NATURE: LLC to hold rental properties INVESTMENT RELATED: Yes NUMBER OF HOURS: 1 SECURITIES TRADING HOURS: 0 START DATE: 07/15/2014
ADDRESS: 6419 Chambersburg Road, Fayetteville PA 17222
DESCRIPTION: purchase/sale of rental or investment properties, general building repairs/upkeep/maintenance, general financial management

5) Totem Pole Playhouse; not investment related;9555 Golf Course Rd, Fayetteville, PA 17722;summer theatre; board member;12/1/2019;2 hrs/month;0 hrs during trading; oversee the director to ensure the ongoing success of the non profit entity and other general management decisions for the entity

6) Jim Kampstra;not investment related;6419 Chambersburg Road,Fayetteville,PA 17222;crypto liquidity providing-staking,yield farming,etc;self;9/13/2021;5 hrs/month;0 hrs during trading;no duties-use existing crypto assets to provide liquidity in crypto DEX

7) KAMPSTRA ENTERPRISES INC. DBA KAMPSTRA WEALTH MANAGEMENT
POSITION: Senior Wealth Advisor NATURE: S-corporation providing financial advisory and broker services INVESTMENT RELATED: Yes NUMBER OF HRS: 173 SECURITIES TRADING HRS: 140 START DATE: 7/1/20
ADDRESS: 37 S 5th St, Gettysburg PA 17325,
DESCRIPT: provide financial advisory and broker services to clients, as well as general business management and HR

8) FIXED INSURANCE-MULTIPLE CARRIERS
POSITION: Agent NATURE: Sole Proprietorship selling life, disability, long-term care, fixed annuity and other insurance sales INVESTMENT RELATED: Yes NUMBER OF HRS: 2 SECURITIES TRADING HOURS: 2 START DATE: 11/1/18
ADDRESS: 37 S. 5th St, Gettysburg PA 17325
DESCRIPT: insurance sales w/clients, assisting with application process and policy servicing

9) TOTEM POLE PLAYHOUSE
POSITION: board member/secretary NATURE: 501(c)(3) non-profit summer theatre INVESTMENT RELATED: No NUMBER OF HOURS: 3 SECURITIES TRADING HRS: 3 START DATE: 12/1/19
ADDRESS: 9555 Golf Course Rd, Fayetteville PA 17722
DESCRIPT: oversee the director to ensure the ongoing success of the non profit entity and other general management decisions for the entity

10) ADAMS COUNTY COMMUNITY FOUNDATION
POSITION: Board Member NATURE: 501(c)(3) non-profit charitable fund administrator INVESTMENT RELATED: No NUMBER OF HOURS: 4 SECURITIES TRADING HRS: 2 START DATE: 1/1/26
ADDRESS: 25 South 4th St, Gettysburg PA 17325
DESCRIPT: volunteer board role where I will assist the Community Foundation with guidance on their operations and provide financial oversight and monitoring

11) JAMES KAMPSTRA
POSITION: Lender NATURE: personal loan/promissory note for my junior advisors to buy into my Kampstra Wealth Management DBA INVESTMENT RELATED: No NUMBER OF HRS: 0 SECURITIES TRADING HRS: 0 START DATE: 1/1/25
ADDRESS: 6419 Chambersburg Road, Fayetteville PA 17222
DESCRIPT: ensure the loan is current

KAMPSTRA ENTERPRISES DBA KAMPSTRA WEALTH MANAGEMENT
POSITION: Tax Preparer NATURE: S corp INVESTMENT RELATED: No NUMBER OF HRS: 4 SECURITIES TRADING HRS: 4 START DATE: 3/1/26
ADDRESS: 37 South 5th Street, Gettysburg PA 17325
DESCRIPT: Looking to start offering assistance with tax preparation for existing OAS clients limited to only basic tax returns (W-

Registration & Employment History

OTHER BUSINESS ACTIVITIES

2s and 1099s only). Assist with preparation of the return and assist the client with e-filing their federal, state, and local returns as applicable

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:	Court of Common Pleas of Franklin County
Location of Court:	Chambersburg, PA
Docket/Case #:	CP-28-CR-0000452-2008
Charge Date:	10/08/2007
Charge(s) 1 of 3	
Formal Charge(s)/Description:	Criminal Use of Communication Facility
No of Counts:	1
Felony or Misdemeanor:	Felony
Plea for each charge:	Waived
Disposition of charge:	Charge was Waived for a guilty plea to the lesser charge
Charge(s) 2 of 3	
Formal Charge(s)/Description:	Manufacturing/Delivery/Possession with intent to Manufacture or deliver.
No of Counts:	1
Felony or Misdemeanor:	Felony
Plea for each charge:	Waived
Disposition of charge:	Charge was Waived for a guilty plea to the lesser charge
Charge(s) 3 of 3	

Formal Charge(s)/Description:	Intentional Possession of Controlled Substance by a Person Not Registered.
No of Counts:	1
Felony or Misdemeanor:	Misdemeanor
Plea for each charge:	Guilty Plea
Disposition of charge:	Pled guilty
Current Status:	Final
Status Date:	04/24/2009
Disposition Date:	04/24/2009
Sentence/Penalty:	Simple Possession, probation of 12 months, $500 Law Library, Drug/Alcohol Treatment, Court Fees and other associated costs.
Broker Statement	This was a charge for possession of 0.125 oz of marijuana while I was college student. The felony charges were waived for a plea agreement. I plead guilty to thee lesser misdemeanor charge.

End of Report

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