



IAPD Report

JOHN EDMOND WINSTON

CRD# 724171

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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

JOHN EDMOND WINSTON (CRD# 724171)

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 **12/18/2020**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	OSAIC WEALTH, INC.	CRD# 23131	09/01/2023
IA	OSAIC WEALTH, INC.	CRD# 23131	09/01/2023

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
IA	SAGEPOINT FINANCIAL, INC.	133763	NAMPA, ID	08/23/2007 - 09/01/2023
B	SAGEPOINT FINANCIAL, INC.	133763	NAMPA, ID	10/31/2005 - 09/01/2023
B	SUNAMERICA SECURITIES, INC.	20068	PHOENIX, AZ	05/19/1992 - 10/31/2005

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
Regulatory Event	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 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	09/01/2023
B	California	Agent	Approved	09/01/2023
IA	California	Investment Adviser Representative	Approved	09/01/2023
B	Colorado	Agent	Approved	09/01/2023
B	Idaho	Agent	Approved	09/01/2023
IA	Idaho	Investment Adviser Representative	Approved	09/01/2023
B	Nevada	Agent	Approved	09/01/2023
B	South Carolina	Agent	Approved	09/01/2023
B	Utah	Agent	Approved	09/01/2023

Branch Office Locations

OSAIC WEALTH, INC.
NAMPA, ID



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 2 state securities law exams.

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	02/21/1981
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State Securities Law Exams

Exam	Category	Date
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 Uniform Investment Adviser Law Examination (S65)	Series 65	02/03/1996
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 Uniform Securities Agent State Law Examination (S63)	Series 63	08/14/1985
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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
IA	08/23/2007 - 09/01/2023	SAGEPOINT FINANCIAL, INC.	CRD# 133763	NAMPA, ID
B	10/31/2005 - 09/01/2023	SAGEPOINT FINANCIAL, INC.	CRD# 133763	NAMPA, ID
B	05/19/1992 - 10/31/2005	SUNAMERICA SECURITIES, INC.	CRD# 20068	PHOENIX, AZ
B	11/16/1989 - 05/19/1992	ANCHOR NATIONAL FINANCIAL SERVICES, INC.	CRD# 5774	
B	11/19/1989 - 12/18/1989	ROYAL ALLIANCE ASSOCIATES, INC.	CRD# 23131	SCOTTSDALE, AZ
B	06/26/1985 - 11/19/1989	INTEGRATED RESOURCES EQUITY CORPORATION	CRD# 6403	
B	09/28/1982 - 07/12/1985	CAL-CAP SECURITIES, INC.	CRD# 10730	
B	02/23/1981 - 10/13/1982	WESCO SECURITIES, INC.	CRD# 6471	

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
09/2023 - Present	OSAIC WEALTH, INC.	Mass Transfer	Y	NAMPA, ID, United States
01/2009 - Present	SAGEPOINT FINANCIAL, INC.	REGISTERED REP	Y	PHOENIX, AZ, United States
01/1992 - Present	JOHN WINSTON, CFP, EA, ATA	PROPRIETOR - TAX PREPARER	N	NAMPA, ID, 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) JOHN WINSTON

POSITION: Owner - NATURE: Other - Direct ownership of a rental house @ 812 11th Avenue South, Nampa, ID 83651 that is



Registration & Employment History



OTHER BUSINESS ACTIVITIES

zoned Commerical INVESTMENT RELATED: Yes NUMBER OF HOURS: 5 SECURITIES TRADING HOURS: 0 START DATE: 07/31/2000

ADDRESS: 124 Meffan Avenue, Nampa ID 83651, United States

DESCRIPTION: maintain property and rent it out

2) JOHN WINSTON, CFP, EA

POSITION: Owner - NATURE: Sole Proprietorship - INVESTMENT RELATED: No NUMBER OF HOURS: 80 SECURITIES TRADING HOURS: 40 START DATE: 01/01/1992

ADDRESS: 124 Meffan Avenue, Nampa ID 83651, United States

DESCRIPTION: Doing bookkeeping, payroll and tax prep for various clients.



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
Regulatory Event	1

Regulatory Event

This disclosure event may include a final, formal proceeding initiated by a regulatory authority (e.g., a state securities agency, a federal regulator such as the Securities and Exchange Commission or the Commodities Futures Trading Commission, or a foreign financial regulatory body) for a violation of investment-related rules or regulations. This disclosure event may also include a revocation or suspension of an Investment Adviser Representative's authority to act as an attorney, accountant or federal contractor.

Disclosure 1 of 1

Reporting Source: Regulator

Regulatory Action Initiated By: IDAHO DEPARTMENT OF FINANCE

Sanction(s) Sought:

Other Sanction(s) Sought:

Date Initiated: 03/20/1996

Docket/Case Number: 1995-7-76

Employing firm when activity occurred which led to the regulatory action: DBA JOHN WINSTON FINANCIAL SERVICES

Product Type:

Other Product Type(s):

Allegations: UNREGISTERED INVESTMENT ADVISER

Current Status: Final

Resolution: Stipulation and Consent

Resolution Date: 03/20/1996

Sanctions Ordered:

Other Sanctions Ordered:

Sanction Details: WINSTON, DBA JOHN WINSTON FINANCIAL SERVICES, AGREED TO: 1) REIMBURSE THE DEPT. \$1000 INVESTIGATIVE COSTS; 2) REFUND INVESTMENT ADVISORY FEES RECEIVED BETWEEN 12/1/94 AND 3/20/96.



Regulator Statement CONTACT: COLLEEN SEDIVEC - 208/332-8004.

Reporting Source: Individual

Regulatory Action Initiated By: IDAHO DEPARTMENT OF FINANCE

Sanction(s) Sought: Other

Other Sanction(s) Sought: AGREE TO REIMBURSE DEPT \$1000 FOR COST OF INVESTIGATION. AGREE TO COMPLY WITH THE IDAHO SECURITIES ACT. DISCONTINUE INVESTMENT ADVISORY ACTIVITIES UNTIL REGISTERED IN IDAHO. SATISFY DEFICIENCIES IN PENDING INVESTMENT ADVISER APPLICATION BY MAR. 15, 1996. OFFER A REFUND TO CLIENTS OF ALL INVESTMENT ADVISORY FEES RECEIVED FROM DEC. 1, 1994 TO MAR. 20, 1996. CERTIFY THAT PRIOR TO MAR. 22, 1996 A COPY OF THE ORDER WAS SENT TO CLIENTS OF JOHN WINSTON FINANCIAL SERVICES.

Date Initiated: 03/20/1996

Docket/Case Number: 1995-7-76

Employing firm when activity occurred which led to the regulatory action: DBA JOHN WINSTON FINANCIAL SERVICES

Product Type: No Product

Other Product Type(s):

Allegations: THE ALLEGATIONS WERE THAT I WAS TRANSACTING BUSINESS IN THE STATE OF IDAHO AS AN INVESTMENT ADVISER, WITHOUT BEING REGISTERED AS SUCH WITH THE STATE OF IDAHO

Current Status: Final

Resolution: Stipulation and Consent

Resolution Date: 03/20/1996

Sanctions Ordered:

Other Sanctions Ordered:

Sanction Details: REIMBURSE THE DEPARTMENT OF FINANCE \$1000 FOR THE COST OF THE INVESTIGATION. DISCONTINUE INVESTMENT ADVISORY ACTIVITIES UNTIL REGISTERED. FINISH REQUIREMENTS FOR REGISTRATION BY MAR 15, 1996. OFFER A REFUND OF FEES COLLECTED FROM CLIENTS. SEND A COPY OF AGREEMENT & ORDER TO ALL CLIENTS. INVESTMENT ADVISOR LICENSE WAS ISSUED BY STATE OF IDAHO, DEPT OF FINANCE MARCH 26, 1996, AFTER COMPLETING THE NECESSARY REQUIREMENTS.

Broker Statement I HAVE VIGOROUSLY DENIED ANY GUILT IN THIS MATTER. PRIOR TO CONTACTING CLIENTS, I WAS TOLD BY IDAHO DEPT OF FINANCE THAT I DID NOT HAVE TO BE REGISTERED IN IDAHO UNLESS I HAD CLIENTS IN IDAHO. DUE TO MY FATHER SUFFERING A STROKE AND OTHER TIME CONSUMING RESPONSIBILITIES, I ELECTED TO DELAY REGISTRATION IN IDAHO TEMPORARILY. I REFUSED TO ACCEPT ANY CLIENTS IN IDAHO. I WORKED WITH CLIENTS OUTSIDE OF IDAHO ONLY. AT INCEPTION OF THE INVESTIGATION WHEN INFORMED CORRECTLY OF THE LAW, I STOPPED BILLING CLIENTS UNTIL REGISTERED IN IDAHO. THERE WAS NO WILLFUL INTENT TO VIOLATE A LAW. I TOOK STEPS TO



UNDERSTAND AND COMPLY WITH REGULATIONS AND WAS GIVEN BAD
ADVICE BY IDAHO STATE DEPT OF FINANCE. REGISTRATION WAS
GRANTED MAR. 26, 1996, AFTER COMPLYING WITH SANCTIONS.



End of Report

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