IAPD Report

DONALD EUGENE BAXTER

CRD# 828637

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

DONALD EUGENE BAXTER (CRD# 828637)

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 **03/26/2026**.

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 **33** 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	SAGEPOINT FINANCIAL, INC.	133763	WICHITA, KS	12/08/2017 - 09/01/2023
IA	SAGEPOINT FINANCIAL, INC.	133763	WICHITA, KS	11/30/2017 - 09/01/2023
IA	SII INVESTMENTS, INC.	2225	WICHITA, KS	08/27/2001 - 12/13/2017

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
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 **33** 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 Principal	Approved	09/01/2023
B	FINRA	General Securities Representative	Approved	09/01/2023
B	FINRA	Municipal Fund	Approved	09/01/2023
B	Alabama	Agent	Approved	09/01/2023
B	Arizona	Agent	Approved	09/01/2023
B	Arkansas	Agent	Approved	09/01/2023
IA	Arkansas	Investment Adviser Representative	Approved	09/01/2023
B	California	Agent	Approved	09/01/2023
B	Colorado	Agent	Approved	09/01/2023
B	Florida	Agent	Approved	09/01/2023
IA	Florida	Investment Adviser Representative	Approved	09/01/2023
B	Georgia	Agent	Approved	09/01/2023
B	Idaho	Agent	Approved	09/01/2023

Qualifications

	Regulator	Registration	Status	Date
IA	Idaho	Investment Adviser Representative	Approved	09/01/2023
B	Illinois	Agent	Approved	09/01/2023
B	Indiana	Agent	Approved	09/01/2023
B	Iowa	Agent	Approved	09/01/2023
IA	Iowa	Investment Adviser Representative	Approved	09/01/2023
B	Kansas	Agent	Approved	09/01/2023
IA	Kansas	Investment Adviser Representative	Approved	09/01/2023
B	Kentucky	Agent	Approved	09/01/2023
B	Louisiana	Agent	Approved	09/01/2023
B	Maryland	Agent	Approved	09/01/2023
B	Michigan	Agent	Approved	09/01/2023
IA	Michigan	Investment Adviser Representative	Approved	09/01/2023
B	Minnesota	Agent	Approved	09/01/2023
IA	Minnesota	Investment Adviser Representative	Approved	09/01/2023
B	Mississippi	Agent	Approved	09/01/2023
B	Missouri	Agent	Approved	09/01/2023
B	Nebraska	Agent	Approved	09/01/2023
B	North Carolina	Agent	Approved	09/01/2023
IA	North Carolina	Investment Adviser Representative	Approved	09/01/2023

Qualifications

	Regulator	Registration	Status	Date
B	North Dakota	Agent	Approved	09/01/2023
B	Ohio	Agent	Approved	10/01/2024
B	Oklahoma	Agent	Approved	09/01/2023
IA	Oklahoma	Investment Adviser Representative	Approved	09/01/2023
B	Oregon	Agent	Approved	09/01/2023
B	Pennsylvania	Agent	Approved	09/01/2023
B	South Carolina	Agent	Approved	09/01/2023
IA	South Carolina	Investment Adviser Representative	Approved	09/01/2023
B	South Dakota	Agent	Approved	09/01/2023
B	Tennessee	Agent	Approved	09/01/2023
B	Texas	Agent	Approved	09/01/2023
IA	Texas	Investment Adviser Representative	Restricted Approval	09/01/2023
B	Virginia	Agent	Approved	09/01/2023
B	Washington	Agent	Approved	09/01/2023
B	Wyoming	Agent	Approved	09/01/2023
IA	Wyoming	Investment Adviser Representative	Approved	09/01/2023

Branch Office Locations

OSAIC WEALTH, INC.
2103 N COLLECTIVE LANE
WICHITA, KS 67206

OSAIC WEALTH, INC.
Wichita, KS

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 2 principal/supervisory exams, 4 general industry/product exams, and 2 state securities law exams.

Principal/Supervisory Exams

	Exam	Category	Date
B	Municipal Fund Securities Principal Examination (S51)	Series 51	03/28/2003
B	General Securities Principal Examination (S24)	Series 24	11/14/1991

General Industry/Product Exams

	Exam	Category	Date
B	Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
B	Futures Managed Funds Examination (S31)	Series 31	03/19/2002
B	General Securities Representative Examination (S7)	Series 7	12/15/1984
B	Registered Representative Examination (S1)	Series 1	10/09/1976

State Securities Law Exams

	Exam	Category	Date
IA	Uniform Investment Adviser Law Examination (S65)	Series 65	11/03/1999
B	Uniform Securities Agent State Law Examination (S63)	Series 63	08/09/1983

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	12/08/2017 - 09/01/2023	SAGEPOINT FINANCIAL, INC.	CRD# 133763	WICHITA, KS
IA	11/30/2017 - 09/01/2023	SAGEPOINT FINANCIAL, INC.	CRD# 133763	WICHITA, KS
IA	08/27/2001 - 12/13/2017	SII INVESTMENTS, INC.	CRD# 2225	WICHITA, KS
B	08/16/2001 - 12/01/2017	SII INVESTMENTS, INC.	CRD# 2225	WICHITA, KS
B	01/20/1997 - 08/17/2001	FFP SECURITIES, INC.	CRD# 16337	CHESTERFIELD, MO
B	08/24/1995 - 01/16/1997	PIM FINANCIAL SERVICES, INC.	CRD# 10547	SAN MARCOS, CA
B	01/17/1992 - 08/10/1995	PIM FINANCIAL SERVICES, INC.	CRD# 10547	SAN MARCOS, CA
B	11/08/1985 - 12/31/1991	PRIMELINE SECURITIES CORP.	CRD# 15896	WICHITA, KS
B	10/28/1977 - 06/07/1991	AMERICAN UNITED LIFE INSURANCE COMPANY	CRD# 1075	INDIANAPOLIS, IN
B	03/31/1984 - 11/27/1985	TITAN CAPITAL CORPORATION	CRD# 6359	
B	01/13/1984 - 07/06/1984	AETNA LIFE INSURANCE AND ANNUITY COMPANY	CRD# 13256	
B	07/08/1983 - 03/21/1984	WESTLAKE SECURITIES, INC.	CRD# 10279	
B	10/19/1976 - 07/13/1983	NEL EQUITY SERVICES CORPORATION	CRD# 615	
B	03/14/1977 - 07/13/1982	HARTFORD EQUITY SALES COMPANY INC.	CRD# 6604	

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
09/2023 - Present	OSAIC WEALTH, INC.	Mass Transfer	Y	WICHITA, KS, United States
11/2017 - Present	SagePoint Financial, Inc.	Registered Principal	Y	Wichita, KS, United States
10/1982 - Present	BAXTER AND ASSOCIATES	OTHER - OFFICER	N	WICHITA, KS, United States
08/2001 - 11/2017	SII Investments, Inc.	Registered Principal	Y	Wichita, KS, 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) BAXTER & ASSOCIATES, INC.
POSITION: President NATURE: Entity for payroll & tax. INVESTMENT RELATED: Yes NUMBER OF HOURS: 160 SECURITIES TRADING HOURS: 160 START DATE: 01/01/1982
ADDRESS: 2103 N COLLECTIVE LANE, Wichita KS 67206, United States
DESCRIPTION: President

2) RENTAL PROPERTY
POSITION: owner NATURE: Rental property INVESTMENT RELATED: Yes NUMBER OF HOURS: 5 SECURITIES TRADING HOURS: 5 START DATE: 12/01/2006
ADDRESS: 2103 N COLLECTIVE LANE, Wichita KS 67206, United States
DESCRIPTION: Owner of Rental Property

3) AIR CAPITAL COSMOPOLITAN CLUB INT'L OF WICHITA
POSITION: Past President/ Board member NATURE: Civic Group INVESTMENT RELATED: No NUMBER OF HOURS: 3 SECURITIES TRADING HOURS: 1 START DATE: 01/01/1996
ADDRESS: 301 N. Main St., Suite 1350, Wichita KS 67202, United States
DESCRIPTION: Meet periodically for lunch and drinks and occasionally discuss fund raisers for Diabetes causes.

4) FIXED INSURANCE
POSITION: Rep NATURE: Insurance rep INVESTMENT RELATED: Yes NUMBER OF HOURS: 5 SECURITIES TRADING HOURS: 5 START DATE: 01/16/1976
ADDRESS: 2103 N COLLECTIVE LANE, Wichita KS 67206, United States
DESCRIPTION: LTC, Fixed Life, ect

5) BAXCAP, LLC
POSITION: owner NATURE: Rental property INVESTMENT RELATED: Yes NUMBER OF HOURS: 5 SECURITIES TRADING HOURS: 5 START DATE: 12/01/2006
ADDRESS: 2103 N COLLECTIVE LANE, Wichita KS 67206, United States
DESCRIPTION: Owner of Rental Property; Renting to Baxter & Associates, Inc. and an office to Reserve National Life Insurance, which does mainly health care programs.

Registration & Employment History

OTHER BUSINESS ACTIVITIES

6) DON & KAREN BAXTER
POSITION: Owner NATURE: Other - rental of an individual home INVESTMENT RELATED: Yes NUMBER OF HOURS: 0 SECURITIES TRADING HOURS: 0 START DATE: 07/01/2015
ADDRESS: 317 Cain Road, Hot Springs AR 71913, United States
DESCRIPTION: Collect rent

7) FIXED INSURANCE
POSITION: Rep NATURE: Insurance rep INVESTMENT RELATED: Yes NUMBER OF HOURS: 5 SECURITIES TRADING HOURS: 5 START DATE: 01/16/1976
ADDRESS: 2103 N COLLECTIVE LANE, Wichita KS 67206, United States
DESCRIPTION: LTC, Fixed Life, ect

8. EAST Y'S MENS GROUP
POSITION: Member NATURE: Civic Group that has fun and does fund raisers to benefit primarily the YMCA's in Wichita, KS. Fund raisers include selling Christmas Trees, a sporting clays shoot, and a Steak Feed. INVESTMENT RELATED: No NUMBER OF HOURS: 5 SECURITIES TRADING HOURS: 4 START DATE: 01/01/2025
ADDRESS: 555 McLean Blvd; #303, Wichita KS 67203, United States
DESCRIPTION: Participate in activities when I can.

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
Customer Dispute	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:	KANSAS SECURITIES COMMISSION
Sanction(s) Sought:	
Other Sanction(s) Sought:	
Date Initiated:	03/18/1993
Docket/Case Number:	93E052/92-2267
Employing firm when activity occurred which led to the regulatory action:	
Product Type:	
Other Product Type(s):	
Allegations:	UNSUITABLE RECOMMENDATIONS
Current Status:	Final
Resolution:	Consent
Resolution Date:	03/18/1993
Sanctions Ordered:	Bar Monetary/Fine $500.00
Other Sanctions Ordered:	
Sanction Details:	STIPULATED CONSENT TO A $500 FINE ANS SUSPENSION OF REGISTRATION FOR A PERIOD OF 14 DAYS FROM MARCH 19, 1993

	THROUGH APRIL 1, 1993.
Regulator Statement	RECOMMENDATIONS TO INVEST IN 16 DIRECT PARTICIPATION PROGRAMS WERE, WHEN VIEWED AS A WHOLE, UNSUITABLE FOR THE INVESTOR.

Reporting Source:	Individual
Regulatory Action Initiated By:	KANSAS SECURITIES COMMISSION, CAROLINE ONG
Sanction(s) Sought:	Suspension
Other Sanction(s) Sought:	$500.00 FINE
Date Initiated:	03/18/1993
Docket/Case Number:	93E052/92-2267
Employing firm when activity occurred which led to the regulatory action:	PRIMELINE SECURITIES, INC.
Product Type:	Direct Investment(s) - DPP & LP Interest(s)
Other Product Type(s):	
Allegations:	UNSUITABLE INVESTMENTS
Current Status:	Final
Resolution:	Consent
Resolution Date:	03/18/1993
Sanctions Ordered:	Bar Monetary/Fine $500.00
Other Sanctions Ordered:	14 DAY SUSPENSION
Sanction Details:	14 DAY SUSPENSION & $500 FINE COMMENSING ON MARCH 19, 1993; WITHOUT ADMITTING ANY WRONG DOING.

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

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	PRIMELINE SECURITIES, INC.
Allegations:	UNSUITABLE INVESTMENTS WAS CLAIMED. CLIENT CLAIMED NOT TO UNDERSTAND RISK IN SOME INVESTMENTS. WANTED TO RESEND.
Product Type:	Direct Investment(s) - DPP & LP Interest(s)
Alleged Damages:	$150,000.00

Customer Complaint Information

Date Complaint Received:	03/18/1993
Complaint Pending?	No
Status:	Settled
Status Date:	06/26/1995
Settlement Amount:	$150,000.00
Individual Contribution Amount:	$36,000.00

Civil Litigation Information

Court Details:	SEDGWICK COUNTY, KS; FILE #6668-4
Date Notice/Process Served:	03/18/1993
Litigation Pending?	No
Disposition:	Settled
Disposition Date:	06/26/1995
Monetary Compensation Amount:	$150,000.00
Individual Contribution Amount:	$36,000.00
Broker Statement	STATE OF KANSAS & FINED $500 AND SUSPENDED FOR 14 DAYS. NO ADMISSION OF GUILT OR WRONG DOING. JUNE 26TH 1995 - CIVIL CASE SETTLED OUT OF COURT W/OUT ADMISSION OF GUILT OR WRONG DOING. MY PORTION OF SETTLEMENT WAS $36,000. ^

End of Report

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