

BrokerCheck Report

SEAN OLIVER BUXTON

CRD# 4697339

<u>Section Title</u>	<u>Page(s)</u>
Report Summary	1
Broker Qualifications	2 - 4
Registration and Employment History	6 - 7
Disclosure Events	8



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.

About BrokerCheck®



BrokerCheck offers information on all current, and many former, registered securities brokers, and all current and former registered securities firms. FINRA strongly encourages investors to use BrokerCheck to check the background of securities brokers and brokerage firms before deciding to conduct, or continue to conduct, business with them.

- **What is included in a BrokerCheck report?**

- BrokerCheck reports for individual brokers include information such as employment history, professional qualifications, disciplinary actions, criminal convictions, civil judgments and arbitration awards. BrokerCheck reports for brokerage firms include information on a firm's profile, history, and operations, as well as many of the same disclosure events mentioned above.
- Please note that the information contained in a BrokerCheck 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 broker or brokerage firm, or concluded through a negotiated settlement with no admission or finding of wrongdoing.

- **Where did this information come from?**

- The information contained in BrokerCheck comes from FINRA's Central Registration Depository, or CRD® and is a combination of:
 - o information FINRA and/or the Securities and Exchange Commission (SEC) require brokers and brokerage firms to submit as part of the registration and licensing process, and
 - o information that regulators report regarding disciplinary actions or allegations against firms or brokers.

- **How current is this information?**

- Generally, active brokerage firms and brokers are required to update their professional and disciplinary information in CRD within 30 days. Under most circumstances, information reported by brokerage firms, brokers and regulators is available in BrokerCheck the next business day.

- **What if I want to check the background of an investment adviser firm or investment adviser representative?**

- To check the background of an investment adviser firm or representative, you can search for the firm or individual in BrokerCheck. If your search is successful, click on the link provided to view the available licensing and registration information in the SEC's Investment Adviser Public Disclosure (IAPD) website at <https://www.adviserinfo.sec.gov>. In the alternative, you may search the IAPD website directly or contact your state securities regulator at <http://www.finra.org/Investors/ToolsCalculators/BrokerCheck/P455414>.

- **Are there other resources I can use to check the background of investment professionals?**

- FINRA recommends that you learn as much as possible about an investment professional before deciding to work with them. Your state securities regulator can help you research brokers and investment adviser representatives doing business in your state.

Thank you for using FINRA BrokerCheck.



Using this site/information means that you accept the FINRA BrokerCheck Terms and Conditions. A complete list of Terms and Conditions can be found at brokercheck.finra.org



For additional information about the contents of this report, please refer to the User Guidance or www.finra.org/brokercheck. It provides a glossary of terms and a list of frequently asked questions, as well as additional resources. For more information about FINRA, visit www.finra.org.

SEAN O. BUXTON

CRD# 4697339

Currently employed by and registered with the following Firm(s):

IA LEGACY CAPITAL GROUP CALIFORNIA, INC.
 459 MONTEREY AVE
 LOS GATOS, CA 95030
 CRD# 111436
 Registered with this firm since: 03/04/2014

B LION STREET FINANCIAL, LLC
 459 Monterey Ave Ste 100
 Los Gatos, CA 95030
 CRD# 165828
 Registered with this firm since: 03/05/2015

Report Summary for this Broker

This report summary provides an overview of the broker's professional background and conduct. Additional information can be found in the detailed report.

Broker Qualifications**This broker is registered with:**

- 1 Self-Regulatory Organization
- 4 U.S. states and territories

This broker has passed:

- 1 Principal/Supervisory Exam
- 2 General Industry/Product Exams
- 2 State Securities Law Exams

Registration History**This broker was previously registered with the following securities firm(s):**

- IA REACT INVESTMENT SOLUTIONS, LLC**
 CRD# 150801
 LOS GATOS, CA
 02/2022 - 12/2023
- B NFP ADVISOR SERVICES, LLC**
 CRD# 42046
 LOS GATOS, CA
 09/2014 - 01/2015
- IA BEACON POINTE WEALTH ADVISORS, LLC**
 CRD# 151328
 NEWPORT BEACH, CA
 09/2011 - 02/2014

Disclosure Events

All individuals registered to sell securities or provide investment advice are required to disclose customer complaints and arbitrations, regulatory actions, employment terminations, bankruptcy filings, and criminal or civil judicial proceedings.

Are there events disclosed about this broker? **Yes****The following types of disclosures have been reported:**

Type	Count
Criminal	1



Broker Qualifications

Registrations

This section provides the self-regulatory organizations (SROs) and U.S. states/territories the broker is currently registered and licensed with, the category of each license, and the date on which it became effective. This section also provides, for every brokerage firm with which the broker is currently employed, the address of each branch where the broker works.

This individual is currently registered with 1 SRO and is licensed in 4 U.S. states and territories through his or her employer.

Employment 1 of 2

Firm Name: **LEGACY CAPITAL GROUP CALIFORNIA, INC.**

Main Office Address: **459 MONTEREY AVENUE
SUITE 100
LOS GATOS, CA 95030**

Firm CRD#: **111436**

	U.S. State/ Territory	Category	Status	Date
IA	California	Investment Adviser Representative	Approved	03/04/2014

Branch Office Locations

459 MONTEREY AVE
LOS GATOS, CA 95030

Employment 2 of 2

Firm Name: **LION STREET FINANCIAL, LLC**

Main Office Address: **300 COLORADO ST
SUITE 2600
AUSTIN, TX 78701**

Firm CRD#: **165828**

	SRO	Category	Status	Date
B	FINRA	General Securities Representative	Approved	03/05/2015

	U.S. State/ Territory	Category	Status	Date
B	California	Agent	Approved	03/21/2016



Broker Qualifications

Employment 2 of 2, continued

	U.S. State/ Territory	Category	Status	Date
B	Montana	Agent	Approved	06/04/2021
B	Washington	Agent	Approved	06/04/2021
B	Wyoming	Agent	Approved	07/22/2020

Branch Office Locations

LION STREET FINANCIAL, LLC
459 Monterey Ave Ste 100
Los Gatos, CA 95030



Broker Qualifications

Industry Exams this Broker has Passed

This section includes all securities industry exams that the broker has passed. Under limited circumstances, a broker may attain a registration after receiving an exam waiver based on exams the broker has passed and/or qualifying work experience. Any exam waivers that the broker has received are not included below. A passed exam or exam waiver does not permit a broker to do business without an active SRO or state registration.

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	Series 24	01/25/2005

General Industry/Product Exams

Exam	Category	Date
B Securities Industry Essentials Examination	SIE	10/01/2018
B General Securities Representative Examination	Series 7	09/05/2014

State Securities Law Exams

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

Additional information about the above exams or other exams FINRA administers to brokers and other securities professionals can be found at www.finra.org/brokerqualifications/registeredrep/.



Broker Qualifications

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 and Employment History

Registration History

The broker previously was registered with the following firms:

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

Employment History



Registration and Employment History

Employment History, continued

This section provides up to 10 years of an individual broker's employment history as reported by the individual broker on the most recently filed Form U4.

Please note that the broker is required to provide this information only while registered with FINRA or a national securities exchange and the information is not updated via Form U4 after the broker ceases to be registered. Therefore, an employment end date of "Present" may not reflect the broker's current employment status.

Employment	Employer Name	Position	Investment Related	Employer Location
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 broker regarding other business activities the broker 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 Events



What you should know about reported disclosure events:

1. All individuals registered to sell securities or provide investment advice are required to disclose customer complaints and arbitrations, regulatory actions, employment terminations, bankruptcy filings, and criminal or civil judicial proceedings.
2. **Certain thresholds must be met before an event is reported to CRD, for example:**
 - o A law enforcement agency must file formal charges before a broker is required to disclose a particular criminal event.
 - o A customer dispute must involve allegations that a broker engaged in activity that violates certain rules or conduct governing the industry and that the activity resulted in damages of at least \$5,000.
 - o
3. **Disclosure events in BrokerCheck reports come from different sources:**
 - o As mentioned at the beginning of this report, information contained in BrokerCheck comes from brokers, brokerage 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 BrokerCheck report. The different versions will be separated by a solid line with the reporting source labeled.
 - o
4. **There are different statuses and dispositions for disclosure events:**
 - o A disclosure event may have a status of *pending*, *on appeal*, or *final*.
 - A "pending" event involves allegations that have not been proven or formally adjudicated.
 - An event that is "on appeal" involves allegations that have been adjudicated but are currently being appealed.
 - A "final" event has been concluded and its resolution is not subject to change.
 - o A final 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 involves an agreement by the parties to resolve the matter. Please note that brokers and brokerage firms may choose to settle customer disputes or regulatory matters for business or other reasons.
 - A "resolved" matter usually involves no payment to the customer and no finding of wrongdoing on the part of the individual broker. Such matters generally involve customer disputes.

For your convenience, below is a matrix of the number and status of disclosure events involving this broker. Further information regarding these events can be found in the subsequent pages of this report. You also may wish to contact the broker to obtain further information regarding these events.

	Pending	Final	On Appeal
Criminal	0	1	0



Disclosure Event Details

When evaluating this information, please keep in mind that a disclosure event may be pending or involve allegations that are contested and have not been resolved or proven. The matter may, in the end, be withdrawn, dismissed, resolved in favor of the broker, or concluded through a negotiated settlement for certain business reasons (e.g., to maintain customer relationships or to limit the litigation costs associated with disputing the allegations) with no admission or finding of wrongdoing.

This report provides the information exactly as it was reported to CRD and therefore some of the specific data fields contained in the report may be blank if the information was not provided to CRD.

Criminal - Final Disposition

This type of disclosure event involves a criminal charge against the broker that has resulted in a conviction, acquittal, dismissal, or plea. The criminal matter may pertain to any felony or certain misdemeanor offenses, including bribery, perjury, forgery, counterfeiting, extortion, fraud, and wrongful taking of property.

Disclosure 1 of 1

Reporting Source:	Broker
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



This page is intentionally left blank.