

BrokerCheck Report

ROBERT SCOTT THOMAS

CRD# 2750158

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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.

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:
 - 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
 - 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.

**ROBERT S. THOMAS**

CRD# 2750158

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

IA ASHWORTH WEALTH, LLC
 897 W. BAXTER DR.
 SOUTH JORDAN, UT 84095
 CRD# 116950
 Registered with this firm since: 01/04/2011

IA OSAIC WEALTH, INC.
 897 W BAXTER DR
 SOUTH JORDAN, UT 84095
 CRD# 23131
 Registered with this firm since: 05/30/2002

B OSAIC WEALTH, INC.
 897 W BAXTER DR
 SOUTH JORDAN, UT 84095
 CRD# 23131
 Registered with this firm since: 01/29/2002

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
- 20 U.S. states and territories

This broker has passed:

- 0 Principal/Supervisory Exams
- 3 General Industry/Product Exams
- 2 State Securities Law Exams

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

- IA STONE HILL ADVISORY SERVICES INC.**
 CRD# 123405
 SALT LAKE CITY, UT
 08/2002 - 12/2010
- B SIGNATOR INVESTORS, INC.**
 CRD# 468
 BOSTON, MA
 06/1996 - 01/2002
- B JOHN HANCOCK MUTUAL LIFE INSURANCE COMPANY**
 CRD# 5181
 BOSTON, MA
 06/1996 - 05/1997

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
Judgment/Lien	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 20 U.S. states and territories through his or her employer.

Employment 1 of 2

Firm Name: **ASHWORTH WEALTH, LLC**
 Main Office Address: **897 W. BAXTER DR.
 SOUTH JORDAN, UT 84095**
 Firm CRD#: **116950**

	U.S. State/ Territory	Category	Status	Date
IA	Texas	Investment Adviser Representative	Restricted Approval	12/20/2021
IA	Utah	Investment Adviser Representative	Approved	01/04/2011

Branch Office Locations

897 W. BAXTER DR.
 SOUTH JORDAN, UT 84095

Employment 2 of 2

Firm Name: **OSAIC WEALTH, INC.**
 Main Office Address: **18700 N. HAYDEN ROAD
 SUITE 255
 SCOTTSDALE, AZ 85255**
 Firm CRD#: **23131**

	SRO	Category	Status	Date
B	FINRA	General Securities Representative	Approved	01/29/2002
B	FINRA	Invest. Co and Variable Contracts	Approved	01/29/2002

Broker Qualifications



Employment 2 of 2, continued

	U.S. State/ Territory	Category	Status	Date
B	Arizona	Agent	Approved	01/29/2002
B	California	Agent	Approved	04/29/2002
B	Colorado	Agent	Approved	11/13/2002
B	Florida	Agent	Approved	06/07/2024
B	Georgia	Agent	Approved	01/06/2023
B	Hawaii	Agent	Approved	10/06/2022
B	Idaho	Agent	Approved	04/08/2002
B	Iowa	Agent	Approved	01/13/2015
B	Maine	Agent	Approved	01/04/2023
B	Michigan	Agent	Approved	10/03/2013
B	Montana	Agent	Approved	03/11/2013
B	Nebraska	Agent	Approved	10/03/2013
B	Nevada	Agent	Approved	04/08/2002
B	North Carolina	Agent	Approved	08/22/2019
B	Ohio	Agent	Approved	12/16/2021
B	Oregon	Agent	Approved	10/03/2013
B	Texas	Agent	Approved	08/25/2017
B	Utah	Agent	Approved	01/29/2002
IA	Utah	Investment Adviser Representative	Approved	05/30/2002
B	Washington	Agent	Approved	10/03/2013
B	Wyoming	Agent	Approved	01/29/2002

Broker Qualifications



Employment 2 of 2, continued

Branch Office Locations

OSAIC WEALTH, INC.
897 W BAXTER DR
SOUTH JORDAN, UT 84095



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 0 principal/supervisory exams, 3 general industry/product exams, and 2 state securities law exams.

Principal/Supervisory Exams

Exam	Category	Date
No information reported.		

General Industry/Product Exams

Exam	Category	Date
B Securities Industry Essentials Examination	SIE	10/01/2018
B General Securities Representative Examination	Series 7	07/30/2001
B Investment Company Products/Variable Contracts Representative Examination	Series 6	06/21/1996

State Securities Law Exams

Exam	Category	Date
IA Uniform Investment Adviser Law Examination	Series 65	05/28/1997
B Uniform Securities Agent State Law Examination	Series 63	06/21/1996

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 **0** professional designation(s).

No information reported.



Registration and Employment History

Registration History

The broker previously was registered with the following firms:

Registration Dates	Firm Name	CRD#	Branch Location
IA 08/2002 - 12/2010	STONE HILL ADVISORY SERVICES INC.	123405	SALT LAKE CITY, UT
B 06/1996 - 01/2002	SIGNATOR INVESTORS, INC.	468	BOSTON, MA
B 06/1996 - 05/1997	JOHN HANCOCK MUTUAL LIFE INSURANCE COMPANY	5181	BOSTON, MA

Employment History

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
05/2018 - Present	ASHWORTH WEALTH LLC	Investment Adviser Representative	Y	SALT LAKE CITY, UT, United States
01/2002 - Present	ASHWORTH FINANCIAL ADVISORS, LLC	PRESIDENT	N	SALT LAKE CITY, UT, United States
01/2002 - Present	OSAIC WEALTH, INC.	Registered Representative & Investment Adviser Representative	Y	SALT LAKE CITY, UT, United States
02/2008 - 05/2018	ASHWORTH & EMPEY FINANCIAL, LLC	Investment Adviser Representative	Y	SALT LAKE CITY, UT, 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. ASHWORTH WEALTH, LLC

POSITION: Principal NATURE: LLC INVESTMENT RELATED: Yes NUMBER OF HOURS: 120 SECURITIES TRADING HOURS: 120 START DATE: 01/01/2002

ADDRESS: 897 baxter drive, South Jordan UT 84095, United States



Registration and Employment History

Other Business Activities, continued

DESCRIPTION: Investment advisors

2. RST CONSULTING, INC.

POSITION: President NATURE: S-Corp. It was set up to help allocate income to me personally and to Ashworth and Empey Financial to cover shared overhead. RST does not get paid directly from any client activity, it is just a structural entity for accounting purposes. INVESTMENT RELATED: No NUMBER OF HOURS: 1 SECURITIES TRADING HOURS: 1 START DATE: 12/31/2001

ADDRESS: 257 east 200 south, ste 750, salt lake city UT 84111, United States

DESCRIPTION: My S- Corp was set up to help allocate income to me and to Ashworth Wealth to cover shared overhead. RST does not get any compensation for any client activity. It is used for accounting purposes only. I also market fixed life products thru this entity.

3. ASHWORTH FINANCIAL ADVISORS, LLC--DBA ASHWORTH BENEFITS

POSITION: Principal NATURE: Limited Liability Company - INVESTMENT RELATED: Yes NUMBER OF HOURS: 40 SECURITIES TRADING HOURS: 40 START DATE: 01/01/2002

ADDRESS: 257 east 200 south, ste 750, salt lake city UT 84111, United States

DESCRIPTION: Group insurance services within Investment Advisory and Financial Planning Business

4. ASHWORTH MANAGEMENT, LLC

POSITION: Manager NATURE: LLC INVESTMENT RELATED: No NUMBER OF HOURS: 4 SECURITIES TRADING HOURS: 4 START DATE: 07/27/2020

ADDRESS: 257 east 200 south, ste 750, salt lake city UT 84111, United States

DESCRIPTION: manage business expenses and marketing efforts for recruiting and other activities for the Royal Alliance bonus group with David Manookin as OSJ

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:**
 - A law enforcement agency must file formal charges before a broker is required to disclose a particular criminal event.
 - 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.
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3. **Disclosure events in BrokerCheck reports come from different sources:**
 - 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.
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4. **There are different statuses and dispositions for disclosure events:**
 - 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.
 - 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
Judgment/Lien	1	N/A	N/A



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.

Judgment / Lien

This type of disclosure event involves an unsatisfied and outstanding judgments or liens against the broker.

Disclosure 1 of 1

Reporting Source: Broker

Judgment/Lien Holder: State of Utah

Judgment/Lien Amount: \$13,236.00

Judgment/Lien Type: Tax

Date Filed with Court: 03/17/2008

Date Individual Learned: 09/16/2015

Type of Court: N/A

Name of Court: N/A

Location of Court: N/A

Docket/Case #: 86905704

Judgment/Lien Outstanding? Yes

Broker Statement

This has been in process for several years. All required payments are being made and are up to date. We are close to coming to a conclusion on the disputed amount. Once the amount is determined, the complete amount will be paid and the lien removed. It is expected that the matter will be resolved in a few months.

End of Report



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