

## BrokerCheck Report

### RALPH LESLIE THRUSH III

CRD# 3104075

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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](http://brokercheck.finra.org)



For additional information about the contents of this report, please refer to the User Guidance or [www.finra.org/brokercheck](http://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](http://www.finra.org).

**RALPH L. THRUSH III**

CRD# 3104075

**Currently employed by and registered with the following Firm(s):****IA OSAIC ADVISORY SERVICES, LLC**

635 North 12th Street  
4th Floor  
Lemoyne, PA 17043  
CRD# 1711070  
Registered with this firm since: 02/26/2021

**B OSAIC WEALTH, INC.**

635 North 12th Street  
4th Floor  
Lemoyne, PA 17043  
CRD# 23131  
Registered with this firm since: 08/23/2024

**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
- 9 U.S. states and territories

**This broker has passed:**

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

**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? **No**

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

CRD# 25803  
Lemoyne, PA  
02/2021 - 08/2024

**IA AMERIPRISE FINANCIAL SERVICES, LLC.**

CRD# 6363  
MINNEAPOLIS, MN  
03/2018 - 02/2021

**B AMERIPRISE FINANCIAL SERVICES, LLC**

CRD# 6363  
Lemoyne, PA  
03/2018 - 02/2021

## 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 9 U.S. states and territories through his or her employer.**

### Employment 1 of 2

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

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

Firm CRD#: **171070**

U.S. State/ Territory	Category	Status	Date
IA Colorado	Investment Adviser Representative	Approved	11/30/2022
IA Florida	Investment Adviser Representative	Approved	03/05/2021
IA Maryland	Investment Adviser Representative	Approved	03/09/2021
IA Massachusetts	Investment Adviser Representative	Approved	05/23/2022
IA New Jersey	Investment Adviser Representative	Approved	03/08/2021
IA New Mexico	Investment Adviser Representative	Approved	03/03/2023
IA North Carolina	Investment Adviser Representative	Approved	03/30/2021
IA Pennsylvania	Investment Adviser Representative	Approved	02/26/2021
IA South Carolina	Investment Adviser Representative	Approved	03/23/2021

### Branch Office Locations

2300 WINDY RIDGE PARKWAY  
SUITE 750  
ATLANTA, GA 30339



## Broker Qualifications

### Employment 1 of 2, continued

635 North 12th Street  
4th Floor  
Lemoyne, PA 17043

### 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	
	FINRA	General Securities Representative	Approved	08/23/2024
	FINRA	Invest. Co and Variable Contracts	Approved	08/23/2024

U.S. State/ Territory	Category	Status	Date	
	Colorado	Agent	Approved	08/23/2024
	Florida	Agent	Approved	08/23/2024
	Maryland	Agent	Approved	08/23/2024
	New Jersey	Agent	Approved	08/23/2024
	New Mexico	Agent	Approved	08/23/2024
	North Carolina	Agent	Approved	08/23/2024
	Pennsylvania	Agent	Approved	08/23/2024
	South Carolina	Agent	Approved	08/23/2024

### Branch Office Locations

**OSAIC WEALTH, INC.**  
635 North 12th Street

## Broker Qualifications



### Employment 2 of 2, continued

4th Floor  
Lemoyne, PA 17043

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## 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 1 state securities law exam.**

### Principal/Supervisory Exams

Exam	Category	Date
No information reported.		

### General Industry/Product Exams

Exam	Category	Date
B General Securities Representative Examination	Series 7TO	08/24/2020
B Securities Industry Essentials Examination	SIE	10/01/2018
B Investment Company Products/Variable Contracts Representative Examination	Series 6	11/04/1998

### State Securities Law Exams

Exam	Category	Date
B Uniform Securities Agent State Law Examination	Series 63	10/12/1998

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/](http://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
B 02/2021 - 08/2024	TRIAD ADVISORS LLC	25803	Lemoyne, PA
IA 03/2018 - 02/2021	AMERIPRISE FINANCIAL SERVICES, LLC.	6363	Lemoyne, PA
B 03/2018 - 02/2021	AMERIPRISE FINANCIAL SERVICES, LLC	6363	Lemoyne, PA
IA 03/2014 - 03/2018	WADDELL & REED	866	CAMP HILL, PA
B 07/2012 - 03/2018	WADDELL & REED	866	CAMP HILL, PA
B 05/1999 - 07/2012	PFS INVESTMENTS INC.	10111	LANCASTER, PA

## 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
08/2024 - Present	OSAIC WEALTH, INC.	Mass Transfer	Y	Lemoyne, PA, United States
02/2021 - Present	Triad Hybrid Solutions	Investment Advisor Representative	Y	Norcross, GA, United States
02/2021 - 08/2024	Triad Advisors	Registered Representative	Y	Norcross, GA, United States
03/2018 - 02/2021	Ameriprise Financial Advisors Inc.	Registered Representative	Y	Lemoyne, PA, United States
02/2013 - 03/2018	LMST MANAGEMENT	OWNER	N	MECHANICSBURG, PA, United States
08/2012 - 03/2018	DEIBLER INSURANCE ASSOCIATES, INC	AGENT	N	CARLISLE, PA, United States
07/2012 - 03/2018	VARIOUS INSURANCE CARRIERS FOR W&R INSURANCE AGENCIES	INSURANCE AGENT	Y	MECHANICSBURG, PA, United States

# Registration and Employment History



## Employment History, continued

Employment	Employer Name	Position	Investment Related	Employer Location
07/2012 - 03/2018	WADDELL & REED, INC	ASSOCIATED PERSON	Y	CAMP HILL, PA, United States
01/2005 - 03/2018	BOB CRAIG YOUTH FOUNDATION	BOARD PRESIDENT/GOLF COMMITTEE CHAIR	N	NEW CUMBERLAND, PA, 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)GL Capital;635 N 12th Street,4th Floor,Lemoyne,PA;dba;registered rep;2/2021;160 hrs/month;6.5 hrs during trading;servicing clients
- 2)G&L Consulting;not investment related;635 N. 12th Street,4th Floor,Lemoyne,PA;marketing & management firm;assistant;2/2021;40 hrs/month;2 hrs during trading;assist with marketing & scheduling
- 3)Bob Craig Youth Foundation;not investment related;P.O Box 46;non-profit organization;board of directors;1/2005;5 hrs/month;10 minutes during trading;donate money to youth activities in central PA
- 4)Deibler Insurance Associates;not investment related;26 Westminster Drive,Carlisle,PA 17013;Erie insurance property and casualty insurance;referral associate;8/2021;4 hrs/month;5 minutes during trading;refer clients to Deibler Insurance for their home,auto, and liability insurance needs and be paid a small fee in return
- 5)Mike Baker Insurance Consulting Inc;not investment related;12540 Willow Cove Way,Knoxville,TN 37934;impaired risk life,disability, and LTC insurance;referring agent;9/2021;2 hrs/month;refer clients whom have health or physical deficiency but also a need for protection

## End of Report



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