

## BrokerCheck Report

**BRYCE HOWARD LANHAM**

CRD# 4951408

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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).

**BRYCE H. LANHAM**

CRD# 4951408

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

**IA RETIREMENT PLANNING SOLUTIONS, LLC**  
 3432 STONY SPRING CIRCLE  
 LOUISVILLE, KY 40220  
 CRD# 311575  
 Registered with this firm since: 08/03/2022

**B PURSHE KAPLAN STERLING INVESTMENTS**  
 3432 Stony Spring Circle  
 Louisville, KY 40220  
 CRD# 35747  
 Registered with this firm since: 01/05/2024

**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
- 3 U.S. states and territories

**This broker has passed:**

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

**Registration History**

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

- B SILVER OAK SECURITIES, INCORPORATED**  
 CRD# 46947  
 Louisville, KY  
 11/2020 - 01/2024
- IA LEGACY ADVISORY SERVICES**  
 CRD# 307478  
 LOUISVILLE, KY  
 11/2020 - 01/2023
- IA RETIREMENT PLANNING SOLUTIONS, LLC**  
 CRD# 311575  
 LOUISVILLE, KY  
 07/2022 - 07/2022

**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**



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

### Employment 1 of 2

Firm Name: **PURSHE KAPLAN STERLING INVESTMENTS**

Main Office Address: **80 STATE STREET  
ALBANY, NY 12207**

Firm CRD#: **35747**

SRO	Category	Status	Date
<b>B</b> FINRA	General Securities Representative	Approved	01/05/2024

U.S. State/ Territory	Category	Status	Date
<b>B</b> Indiana	Agent	Approved	01/05/2024
<b>B</b> Kentucky	Agent	Approved	01/05/2024

### Branch Office Locations

#### **PURSHE KAPLAN STERLING INVESTMENTS**

3432 Stony Spring Circle  
Louisville, KY 40220

### Employment 2 of 2

Firm Name: **RETIREMENT PLANNING SOLUTIONS, LLC**

Main Office Address: **3432 STONY SPRING CIRCLE  
LOUISVILLE, KY 40220**

Firm CRD#: **311575**

U.S. State/ Territory	Category	Status	Date
<b>IA</b> Kentucky	Investment Adviser Representative	Approved	08/03/2022

Broker Qualifications



Employment 2 of 2, continued

U.S. State/ Territory		Category	Status	Date
IA	Texas	Investment Adviser Representative	Approved	06/06/2024

Branch Office Locations

3432 STONY SPRING CIRCLE  
LOUISVILLE, KY 40220

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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, 2 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>B</b> Securities Industry Essentials Examination	SIE	10/01/2018
<b>B</b> General Securities Representative Examination	Series 7	08/24/2005

### State Securities Law Exams

Exam	Category	Date
<b>B IA</b> Uniform Combined State Law Examination	Series 66	09/23/2005

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>B</b> 11/2020 - 01/2024	SILVER OAK SECURITIES, INCORPORATED	46947	Louisville, KY
<b>IA</b> 11/2020 - 01/2023	LEGACY ADVISORY SERVICES	307478	LOUISVILLE, KY
<b>IA</b> 07/2022 - 07/2022	RETIREMENT PLANNING SOLUTIONS, LLC	311575	LOUISVILLE, KY
<b>B</b> 12/2016 - 11/2020	CETERA ADVISOR NETWORKS LLC	13572	SHELBYVILLE, KY
<b>IA</b> 12/2016 - 11/2020	CETERA ADVISOR NETWORKS LLC	13572	SHELBYVILLE, KY
<b>B</b> 01/2014 - 11/2016	FIFTH THIRD SECURITIES, INC.	628	SHELBYVILLE, KY
<b>IA</b> 01/2014 - 11/2016	FIFTH THIRD SECURITIES, INC.	628	SHELBYVILLE, KY
<b>B</b> 12/2013 - 01/2014	NATIONAL PLANNING CORPORATION	29604	FAIRFIELD, OH
<b>IA</b> 01/2013 - 11/2013	STRATEGIC ADVISERS, INC.	104555	COVINGTON, KY
<b>B</b> 01/2013 - 11/2013	FIDELITY BROKERAGE SERVICES LLC	7784	COVINGTON, KY
<b>IA</b> 11/2008 - 01/2013	USAA FINANCIAL PLANNING SERVICES	106352	TAMPA, FL
<b>B</b> 10/2008 - 01/2013	USAA FINANCIAL ADVISORS, INC.	129035	TAMPA, FL
<b>B</b> 06/2006 - 09/2008	CITIGROUP GLOBAL MARKETS INC.	7059	LAFAYETTE, IN
<b>IA</b> 06/2006 - 09/2008	CITIGROUP GLOBAL MARKETS INC.	7059	LAFAYETTE, IN
<b>IA</b> 09/2005 - 06/2006	THRIVENT INVESTMENT MANAGEMENT INC.	18387	JOLIET, IL
<b>B</b> 08/2005 - 06/2006	THRIVENT INVESTMENT MANAGEMENT INC.	18387	JOLIET, IL

### 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
01/2024 - Present	Purshe Kaplan Sterling Investments	Registered Representative	Y	Albany, NY, United States
07/2022 - Present	Retirement Planning Solutions, LLC	Investment Adviser Representative	Y	Louisville, KY, United States
10/2018 - Present	Elite Benefits	Member/Agent	Y	Louisville, KY, United States
05/2018 - Present	Legacy Wealth Strategies Limited Liability Company	Managing Member	Y	SHELBYVILLE, KY, United States
12/2016 - Present	Bryce H. Lanham, Sole Proprietor	Insurance Agent	Y	Louisville, KY, United States
11/2005 - Present	Legacy Advisory Services, LLC	Investment Advisor Representative	Y	Louisville, KY, United States
11/2020 - 12/2023	Silver Oak Securities, Inc.	REGISTERED REPRESENTATIVE	Y	Jackson, TN, United States
12/2016 - 11/2020	Cetera Advisor Networks, LLC	Investment Adviser Representative / Registered Representative	Y	El Segundo, CA, United States
01/2014 - 11/2016	FIFTH THIRD SECURITIES	Registered Representative/ Investment Advisor Representative	Y	LOUISVILLE, KY, 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) Retirement Planning Solutions, LLC. Investment Related. At Registered Location. RIA. Financial Advisor. Start Date: 12/2023. 120 hrs/ month; 96 hrs/ month during trading hours. Provide advice to clients.
- 2) Fixed Insurance. Investment Related. At Registered Location. Fixed / Traditional Insurance. Agent. Start Date: 12/2023. 5 hrs/ month; all during



## Registration and Employment History

### Other Business Activities, continued

trading hours. Sales of fixed/ traditional insurance products.

3) Prestige World Wide, LLC. Not Investment Related. At Registered Location Louisville KY 40220 Rental property. Owner. Start Date: 07/01/2021. 2 hrs/ month; none during trading hours. This is a shell company for our office to pass rent through. It is not intended to make a profit or have any business.

4) BKB RV LLC. Not Investment Related. 1609 Valley View Rd, New Albany, IN 47150. RV Rental Program. Member. Start Date: 07/01/2022. 1 hr/ month; none during trading hours. This is an LLC setup to rent out a recently purchased RV on RV Share.

5) Elite Benefits. Not Investment Related. 5812 Chalet, Louisville, KY 40228. Board of Directors. Board Member. Start Date: 10/01/2018. 1 hr/ month; all during trading hours. Board member for business.

6) Legacy Advisory Services - S Corp. Investment Related. At Registered Branch Office Location. Operating LLC/ Support Company. Owner. 11/1/2005. 1 hr/ month; all during trading hours. Operating LLC.

7) Heritage Events for You d/b/a HEY. Not Investment Related. At Registered Location. Event Planning. Owner. Start Date: 04/15/2023 2023. 10 hrs/ month; 2 hrs/ month during trading hours. Plan events.

8) The Wishing Well Thrift Store INC. Not Investment Related. 2916 Grant Line Rd, New Albany, IN 47150. Non-profit Thrift Store. CEO. Start Date: 09/05/2023. 10 hrs/ month; none during trading hours. Help consult with business on background financial matters.

9) Second Chances Wildlife Center. Not Investment Related. 487 Gentry Lane, Mt. Washington, KY 40047. Wildlife Center. Board Member. Start Date: 07/01/2017. 2 hrs/ month; all during trading hours. General duties.

10) IEC; Not Investment Related; 1810 Plantside Dr. Louisville, KY 40299; Non-profit for electrical contracting; Start Date: 9/1/24; 2 hrs/month; None during trading hours; Board member, voting on critical organizational issues & helps drive members to the organization.

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## End of Report



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