



IAPD Report

ROY EVANS WILLIAMS JR

CRD# 1161149

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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.



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

ROY EVANS WILLIAMS JR (CRD# 1161149)

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 **11/07/2025**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
IA	PRESTIGE WEALTH MANAGEMENT GROUP, LLC	CRD# 127381	03/02/2004
IA	THE PILLAR STRATEGIES	CRD# 166641	03/19/2013
B	OSAIC WEALTH, INC.	CRD# 23131	08/23/2024

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **13** 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	TRIAD ADVISORS LLC	25803	FLEMINGTON, NJ	11/14/2011 - 08/23/2024
IA	LPL FINANCIAL LLC	6413	FLEMINGTON, NJ	05/21/2002 - 11/29/2011
B	LPL FINANCIAL LLC	6413	FLEMINGTON, NJ	01/06/1997 - 11/29/2011

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
Customer Dispute	3



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 **13** jurisdiction(s) and 1 SRO(s) through his or her employer(s).

Employment 1 of 3

Firm Name: **THE PILLAR STRATEGIES**
Main Address: 31 STATE ROUTE 12
FLEMINGTON, NJ 08822
Firm ID#: 166641

	Regulator	Registration	Status	Date
IA	Florida	Investment Adviser Representative	Approved - Pending IAR CE	01/01/2026
IA	New Jersey	Investment Adviser Representative	Approved - Pending IAR CE	01/01/2026
IA	Texas	Investment Adviser Representative	Restricted Approval	01/02/2025

Branch Office Locations

THE PILLAR STRATEGIES
31 STATE ROUTE 12
FLEMINGTON, NJ 08822

THE PILLAR STRATEGIES
Key Largo, FL

Employment 2 of 3

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	08/23/2024
B	FINRA	General Securities Representative	Approved	08/23/2024
B	FINRA	Operations Professional	Approved	08/23/2024



Qualifications

	Regulator	Registration	Status	Date
B	Arizona	Agent	Approved	08/23/2024
B	Florida	Agent	Approved	08/23/2024
B	Indiana	Agent	Approved	08/23/2024
B	Louisiana	Agent	Approved	08/23/2024
B	Maryland	Agent	Approved	08/23/2024
B	New Jersey	Agent	Approved	08/23/2024
B	New York	Agent	Approved	08/23/2024
B	North Carolina	Agent	Approved	08/23/2024
B	Pennsylvania	Agent	Approved	08/23/2024
B	Rhode Island	Agent	Approved	08/23/2024
B	South Carolina	Agent	Approved	08/23/2024
B	Texas	Agent	Approved	08/23/2024
B	Virginia	Agent	Approved	08/23/2024

Branch Office Locations

OSAIC WEALTH, INC.
31 STATE ROUTE 12
FLEMINGTON, NJ 08822

OSAIC WEALTH, INC.
374 MILLBURN AVENUE
MILLBURN, NJ 07041

Employment 3 of 3

Firm Name: **PRESTIGE WEALTH MANAGEMENT GROUP, LLC**
Main Address: 31 STATE ROUTE 12
FLEMINGTON, NJ 08822
Firm ID#: 127381



Qualifications

Regulator	Registration	Status	Date
IA Florida	Investment Adviser Representative	Approved - Pending IAR CE	01/01/2026
IA New Jersey	Investment Adviser Representative	Approved - Pending IAR CE	01/01/2026
IA Texas	Investment Adviser Representative	Approved	11/21/2019

Branch Office Locations

PRESTIGE WEALTH MANAGEMENT GROUP, LLC
31 STATE ROUTE 12
FLEMINGTON, NJ 08822

PRESTIGE WEALTH MANAGEMENT GROUP, LLC
Key Largo, FL




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 1 principal/supervisory exam, 4 general industry/product exams, and 1 state securities law exam.


Principal/Supervisory Exams

Exam	Category	Date
 General Securities Principal Examination (S24)	Series 24	03/11/1997

General Industry/Product Exams

Exam	Category	Date
 Operations Professional Examination (S99TO)	Series 99TO	01/02/2023
 Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
 General Securities Representative Examination (S7)	Series 7	02/07/1995
 Investment Company Products/Variable Contracts Representative Examination (S6)	Series 6	07/02/1983

State Securities Law Exams

Exam	Category	Date
 Uniform Securities Agent State Law Examination (S63)	Series 63	12/17/1994

PROFESSIONAL DESIGNATIONS

This section details that the representative has reported **1** professional designation(s).

Chartered Financial Consultant

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 & Employment History

PREVIOUSLY REGISTERED WITH THE FOLLOWING FIRMS

This representative held registrations with the following firms:

	Registration Dates	Firm Name	ID#	Branch Location
B	11/14/2011 - 08/23/2024	TRIAD ADVISORS LLC	CRD# 25803	FLEMINGTON, NJ
IA	05/21/2002 - 11/29/2011	LPL FINANCIAL LLC	CRD# 6413	FLEMINGTON, NJ
B	01/06/1997 - 11/29/2011	LPL FINANCIAL LLC	CRD# 6413	FLEMINGTON, NJ
B	10/31/1994 - 01/09/1997	H. BECK, INC.	CRD# 1763	ROCKVILLE, MD
B	07/13/1983 - 10/18/1995	PRUCO SECURITIES CORPORATION	CRD# 5685	NEWARK, NJ

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
08/2024 - Present	OSAIC WEALTH, INC.	Mass Transfer	Y	MILLBURN, NJ, United States
03/2013 - Present	PRESTIGE WEALTH SERVICES GROUP, INC	OTHER - PLANNER	Y	FLEMINGTON, NJ, United States
02/1995 - Present	PRESTIGE WEALTH MANAGEMENT GROUP, LLC	OTHER - PLANNER	Y	PENNINGTON, NJ, United States
11/2011 - 08/2024	TRIAD ADVISORS, INC.	REGISTERED REPRESENTATIVE	Y	NORCROSS, GA, 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. INDEPENDENT INSURANCE AGENT FOR LIFE, LONG-TERM CARE, DISABILITY, AND HEALTH INSURANCE.
2. PRESTIGE WEALTH ACCOUNTING GROUP, LLC. PARTNER 2005, TAX PREPARATION AND ACCOUNTING SERVICES.
3. PRESTIGE WEALTH REAL ESTATE GROUP, LLC. PARTNER 2009. OWNS ONE BULIDING WHICH IS LEASED TO PRESTIGE WEALTH MANAGEMENT GROUP. ALL BUSINESS LOCATED AT 31 STATE ROUTE 12, FLEMINGTON, NJ 08822.
4. PRESTIGE WEALTH SERVICES GROUP; INVESTMENT RELATED; 31 STATE ROUTE 12, FLEMINGTON, NJ 08822; UNIFIED MANAGED ACCOUNTS; OWNER/PRINCIPAL; 3/19/2013; 160 HRS/MONTH; 8:30-5:30; FEE BASED COMPENSATION IS RECEIVED; THIS WILL BE AN OFFSHOOT ENTITY (SISTER COMPANY IS PRESTIGE WEALTH MANAGEMENT GROUP) DESIGNED TO MAINTAIN OUR UMA BUSINESS. COLLABORATION WITH MORNINGSTAR IN DEVELOPMENT AND OVERSIGHT OF INVESTMENT STRATEGY, COLLABORATE AND OVERSIGHT WITH PWSG TEAM OF STRATEGIES.
5. ROY WILLIAMS CONSULTING LLC;NOT INVESTMENT RELATED;8 BAYBERRY LANE,KEY LARGO,FL;BOOK SALES ON



Registration & Employment History



OTHER BUSINESS ACTIVITIES

AMAZON;OWNER;4/2014;LESS THAN 1 HR/MONTH;LESS THAN 5 MIN DURING TRADING;SEND BOOKS TO AMAZON FOR FULFILLMENT

6. INDEPENDENT INSURANCE AGENT

POSITION: Agent NATURE: Independent Agent INVESTMENT RELATED: No NUMBER OF HOURS: 5 SECURITIES TRADING HOURS: 1 START DATE: 01/01/1994

ADDRESS: 31 State Route 12, Flemington NJ 08822, United States

DESCRIPTION: Insurance Agent

7. PRESTIGE WEALTH MANAGEMENT GROUP LLC

POSITION: Owner NATURE: LLC INVESTMENT RELATED: Yes NUMBER OF HOURS: 160 SECURITIES TRADING HOURS: 130 START DATE: 01/01/1994

ADDRESS: 31 State Route 12, Flemington NJ 08822, United States

DESCRIPTION: Financial Planning Investments, Insurance sales

8. ROY WILLIAMS CONSULTING LLC

POSITION: Owner NATURE: LLC INVESTMENT RELATED: No NUMBER OF HOURS: 1 SECURITIES TRADING HOURS: 0 START DATE: 04/01/2014

ADDRESS: 8 Bayberry Lane, Key Largo FL 33037, United States

DESCRIPTION: Send Books to Amazon for fulfillment

9. VACATION HOME RENTAL

POSITION: Owner NATURE: Vacation Home Rental INVESTMENT RELATED: No NUMBER OF HOURS: 1 SECURITIES TRADING HOURS: 0 START DATE: 04/01/2014

ADDRESS: 8 Bayberry Lane, Key Largo FL 33037, United States

DESCRIPTION: Owner/Rental

10. PRESTIGE WEALTH ACCOUNTING GROUP LLC

POSITION: Partner NATURE: LLC INVESTMENT RELATED: No NUMBER OF HOURS: 10 SECURITIES TRADING HOURS: 5 START DATE: 01/01/2005

ADDRESS: 31 State Route 12, Flemington NJ 08822, United States

DESCRIPTION: Partner

11. PRESTIGE WEALTH SERVICES GROUP

POSITION: Partner NATURE: LLC INVESTMENT RELATED: Yes NUMBER OF HOURS: 60 SECURITIES TRADING HOURS: 60 START DATE: 03/19/2013

ADDRESS: 31 State Route 12, Flemington NJ 08822, United States

DESCRIPTION: UMA, Owner/Principal

12. PRESTIGE WEALTH REAL ESTATE GROUP

POSITION: Partner NATURE: LLC INVESTMENT RELATED: No NUMBER OF HOURS: 5 SECURITIES TRADING HOURS: 0 START DATE: 01/01/2009

ADDRESS: 31 State Route 12, Flemington NJ 08822, United States

DESCRIPTION: Owns one building which is leased to Prestige Wealth Management Group



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
Customer Dispute	3

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 3

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	Triad Advisors, LLC
Allegations:	It is alleged that several non-traded alternative products were inappropriately recommended and sold.
Product Type:	Direct Investment-DPP & LP Interests
Alleged Damages:	\$100,000.00
Is this an oral complaint?	No
Is this a written complaint?	No
Is this an arbitration/CFTC reparation or civil litigation?	Yes
Arbitration/Reparation forum or court name and location:	FINRA-DR
Docket/Case #:	20-03954
Filing date of arbitration/CFTC reparation or civil litigation:	12/03/2020

Customer Complaint Information

Date Complaint Received:	12/03/2020
Complaint Pending?	No



Status: Settled
Status Date: 10/13/2021
Settlement Amount: \$22,500.00
Individual Contribution Amount: \$0.00

Disclosure 2 of 3

Reporting Source: Individual
Employing firm when activities occurred which led to the complaint: Triad Advisors LLC
Allegations: Claimant now alleges, many years after the fact, that the investment he elected to purchase in 2015 was unsuitable.
Product Type: Real Estate Security
Alleged Damages: \$125,000.00
Alleged Damages Amount Explanation (if amount not exact): The Statement of Claim seeks actual damages of at least \$125,000.
Is this an oral complaint? No
Is this a written complaint? No
Is this an arbitration/CFTC reparation or civil litigation? Yes
Arbitration/Reparation forum or court name and location: FINRA
Docket/Case #: 19-03732
Filing date of arbitration/CFTC reparation or civil litigation: 12/11/2019

Customer Complaint Information

Date Complaint Received: 12/30/2019
Complaint Pending? No
Status: Settled
Status Date: 01/02/2020
Settlement Amount: \$32,500.00
Individual Contribution Amount: \$0.00
Broker Statement Matter is devoid of merit and will be vigorously defended.

Disclosure 3 of 3

Reporting Source: Individual



Employing firm when activities occurred which led to the complaint:

LINSICO / PRIVATE LEDGER CORP.

Allegations:

CUSTOMER ALLEGES THAT IN MARCH OF 2000, REPRESENTATIVE MADE UNSUITABLE INVESTMENT RECOMMENDATION FOR INVESTMENT OF HER IRA MONIES INTO A VARIABLE ANNUITY CONTRACT, AND THAT THE ALLOCATIONS WITHIN THAT CONTRACT WERE TOO AGGRESSIVE. CUSTOMER SEEKS TO HAVE CONTRACT SURRENDERED WITHOUT INCURRING SURRENDER CHARGES. REPRESENTATIVE DENIES ALL ALLEGATIONS, AND MAINTAINS THAT INVESTMENT RECOMMENDATION FOR ANNUITY AND FOR SUBACCOUNT ALLOCATIONS WERE SUITABLE AND APPROPRIATE, AND WERE CONSISTENT WITH CUSTOMER'S INVESTMENT EXPERIENCE, INVESTMENT OBJECTIVE, AND RISK TOLERANCE.

Product Type:

Annuity(ies) - Variable

Alleged Damages:

\$6,666.38

Customer Complaint Information

Date Complaint Received:

07/25/2005

Complaint Pending?

No

Status:

Denied

Status Date:

08/22/2005

Settlement Amount:

Individual Contribution Amount:



End of Report

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