User Guidance

www.adviserinfo.sec.gov

IAPD Report

LES LEROY BARBER JR

CRD# 1256348

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

LES LEROY BARBER JR (CRD# 1256348)

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 **12/17/2025**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	OSAIC WEALTH, INC.	CRD# 23131	03/07/2013
IA	OSAIC WEALTH, INC.	CRD# 23131	04/02/2013

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **8** 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
IA	LINCOLN FINANCIAL ADVISORS CORPORATION	3978	SALT LAKE CITY, UT	05/10/2004 - 03/06/2013
B	LINCOLN FINANCIAL ADVISORS CORPORATION	3978	SALT LAKE CITY, UT	04/05/2004 - 03/06/2013
B	THE LINCOLN NATIONAL LIFE INSURANCE COMPANY	2580	FORT WAYNE, IN	04/05/2004 - 05/31/2006

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	4
Termination	1

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

Employment 1 of 1

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 Representative	Approved	03/07/2013
B	Arizona	Agent	Approved	11/14/2018
B	Connecticut	Agent	Approved	11/25/2025
B	Georgia	Agent	Approved	04/23/2025
B	Massachusetts	Agent	Approved	03/26/2020
B	New Mexico	Agent	Approved	05/25/2022
B	Utah	Agent	Approved	04/01/2013
IA	Utah	Investment Adviser Representative	Approved	04/02/2013
B	Washington	Agent	Approved	03/07/2013
B	Wyoming	Agent	Approved	03/07/2013

Branch Office Locations

OSAIC WEALTH, INC.
10610 SOUTH JORDAN GATEWAY
SUITE 210
SOUTH JORDAN, UT 84095

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 0 principal/supervisory exams, 2 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)	SIE	10/01/2018
B	General Securities Representative Examination (S7)	Series 7	04/02/2004

State Securities Law Exams

	Exam	Category	Date
IA B	Uniform Combined State Law Examination (S66)	Series 66	05/07/2004
B	Uniform Securities Agent State Law Examination (S63)	Series 63	04/09/1984

PROFESSIONAL DESIGNATIONS

This section details that the representative has reported **0** professional designation(s).

No information reported.

Only professional designations listed in Question 8 of the Form U4 will appear in this section if the appropriate box is checked and verified by the issuing organization at the time of the filing. Learn more about eligible designations at IARD and NASAA.

Registration & Employment History

PREVIOUSLY REGISTERED WITH THE FOLLOWING FIRMS

This representative held registrations with the following firms:

	Registration Dates	Firm Name	ID#	Branch Location
IA	05/10/2004 - 03/06/2013	LINCOLN FINANCIAL ADVISORS CORPORATION	CRD# 3978	SALT LAKE CITY, UT
B	04/05/2004 - 03/06/2013	LINCOLN FINANCIAL ADVISORS CORPORATION	CRD# 3978	SALT LAKE CITY, UT
B	04/05/2004 - 05/31/2006	THE LINCOLN NATIONAL LIFE INSURANCE COMPANY	CRD# 2580	FORT WAYNE, IN

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
02/2013 - Present	ROYAL ALLIANCE	REGISTERED REP	Y	SALT LAKE CITY, UT, 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) LES BARBER JR CONSULTING
POSITION: PRESIDENT NATURE: S COROPORTATION INVESTMENT RELATED: NO NUMBER OF HOURS: 2 SECURITIES TRADING HOURS: 2 START DATE: 06/01/2015
ADDRESS: 16 SOUTH COUNTRY MANOR LN, ALPINE UT 84004
DESCRIPTION: I HAVE ESTABLISHED AN S CORP FOR TAX PLANNING ANS ASSET PROTECTIONS PURPOSES

2) INTEGRATED 106 LL:C
POSITION: member NATURE: New LLC to hold office real estate for Integrated Financial Group starting in 2018 INVESTMENT RELATED: No NUMBER OF HOURS: 1 SECURITIES TRADING HOURS: 1 START DATE: 10/27/2017
ADDRESS: 10600 South Jordan Gateway, South Jordan UT 84065, United States
DESCRIPTION: part owener of LLC

3) INTEGRATED FINANCIAL GROUP
POSITION: Parnter NATURE: LLC INVESTMENT RELATED: Yes NUMBER OF HOURS: 8 SECURITIES TRADING HOURS: 8 START DATE: 04/01/2013
ADDRESS: 10610 So Jordan Gateway #210, South Jordan UT 84095, United States
DESCRIPTION: Offerning accdent & health, disabilty, long term care and traditional life insurance, comissions and service fee-based group insurance benefits, health savings accounts and fixed and equity indexed annuities

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	4
Termination	1

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 4

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	ROYAL ALLIANCE ASSOCIATES, INC.
Allegations:	Claimant alleges the representative recommended an investment that was unsuitable.
Product Type:	Other: Private Equity
Alleged Damages:	$1,000,000.00
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 ARBITRATION
Docket/Case #:	21-01482
Filing date of arbitration/CFTC reparation or civil litigation:	06/09/2021

Customer Complaint Information

Date Complaint Received:	06/10/2021
Complaint Pending?	No

Status:	Settled
Status Date:	09/20/2022
Settlement Amount:	$150,000.00
Individual Contribution Amount:	$0.00

Disclosure 2 of 4

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	ROYAL ALLIANCE ASSOCIATES
Allegations:	Claimant alleges private placement recommendations were not suitable.
Product Type:	Direct Investment-DPP & LP Interests
Alleged Damages:	$237,000.00
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 Arbitration
Docket/Case #:	20-04189
Filing date of arbitration/CFTC reparation or civil litigation:	12/28/2020

Customer Complaint Information

Date Complaint Received:	12/30/2020
Complaint Pending?	No
Status:	Denied
Status Date:	12/22/2022
Settlement Amount:	
Individual Contribution Amount:	
Broker Statement	After a hearing, the customer's claims were denied in their entirety.

Disclosure 3 of 4

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	Royal Alliance Associates, Inc.
Allegations:	Customer alleges Representative sold her unsuitable and illiquid REIT and Private Investments.

Product Type:	Real Estate Security Other: BDC
Alleged Damages:	$5,000.00
Alleged Damages Amount Explanation (if amount not exact):	Firm has made a good faith determination that the damages from the alleged conduct would exceed $5000.
Is this an oral complaint?	No
Is this a written complaint?	Yes
Is this an arbitration/CFTC reparation or civil litigation?	No

Customer Complaint Information

Date Complaint Received:	07/07/2020
Complaint Pending?	No
Status:	Denied
Status Date:	09/03/2020
Settlement Amount:	
Individual Contribution Amount:	

Disclosure 4 of 4

Reporting Source:	Firm
Employing firm when activities occurred which led to the complaint:	Lincoln Financial Advisors
Allegations:	Claimant alleges the investments sold to him beginning in June 2008 through October 2009 were to be safe, fixed-income investments for his retirement in accordance with his needs and financial objectives but instead all of his retirement savings were put into highly risky and illiquid investments.
Product Type:	Equipment Leasing Real Estate Security
Alleged Damages:	$325,000.00
Is this an oral complaint?	No
Is this a written complaint?	Yes
Is this an arbitration/CFTC reparation or civil litigation?	Yes
Arbitration/Reparation forum or court name and location:	FINRA
Docket/Case #:	15-02766
Filing date of arbitration/CFTC reparation or civil litigation:	10/16/2015

Customer Complaint Information

Date Complaint Received:	11/02/2015

Complaint Pending?	No
Status:	Settled
Status Date:	09/02/2016
Settlement Amount:	$172,500.00
Individual Contribution Amount:	$0.00

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	Lincoln Financial Advisors
Allegations:	Claimant alleges the investments sold to him beginning in June 2008 through October 2009 were to be safe, fixedincome investments for his retirement in accordance with his needs and financial objectives but instead all of his retirement savings were put into highly risky and illiquid investments.
Product Type:	Equipment Leasing Real Estate Security
Alleged Damages:	$325,000.00
Is this an oral complaint?	No
Is this a written complaint?	Yes
Is this an arbitration/CFTC reparation or civil litigation?	Yes
Arbitration/Reparation forum or court name and location:	FINRA
Docket/Case #:	15-02766
Filing date of arbitration/CFTC reparation or civil litigation:	10/16/2015

Customer Complaint Information

Date Complaint Received:	11/02/2015
Complaint Pending?	No
Status:	Settled
Status Date:	09/02/2016
Settlement Amount:	$172,500.00
Individual Contribution Amount:	$0.00
Broker Statement	The client approached me in 2008 and 2009 looking for a specific, additional investments they had previously participated in through other broker dealers. The investments did not perform to the clients expectations and filed a lawsuit in which I was not named. As a result of the lawsuit Lincoln Financial Advisors settled with the client. I was not involved in the settlement nor did I approve of Lincoln Financial Advisors settling lawsuit.

Termination

This disclosure event involves a situation where the Investment Adviser Representative voluntarily resigned, was discharged or was permitted to resign after allegations were made that accused the Investment Adviser Representative of violating investment-related statutes, regulations, rules or industry standards of conduct; fraud or the wrongful taking of property; or failure to supervise in connection with investment-related statutes, regulations, rules or industry standards of conduct.

Disclosure 1 of 1

Reporting Source:	Firm
Firm Name:	LINCOLN FINANCIAL ADVISORS CORPORATION
Termination Type:	Discharged
Termination Date:	02/21/2013
Allegations:	REGISTERED REPRESENTATIVE WAS TERMINATED FOR VIOLATIONS OF FIRM POLICY REGARDING COMMUNICATIONS WITH THE PUBLIC INCLUDING A VIOLATION OF FIRM POLICY RELATED TO CLIENT COMMUNICATIONS INVOLVING THE SOLICITATION OF PRIVATE PLACEMENTS.
Product Type:	Other: PRIVATE PLACEMENT

Reporting Source:	Individual
Firm Name:	LINCOLN FINANCIAL
Termination Type:	Discharged
Termination Date:	02/21/2013
Allegations:	LINCOLN FINANCIAL REPORTED THAT I WAS TERMINATED FOR VIOLATIONS OF FIRM POLICY REGARDING COMMUNICATIONS WITH THE PUBLIC INVOLVING THE SOLICITATION OF PRIVATE PLACEMENTS.
Product Type:	Other: PRIVATE PLACEMENT

End of Report

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