



IAPD Report

LES VERNON DYER

CRD# 1882357

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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

LES VERNON DYER (CRD# 1882357)

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 **03/26/2025**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	OSAIC WEALTH, INC.	CRD# 23131	08/23/2024
IA	OSAIC WEALTH, INC.	CRD# 23131	08/23/2024

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **9** 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	TRIAD ADVISORS, LLC	25803	NORTH WILKESBORO, NC	01/27/2021 - 08/23/2024
B	TRIAD ADVISORS LLC	25803	NORTH WILKESBORO, NC	03/30/1999 - 08/23/2024
IA	EXECUTIVE FINANCIAL RESOURCES, INC.	118326	NORTH WILKESBORO, NC	12/31/2001 - 01/27/2021

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?

No



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 9 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
 FINRA	General Securities Representative	Approved	08/23/2024
 Alabama	Agent	Approved	08/23/2024
 Arizona	Agent	Approved	08/23/2024
 Florida	Agent	Approved	08/23/2024
 Georgia	Agent	Approved	08/23/2024
 Mississippi	Agent	Approved	08/23/2024
 North Carolina	Agent	Approved	08/23/2024
 North Carolina	Investment Adviser Representative	Approved	08/23/2024
 South Carolina	Agent	Approved	01/15/2025
 Tennessee	Agent	Approved	08/23/2024
 West Virginia	Agent	Approved	08/23/2024

Branch Office Locations

OSAIC WEALTH, INC.
85A BOONE TRAIL



Qualifications

NORTH WILKESBORO, NC 28659



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, 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)	SIE	10/01/2018
B General Securities Representative Examination (S7)	Series 7	03/17/1990
B Investment Company Products/Variable Contracts Representative Examination (S6)	Series 6	09/21/1988

State Securities Law Exams

Exam	Category	Date
IA Uniform Investment Adviser Law Examination (S65)	Series 65	02/28/1997
B Uniform Securities Agent State Law Examination (S63)	Series 63	09/21/1988

PROFESSIONAL DESIGNATIONS

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

No information reported.



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	01/27/2021 - 08/23/2024	TRIAD ADVISORS, LLC	CRD# 25803	NORTH WILKESBORO,
B	03/30/1999 - 08/23/2024	TRIAD ADVISORS LLC	CRD# 25803	NORTH WILKESBORO,
IA	12/31/2001 - 01/27/2021	EXECUTIVE FINANCIAL RESOURCES, INC.	CRD# 118326	NORTH WILKESBORO,
B	01/31/1997 - 04/15/1999	ROYAL ALLIANCE ASSOCIATES, INC.	CRD# 23131	SCOTTSDALE, AZ
B	05/26/1995 - 01/31/1997	KEOGLER, MORGAN & COMPANY, INC.	CRD# 16546	ATLANTA, GA
B	06/27/1994 - 06/02/1995	ROBERT THOMAS SECURITIES, INC	CRD# 10147	ST. PETERSBURG, FL
B	10/10/1988 - 08/18/1992	KEOGLER, MORGAN & COMPANY, INC.	CRD# 16546	ATLANTA, GA
B	09/24/1988 - 10/20/1988	FSC SECURITIES CORPORATION	CRD# 7461	

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	NORTH WILKESBORO, NC, United States
05/1995 - Present	EXECUTIVE FINANCIAL RESOURCES, INC	OTHER - FINANCIAL ADVISOR/RIA/BRANCH SUPERVISOR	Y	N. WILKESBORO, NC, United States
03/1999 - 08/2024	TRIAD ADVISORS, INC.	REGISTERED REP	Y	NORCROSS, GA, United States



Registration & Employment History

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. TURTLE CREEK PROPERTIES

POSITION: OWNER OF BUILDING NATURE: LEASE OFFICE SPACE, RENTAL INVESTMENT RELATED: No NUMBER OF HOURS: 1 SECURITIES TRADING HOURS: 0 START DATE: 01/01/2004
ADDRESS: 349 LAURELWOOD DRIVE, WILKESBORO NC 28697, United States
DESCRIPTION: COMPENSATED BY RECEIVING RENTS

2. EXECUTIVE FINANCIAL RESOURCES, INC.

POSITION: PRESIDENT, OWNER NATURE: INSURANCE PRODUCTS PROVIDER INVESTMENT RELATED: Yes NUMBER OF HOURS: 5 SECURITIES TRADING HOURS: 5 START DATE: 01/01/1994
ADDRESS: 85-A BOONE TRAIL, NORTH WILKESBORO NC 28659, United States
DESCRIPTION: COMPENSATED THROUGH INSURANCE COMPANIES

3-EXECUTIVE FINANCIAL RESOURCES INC; INVESTMENT RELATED; 85-A BOONE TRAIL, NORTH WILKESBORO NC 28659; FINANCIAL SERVICES AND INSURANCE PROVIDER; PRESIDENT/OWNER; NOVEMBER 1994; 60-80HRS/MONTH; 3-4HRS/DAY; COMPENSATED THROUGH COMMISSIONS PAID THROUGH TRIAD; FINANCIAL SERVICES, BROKERAGE, INSURANCE PRODUCTS

4) APPLE BLOSSOM FARM

POSITION: co-owner with wife NATURE: raise cattle and hay INVESTMENT RELATED: No NUMBER OF HOURS: 10 SECURITIES TRADING HOURS: 0 START DATE: 04/01/2015
ADDRESS: 349 Laurelwood Dr, Wilkesboro NC 28697, United States
DESCRIPTION: small 32 acre farm, raise cattle and grow hay

5) WILKES HERITAGE MUSEUM

POSITION: board member NATURE: non-profit historical organization INVESTMENT RELATED: No NUMBER OF HOURS: 1 SECURITIES TRADING HOURS: 0 START DATE: 01/01/2019
ADDRESS: 100 E Main Street, Wilkesboro NC 28697, United States
DESCRIPTION: meet once a month and participate in projects to help maintain museum and establish displays of historically important events or things of interest to the public

6) ESTATE OF BROTHER LANE DYER

POSITION: Alternate Executor NATURE: My Brother Lane Dyer has asked me to be the alternate executor of his estate in case he and his wife died at the same time. They are now co-executors of their estate. He doesn't want his daughter to be the alternate until she matures some more. INVESTMENT RELATED: No NUMBER OF HOURS: 0 SECURITIES TRADING HOURS: 0 START DATE: 01/15/2025
ADDRESS: 512 Gates Avenue, Winston Salem NC 27103, United States
DESCRIPTION: My Brother Lane Dyer has asked me to be the alternate executor of his estate in case he and his wife died at the same time. They are now co-executors of their estate. He doesn't want his daughter to be the alternate until she matures some more.



End of Report

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