



IAPD Report

ROBERT SCOTT THOMAS

CRD# 2750158

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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

ROBERT SCOTT THOMAS (CRD# 2750158)

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 **12/04/2025**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	OSAIC WEALTH, INC.	CRD# 23131	01/29/2002
IA	OSAIC WEALTH, INC.	CRD# 23131	05/30/2002
IA	ASHWORTH WEALTH, LLC	CRD# 116950	01/04/2011

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **21** 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	STONE HILL ADVISORY SERVICES INC.	123405	SALT LAKE CITY, UT	08/01/2002 - 12/31/2010
B	SIGNATOR INVESTORS, INC.	468	BOSTON, MA	06/24/1996 - 01/31/2002
B	JOHN HANCOCK MUTUAL LIFE INSURANCE COMPANY	5181	BOSTON, MA	06/24/1996 - 05/01/1997

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
Judgment/Lien	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 **21** jurisdiction(s) and 1 SRO(s) through his or her employer(s).

Employment 1 of 2

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	01/29/2002
B	FINRA	Invest. Co and Variable Contracts	Approved	01/29/2002
B	Arizona	Agent	Approved	01/29/2002
B	California	Agent	Approved	04/29/2002
B	Colorado	Agent	Approved	11/13/2002
B	Florida	Agent	Approved	06/07/2024
B	Georgia	Agent	Approved	01/06/2023
B	Hawaii	Agent	Approved	10/06/2022
B	Idaho	Agent	Approved	04/08/2002
B	Iowa	Agent	Approved	01/13/2015
B	Maine	Agent	Approved	01/04/2023
B	Michigan	Agent	Approved	10/03/2013
B	Missouri	Agent	Approved	12/08/2025



Qualifications

Regulator	Registration	Status	Date
B Montana	Agent	Approved	03/11/2013
B Nebraska	Agent	Approved	10/03/2013
B Nevada	Agent	Approved	04/08/2002
B North Carolina	Agent	Approved	08/22/2019
B Ohio	Agent	Approved	12/16/2021
B Oregon	Agent	Approved	10/03/2013
B Texas	Agent	Approved	08/25/2017
IA Texas	Investment Adviser Representative	Restricted Approval	11/08/2025
B Utah	Agent	Approved	01/29/2002
IA Utah	Investment Adviser Representative	Approved	05/30/2002
B Washington	Agent	Approved	10/03/2013
B Wyoming	Agent	Approved	01/29/2002

Branch Office Locations

OSAIC WEALTH, INC.
 897 W BAXTER DR
 SOUTH JORDAN, UT 84095

Employment 2 of 2

Firm Name: **ASHWORTH WEALTH, LLC**
 Main Address: 897 W. BAXTER DR.
 SOUTH JORDAN, UT 84095
 Firm ID#: 116950

Regulator	Registration	Status	Date
IA Texas	Investment Adviser Representative	Restricted	12/20/2021



Qualifications

Regulator	Registration	Status	Date	
IA	Utah	Investment Adviser Representative	Approved	01/04/2011

Branch Office Locations

ASHWORTH WEALTH, LLC
897 W. BAXTER DR.
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, 3 general industry/product exams, and 2 state securities law exams.




Principal/Supervisory Exams

Exam	Category	Date
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No information reported.


General Industry/Product Exams

Exam	Category	Date
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 Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
 General Securities Representative Examination (S7)	Series 7	07/30/2001
 Investment Company Products/Variable Contracts Representative Examination (S6)	Series 6	06/21/1996

State Securities Law Exams

Exam	Category	Date
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 Uniform Investment Adviser Law Examination (S65)	Series 65	05/28/1997
 Uniform Securities Agent State Law Examination (S63)	Series 63	06/21/1996

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	08/01/2002 - 12/31/2010	STONE HILL ADVISORY SERVICES INC.	CRD# 123405	SALT LAKE CITY, UT
B	06/24/1996 - 01/31/2002	SIGNATOR INVESTORS, INC.	CRD# 468	BOSTON, MA
B	06/24/1996 - 05/01/1997	JOHN HANCOCK MUTUAL LIFE INSURANCE COMPANY	CRD# 5181	BOSTON, MA

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
05/2018 - Present	ASHWORTH WEALTH LLC	Investment Adviser Representative	Y	SALT LAKE CITY, UT, United States
01/2002 - Present	ASHWORTH FINANCIAL ADVISORS, LLC	PRESIDENT	N	SALT LAKE CITY, UT, United States
01/2002 - Present	OSAIC WEALTH, INC.	Registered Representative & Investment Adviser Representative	Y	SALT LAKE CITY, UT, United States
02/2008 - 05/2018	ASHWORTH & EMPEY FINANCIAL, LLC	Investment Adviser Representative	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. ASHWORTH WEALTH, LLC
 POSITION: Principal NATURE: LLC INVESTMENT RELATED: Yes NUMBER OF HOURS: 120 SECURITIES TRADING HOURS: 120 START DATE: 01/01/2002
 ADDRESS: 897 baxter drive, South Jordan UT 84095, United States
 DESCRIPTION: Investment advisors

2. RST CONSULTING, INC.
 POSITION: President NATURE: S-Corp. It was set up to help allocate income to me personally and to Ashworth and Empey Financial to cover shared overhead.RST does not get paid directly from any client activity, it is just a structural entry for accounting purposes. INVESTMENT RELATED: No NUMBER OF HOURS: 1 SECURITIES TRADING HOURS: 1 START DATE: 12/31/2001
 ADDRESS: 257 east 200 south, ste 750, salt lake city UT 84111, United States
 DESCRIPTION: My S- Corp was set up to help allocate income to me and to Ashworth Wealth to cover shared overhead.RST



Registration & Employment History



OTHER BUSINESS ACTIVITIES

does not get any compensation for any client activity. It is used for accounting purposes only. I also market fixed life products thru this entity.

3. ASHWORTH FINANCIAL ADVISORS, LLC--DBA ASHWORTH BENEFITS

POSITION: Principal NATURE: Limited Liability Company - INVESTMENT RELATED: Yes NUMBER OF HOURS: 40

SECURITIES TRADING HOURS: 40 START DATE: 01/01/2002

ADDRESS: 257 east 200 south, ste 750, salt lake city UT 84111, United States

DESCRIPTION: Group insurance services within Investment Advisory and Financial Planning Business

4. ASHWORTH MANAGEMENT, LLC

POSITION: Manager NATURE: LLC INVESTMENT RELATED: No NUMBER OF HOURS: 4 SECURITIES TRADING HOURS: 4

START DATE: 07/27/2020

ADDRESS: 257 east 200 south, ste 750, salt lake city UT 84111, United States

DESCRIPTION: manage business expenses and marketing efforts for recruiting and other activities for the Royal Alliance bonus group with David Manookin as OSJ



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
Judgment/Lien	1

Judgment/Lien

This disclosure event involves an unsatisfied and outstanding judgment or lien against the Investment Adviser Representative.

Disclosure 1 of 1

Reporting Source:	Individual
Judgment/Lien Holder:	State of Utah
Judgment/Lien Amount:	\$13,236.00
Judgment/Lien Type:	Tax
Date Filed with Court:	03/17/2008
Date Individual Learned:	09/16/2015
Type of Court:	N/A
Name of Court:	N/A
Location of Court:	N/A
Docket/Case #:	86905704
Judgment/Lien Outstanding?	Yes

Broker Statement

This has been in process for several years. All required payments are being made and are up to date. We are close to coming to a conclusion on the disputed amount. Once the amount is determined, the complete amount will be paid and the lien removed. It is expected that the matter will be resolved in a few months.



End of Report

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