IAPD Report

WESLEY STILES FRIERSON

CRD# 4562335

Section Title / Page(s)

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

WESLEY STILES FRIERSON (CRD# 4562335)

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 **04/10/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
IA	OSAIC ADVISORY SERVICES, LLC	CRD# 171070	02/21/2020
B	OSAIC WEALTH, INC.	CRD# 23131	08/23/2024

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **22** 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	Seneca, SC	02/21/2020 - 08/23/2024
IA	VOYA FINANCIAL ADVISORS, INC.	2882	SENECA, SC	06/22/2004 - 03/06/2020
B	VOYA FINANCIAL ADVISORS, INC.	2882	SENECA, SC	06/26/2003 - 03/06/2020

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	2

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 **22** 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	08/23/2024
B	Alabama	Agent	Approved	08/23/2024
B	California	Agent	Approved	12/17/2024
B	Florida	Agent	Approved	08/23/2024
B	Georgia	Agent	Approved	08/23/2024
B	Illinois	Agent	Approved	08/23/2024
B	Indiana	Agent	Approved	08/23/2024
B	Kentucky	Agent	Approved	04/10/2026
B	Maine	Agent	Approved	08/23/2024
B	New Hampshire	Agent	Approved	08/23/2024
B	New Jersey	Agent	Approved	08/23/2024
B	New Mexico	Agent	Approved	08/23/2024
B	New York	Agent	Approved	08/23/2024

Qualifications

	Regulator	Registration	Status	Date
B	North Carolina	Agent	Approved	08/23/2024
B	Ohio	Agent	Approved	08/23/2024
B	Oregon	Agent	Approved	08/23/2024
B	Pennsylvania	Agent	Approved	08/23/2024
B	South Carolina	Agent	Approved	08/23/2024
B	Texas	Agent	Approved	08/23/2024
B	Wyoming	Agent	Approved	08/23/2024

Branch Office Locations

OSAIC WEALTH, INC.
135 J Eagles Nest Drive
Seneca, SC 29678

Employment 2 of 2

Firm Name:	**OSAIC ADVISORY SERVICES, LLC**
Main Address:	2300 WINDY RIDGE PARKWAY SUITE 750 ATLANTA, GA 30339
Firm ID#:	171070

	Regulator	Registration	Status	Date
IA	Alabama	Investment Adviser Representative	Approved	04/15/2021
IA	Florida	Investment Adviser Representative	Approved	02/26/2020
IA	Georgia	Investment Adviser Representative	Approved	02/24/2020
IA	Illinois	Investment Adviser Representative	Approved	04/14/2020
IA	Indiana	Investment Adviser Representative	Approved	02/21/2020

Qualifications

	Regulator	Registration	Status	Date
IA	Iowa	Investment Adviser Representative	Approved	04/08/2021
IA	Maine	Investment Adviser Representative	Approved	02/24/2020
IA	New Hampshire	Investment Adviser Representative	Approved	02/25/2020
IA	New Jersey	Investment Adviser Representative	Approved	03/02/2020
IA	North Carolina	Investment Adviser Representative	Approved	02/21/2020
IA	Ohio	Investment Adviser Representative	Approved	02/27/2020
IA	Oregon	Investment Adviser Representative	Approved	02/21/2020
IA	Pennsylvania	Investment Adviser Representative	Approved	07/07/2020
IA	South Carolina	Investment Adviser Representative	Approved	02/21/2020
IA	Texas	Investment Adviser Representative	Restricted Approval	05/10/2021
IA	Utah	Investment Adviser Representative	Approved	08/21/2020
IA	Washington	Investment Adviser Representative	Approved	03/18/2020
IA	Wyoming	Investment Adviser Representative	Approved	11/14/2022

Branch Office Locations

OSAIC ADVISORY SERVICES, LLC
135 J Eagles Nest Drive
Seneca, SC 29678

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 1 state securities law exam.

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	06/24/2003

State Securities Law Exams

	Exam	Category	Date
IA B	Uniform Combined State Law Examination (S66)	Series 66	07/11/2003

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
B	02/21/2020 - 08/23/2024	TRIAD ADVISORS LLC	CRD# 25803	Seneca, SC
IA	06/22/2004 - 03/06/2020	VOYA FINANCIAL ADVISORS, INC.	CRD# 2882	SENECA, SC
B	06/26/2003 - 03/06/2020	VOYA FINANCIAL ADVISORS, INC.	CRD# 2882	SENECA, SC

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.	REGISTERED REPRESENTATIVE	Y	Seneca, SC, United States
06/2013 - Present	FRIERSON CAPITAL MANAGEMENT	OWNER	Y	SENECA, SC, United States
06/2013 - Present	FRIERSON FINANCIALS, LLC/FRIERSON FINANCIAL SERVICES	OWNER	Y	SENECA, SC, United States
08/2003 - Present	WES FRIERSON-INDEPENDENT INSURANCE AGENT	INDEPENDENT INSURANCE AGENT	Y	SENECA, SC, United States
02/2020 - 08/2024	Triad Advisors	Registered Representative	Y	Norcross, GA, United States
02/2020 - 08/2024	Triad Hybrid Solutions	Investment Advisor Representative	Y	Norcross, GA, United States
09/2014 - 02/2020	VOYA FINANCIAL ADVISORS	REGISTERED REPRESENTATIVE	Y	SENECA, SC, 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. FRIERSON CAPITAL MANAGEMENT
POSITION: owner/president NATURE: wealth management/financial advisor/portfolio management/dba INVESTMENT RELATED: Yes NUMBER OF HOURS: 160 SECURITIES TRADING HOURS: 3 START DATE: 01/01/2003
ADDRESS: 135 J Eagles Nest Drive, Seneca SC 29678, United States
DESCRIPTION: wealth management/financial advisor

Registration & Employment History

OTHER BUSINESS ACTIVITIES

2. FRIERSON FINANCIALS,LLC
POSITION: president/owner NATURE: record, bookkeeping, day to day expenses, payroll, taxes INVESTMENT RELATED: No NUMBER OF HOURS: 2 SECURITIES TRADING HOURS: 0 START DATE: 01/01/2013
ADDRESS: 135 J Eagles Nest Drive, Seneca SC 29678, United States
DESCRIPTION: direct the use of funds and direct all expenses to flow through the LLC for ease of bookkeeping and records. This is used for taxes at the corporate level

3. INDEPENDENT INSURANCE AGENT
POSITION: owner/president NATURE: insurance/fixed annuities INVESTMENT RELATED: Yes NUMBER OF HOURS: 1 SECURITIES TRADING HOURS: 0 START DATE: 01/01/2003
ADDRESS: 135 J Eagles Nest Drive, Seneca SC 29678, United States
DESCRIPTION: life insurance and fixed annuities

4. SOUTH CAROLINA GOVERNOR'S CUP BILLFISHING SERIES
POSITION: board member NATURE: designed to promote state's billfish tournaments, increase tourism, and encourage marine conservation INVESTMENT RELATED: No NUMBER OF HOURS: 2 SECURITIES TRADING HOURS: 0 START DATE: 01/01/2021
ADDRESS: 217 Fort Johnson Road, Charleston SC 29422, United States
DESCRIPTION: as a board member appointed by SC's Dept of Natural Resources and the Governor of South Carolina to help with overseeing the series

5. RIGHTVIEW PROPERTIES, LLC
POSITION: Owner NATURE: LLC INVESTMENT RELATED: No NUMBER OF HOURS: 10 SECURITIES TRADING HOURS: 0 START DATE: 12/06/2024
ADDRESS: 513 Glen laurel Drive, Easley SC 29642, United States
DESCRIPTION: upkeep and repairs on rental properties

6. WSF TIMBER LLC
POSITION: Owner NATURE: LLC INVESTMENT RELATED: Yes NUMBER OF HOURS: 1 SECURITIES TRADING HOURS: 0 START DATE: 06/29/2022
ADDRESS: 513 Glen Laurel Dr, Easley SC 29642, United States
DESCRIPTION: This is a timber track of land. work spent on this activity is keeping roads through tract open and cut.

7. UNIFIED ADVISOR GROUP
POSITION: Title Partner NATURE: Partnership INVESTMENT RELATED: Yes NUMBER OF HOURS: 4 SECURITIES TRADING HOURS: 2 START DATE: 10/01/2025
ADDRESS: 242 S Pleasantburg Dr, Greenville SC 29607, United States
DESCRIPTION: Provide assistance to independent advisors who join Osaic but wish for mid-office service

8. RIGHTVIEW PRIVATE WEALTH
POSITION: Owner/President NATURE: wealth management/financial advisor/portfolio management/dba INVESTMENT RELATED: Yes NUMBER OF HOURS: 160 SECURITIES TRADING HOURS: 3 START DATE: 02/02/2026
ADDRESS: 135 Eagles Nest Drive, Suite J, Seneca SC 29678, United States
DESCRIPTION: Wealth Management/ Financial Advisor
Fixed insurance sales

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	2

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 2

Reporting Source:	Firm
Employing firm when activities occurred which led to the complaint:	VOYA FINANCIAL ADVISORS, INC.
Allegations:	Claimant alleged that the Representative recommended multiple alternative investment products that resulted in substantial losses. Claimant further alleged that the Representative misrepresented the risks and potential for future income and growth.
Product Type:	Real Estate Security
Alleged Damages:	$0.00
Alleged Damages Amount Explanation (if amount not exact):	The Firm conducted a good faith determination and concluded that the damages being alleged exceeded $5,000.
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 Office of Dispute Resolution
Docket/Case #:	24-00196
Filing date of arbitration/CFTC reparation or civil litigation:	01/25/2024

Customer Complaint Information

Date Complaint Received: 01/26/2024

Complaint Pending? No

Status: Settled

Status Date: 08/07/2025

Settlement Amount: $14,528.97

Individual Contribution Amount: $0.00

Firm Statement The Firm settled the matter for the sole purpose of avoiding ongoing costs of defending the matter. The Firm did not find any wrongdoing by the Representative during its investigation of the matter.

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: VOYA FINANCIAL ADVISORS, INC.

Allegations: Claimant alleged that the Representative recommended multiple alternative investment products that result in substantial losses. Claimant further alleged that the Representative misrepresented the risks and potential for future income and growth.

Product Type: Real Estate Security

Alleged Damages: $0.00

Alleged Damages Amount Explanation (if amount not exact): The Firm conducted a good faith determination and concluded that the damages being alleged exceeded $5,000.

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 Office of Dispute Resolution

Docket/Case #: 24-00196

Filing date of arbitration/CFTC reparation or civil litigation: 01/25/2024

Customer Complaint Information

Date Complaint Received: 01/26/2024

Complaint Pending? No

Status: Settled

Status Date: 08/07/2025

Settlement Amount: $14,528.97

Individual Contribution $0.00

Amount:

Broker Statement The Firm settled the matter for the sole purpose of avoiding ongoing costs of defending the matter. The Firm did not find any wrongdoing by the Representative during its investigation of the matter.

I want to clarify that this was not a complaint directed at me, nor was I a party to the settlement. The case involved my former broker-dealer exclusively, and they were the only party to resolve it. My name is referenced solely because I served as an advisor with the firm at the time.

Disclosure 2 of 2

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint:

Allegations: CLIENT ALLEGES MISREPRESENTATION OF A HARTFORD VARIABLE ANNUITY CONTRACT TO LACK OF DISCLOSURE OF SURRENDER PERIODS AND SURRENDER CHARGES

Product Type: Annuity(ies) - Variable

Alleged Damages: $22,170.00

Customer Complaint Information

Date Complaint Received: 10/15/2004

Complaint Pending? No

Status: Denied

Status Date: 10/29/2004

Settlement Amount:

Individual Contribution Amount:

Broker Statement CLIENTS ALLEGATIONS WERE INVESTIGATED BY A NON-AFFILIATED 3RD PARTY (HARTFORD) AND FOUND TO BE WITHOUT MERIT. ALL APPROPRIATE DISCLOSURES (FEES AND SURRENDER PERIODS) WERE MADE AND SIGNED AFFIRM BY THE CLIENT.

End of Report

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