



IAPD Report

RICHARD ANTHONY BALCH

CRD# 5250902

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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

RICHARD ANTHONY BALCH (CRD# 5250902)

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 **09/09/2025**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	OSAIC WEALTH, INC.	CRD# 23131	01/19/2024
IA	OSAIC WEALTH, INC.	CRD# 23131	01/19/2024

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **29** 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	WOODBURY FINANCIAL SERVICES, INC.	421	GREEN BAY, WI	01/22/2007 - 01/19/2024
B	WOODBURY FINANCIAL SERVICES, INC.	421	GREEN BAY, WI	12/08/2006 - 01/19/2024

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	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 **29** 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	01/19/2024
B Alabama	Agent	Approved	01/19/2024
B Arizona	Agent	Approved	01/19/2024
B California	Agent	Approved	01/19/2024
B Colorado	Agent	Approved	01/19/2024
B Florida	Agent	Approved	01/19/2024
B Idaho	Agent	Approved	06/07/2024
B Illinois	Agent	Approved	01/19/2024
B Iowa	Agent	Approved	01/19/2024
B Louisiana	Agent	Approved	01/19/2024
B Maine	Agent	Approved	01/19/2024
B Maryland	Agent	Approved	01/19/2024
B Massachusetts	Agent	Approved	01/19/2024



Qualifications

Regulator	Registration	Status	Date
B Michigan	Agent	Approved	01/19/2024
B Minnesota	Agent	Approved	01/19/2024
B Mississippi	Agent	Approved	01/19/2024
B Nevada	Agent	Approved	01/19/2024
B New Jersey	Agent	Approved	01/19/2024
B North Carolina	Agent	Approved	01/19/2024
B North Dakota	Agent	Approved	01/19/2024
B Ohio	Agent	Approved	01/19/2024
B Oklahoma	Agent	Approved	01/19/2024
B Oregon	Agent	Approved	01/19/2024
B Pennsylvania	Agent	Approved	01/19/2024
B Tennessee	Agent	Approved	01/19/2024
B Texas	Agent	Approved	01/19/2024
B Utah	Agent	Approved	01/19/2024
B Virginia	Agent	Approved	01/19/2024
B Washington	Agent	Approved	01/19/2024
B Wisconsin	Agent	Approved	01/19/2024
IA Wisconsin	Investment Adviser Representative	Approved	01/19/2024

Branch Office Locations



Qualifications

OSAIC WEALTH, INC.
1234 S RIDGE RD
GREEN BAY, WI 54304



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
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No information reported.

General Industry/Product Exams

Exam	Category	Date
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B Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
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B General Securities Representative Examination (S7)	Series 7	12/07/2006
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State Securities Law Exams

Exam	Category	Date
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IA B Uniform Combined State Law Examination (S66)	Series 66	01/19/2007
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PROFESSIONAL DESIGNATIONS

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

Certified Financial Planner

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
IA	01/22/2007 - 01/19/2024	WOODBURY FINANCIAL SERVICES, INC.	CRD# 421	GREEN BAY, WI
B	12/08/2006 - 01/19/2024	WOODBURY FINANCIAL SERVICES, INC.	CRD# 421	GREEN BAY, WI

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
01/2024 - Present	OSAIC WEALTH, INC.	Mass Transfer	Y	GREEN BAY, WI, United States
11/2006 - 01/2024	WOODBURY FINANCIAL SERVICES	REGISTERED REPRESENTATIVE	Y	GREEN BAY, WI, 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. WOODMEN FINANCIAL RESOURCES AGENT; INSURANCE; INVESTMENT RELATED: NO NUMBER OF HRS: 15 INVESTMENT RELATED HRS: 15 START DATE: 10/22/2006 1234 S RIDGE RD GREEN BAY,WI 54304 SALES OF LIFE/HEALTH INSURANCE PRODUCTS.
2. RENTAL PROPERTY OWNER; LLC OWN BUILDING I WORK OUT OF. INVESTMENT RELATED: NO NUMBER OF HRS: 5 INVESTMENT RELATED HOURS: 0 3/15/2013 1234 S RIDGE RD GREEN BAY, WI 54304 BUILDING MAINTENANCE.
3. RICHARD A BALCH FINANCIAL MANAGEMENT INC: PRESIDENT; S-CORP; INVESTMENT RELATED: NO NUMBER OF HRS: 20 INVESTMENT RELATED HRS: 20 1/1/2011 1234 S RIDGE RD GREEN BAY, WI 54304 MANAGE OPERATIONS (DBA WOODMEN FINANCIAL RESOURCES).
4. POLISH LEGION OF AMERICAN VETERANS POST 186 POSITION: Adjutant and bartender NATURE: Non-profit organization INVESTMENT RELATED: No NUMBER OF HOURS: 24 SECURITIES TRADING HOURS: 0 START DATE: 10/01/2019 ADDRESS: 3927 Lily Lake Rd, Poland WI 54311-9451, United States DESCRIPTION: Maintain minutes of meeting. Serve alcoholic beverages to members and local residents.
5. BUSINESS NETWORK INTL (BNI) HARBOR MASTERS CHAPTER POSITION: Member; under a franchised ownership (I have no ownership rights) INVESTMENT RELATED: No NUMBER OF HRS: 6 SECURITIES TRADING HRS: 6 START DATE: 7/1/2009 348 Napoleon Rd, Michigan Center MI 49254 Meet with small business owners and exchange referrals.
6. BOY SCOUTS OF AMERICA - BAY LAKES COUNCIL Commissioner; Non profit INVEST RELATED: No NUMBER OF HRS: 5 SEC TRADING HRS: 0 START DATE: 11/1/2019 Attend meetings, provide mentorship to unit leaders.



Registration & Employment History



OTHER BUSINESS ACTIVITIES

7. U.S. COAST GUARD AUXILIARY Vessel Examiner/Sea Scouts liaison; Government; non profit INVEST RELATED: No NUMBER OF HRS: 5 SEC HRS: 0 1/1/2021 2501 Canal St, Sturgeon Bay WI 54235 Inspect recreational boats to ensure they meet USCG safety standards. Interface between BSA Sea Scouts and the USCG Auxiliary.

8. THE PHOENIX NEST, LLC

POSITION: MEMBER NATURE: LLC INVESTMENT RELATED: No NUMBER OF HOURS: 32 SECURITIES TRADING HOURS: 0 START DATE: 09/11/2017

ADDRESS: 321 HEIDELBERG CT, GREEN BAY WI 54302, United States

DESCRIPTION: GENERAL UPKEEP OF RESIDENTIAL RENTAL PROPERTY LOCATED 1919 LAKESIDE PLACE, GREEN BAY WI 54302. 6 TENANTS. DUTIES INCLUDE YARD UPKEEP, HOUSE MAINTENANCE, AND ADMINISTRATIVE DOCUMENTATION OF BUSINESS RELATED PAPERWORK. ALSO OWN 1222 S RIDGE RD, 1225 S RIDGE RD and 1322 Ninth St homes BUT TENANTS MAINTAIN both PLACES.

9. UNITED PATRIOTIC SOCIETY President; Non profit INVEST RELATED: No NUMBER OF HRS: 1 SEC HOURS: 0 START DATE: 1/1/2023

ADDRESS: 100 N Jefferson, Green Bay WI 54301 Patriotic Society meets quarterly. This includes all veteran groups in Green Bay area. Participate in ceremonial events for Memorial Day and Veterans Day. I set the agenda and run the meeting. I have no check writing authority. I am the speaker and master of ceremonies at the community patriotic events.

10. NATIONAL ASSOCIATION OF FINANCIAL ADVISORS AND INSURANCE AGENTS WISCONSIN (NAIFA-WI) Oncoming President: Corporation INVEST RELATED: No NUMBER OF HOURS: 4 SECURITIES TRADING HOURS: 0 START DATE: 01/01/2023

ADDRESS: 600 State St A, Cedar Falls IA 50613, United States

DESCRIPTION: NAIFA is an advocacy group for insurance agents and financial advisors promoting the interests of "Main Street" America as well as the agent. This includes meeting with local politicians from both federal and state levels. I am responsible to attending monthly meetings and voting on measures that come up. This includes the NAIFA-WI budget, approval of NAIFA-WI expenditures, decisions about future events and strategic intent of the organization. I attend a Day on the Hill session in Washington DC and Madison WI and conduct advocacy of any issues that are up for vote to include financial literacy, cyber-security in the financial industry, and elder-abuse prevention in the financial industry.



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	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 1

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	WOODBURY FINANCIAL
Allegations:	THE CUSTOMER ALLEGES THE REPRESENTATIVE MISREPRESENTED THE DEATH BENEFIT OF THE VARIABLE ANNUITY HE PURCHASED IN DECEMBER 2011.
Product Type:	Annuity-Variable
Alleged Damages:	\$21,000.00
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:	08/20/2013
Complaint Pending?	No
Status:	Denied
Status Date:	10/02/2013
Settlement Amount:	

Individual Contribution Amount:



Broker Statement

RICHARD DID NOT MAKE ANY RECOMMENDATIONS AND ONLY SAT IN MEETINGS AS BACK-UP.



End of Report

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