



**Form ADV 2B  
Brochure Supplement**

**Lawrence Rocha**

205 S Broadway  
Suite 208  
Los Angeles, CA 90012  
Phone: 213-563-7480  
Fax: 213-600-7438

**Osaic Wealth, Inc.**

18700 N. Hayden Road  
Suite 255  
Scottsdale, AZ 85255  
Phone: 800-821-5100

03/11/2026

This advisor brochure supplement provides clients with information about Lawrence Rocha ("Advisory Representative") who is associated with the Firm listed above, that is a SEC Registered Investment Advisor. This advisor brochure supplements the Firm's Form CRS brochure. Please contact Jason Gerb, Head of Supervision, at 800-821-5100 or the Firm at the firm phone number above, if you did not receive a copy of the Form CRS brochure or if you have any questions about the contents of this advisor brochure supplement. Additional information and any disciplinary history about Lawrence Rocha is available on the SEC's website at [www.adviserinfo.sec.gov](http://www.adviserinfo.sec.gov).

## **EDUCATIONAL BACKGROUND & BUSINESS EXPERIENCE**

Lawrence Rocha  
Year of Birth: 1986

### **Education**

California State University, Monterey Bay (CSUMB), Master of Business Administration, 2023

University of California, Los Angeles Extension, Personal Financial Planning: Accelerated Online Certificate, 2016

San Francisco State University (SFSU), Bachelor of Arts, Broadcast and Electronic Communication Arts, 2009

Santa Barbara City College (SBCC), Associate of Arts, History and Liberal Studies, 2006

### **Business Experience**

Registered Representative / Investment Advisor Representative, Osaic Wealth, Inc., 2025 - Present

Financial Consultant, Unify Financial Federal Credit Union, 2021 - 2025

Investment Advisor Representative, Independent Financial Partners, 2023 - 2025

Investment Advisor Representative, LPL Financial LLC, 2022 - 2023

Investment Advisor Representative, Avantax Advisory Services, 2018 - 2021

### **Professional Designations/Licenses**

Accredited Investment Fiduciary (AIF)

The designation is a program designed to prepare financial professionals and those managing investments on behalf of others to carry out their fiduciary responsibilities. Currently offered and recognized by the issuing organization, Center for Fiduciary Studies. Prerequisite for candidate must meet a point-based threshold based on a combination of education, relevant industry experience and/or professional development. Designation training requirements include candidate must complete one of the following, web-based program or Capstone program and completion of final certification proctored closed book exam. Continuing education requirement is 6 hours per year.

Accredited Wealth Management Adviser (AWMA)

The designation is a program designed to educate financial professionals to address the unique needs of high-net-worth clients. Currently offered and recognized by the issuing organization, College for Financial Planning – a Kaplan Company. No prerequisite required. Designation training requirements include online, self-study AWMA course and exam to be completed within 120 days of receiving program access. Continuing education requirement is 16 hours every two years.

Series 6 - Investment Company and Variable Contracts Exam (Mutual Funds/Variable Annuities)

Assesses the competency of a representative to perform their job as an investment company and variable contracts products representative. Representatives are required to complete annual Regulatory Continuing Education.

Series 7 - General Securities Representative Exam (Stockbroker)

Assesses the competency of a registered representative to perform their job as a general securities representative. Registered representatives are required to complete annual Regulatory Continuing Education.

Series 66 - Uniform Combined State Law Exam

Qualifies candidates to work as securities agents and investment adviser representatives ("IAR") under one combined exam. The Series 7 exam is a co-requisite to the Series 66 exam. The North American Securities Administrators Association (NASAA) administers the exam, which is conducted by FINRA. Every IAR registered in a state/jurisdiction that has adopted NASAA's model rule on IAR Continuing Education ("CE") is subject to its annual CE requirements.

## **DISCIPLINARY INFORMATION**

The Firm is required to disclose certain legal and disciplinary events that would be material to your evaluation of each supervised person providing investment advice. No information is applicable to this item.

## **OTHER BUSINESS ACTIVITIES**

Your Advisory Representative is also a registered representative of Osaic Wealth, Inc. ("Broker/Dealer"), a registered Broker/Dealer, member FINRA/SIPC. As such, your Advisory Representative may recommend the purchase of securities from the Broker/Dealer. If you purchase securities from the Broker/Dealer, your Advisory Representative will receive commissions on the sale of investment products and in certain instances receive ongoing 12b-1 fees, in addition to the receipt of advisory fees for advisory services such as financial planning services.

Please note that registered representative activities are reviewed and supervised by the Broker/Dealer. This review includes transactions that you may conduct in your accounts based on specific recommendations to purchase products and/or services made by your registered representative. While the Firm and your Advisory Representative intend to provide recommendations of products and services, they believe are suitable for you, you should carefully evaluate each product or service recommendation based on your own financial situation and investment objectives.

Your Advisory Representative is also an insurance agent and receives commissions on the sale of insurance products and in certain instances, payments for the renewal of certain insurance products from a variety of insurance companies. These payments vary by insurance product and company and may provide different incentives depending on the amount of the renewal payment. In some instances, sales commissions from insurance products provide a higher deposit rate to registered representatives than investment products. As such, a registered representative may have a financial incentive to promote certain insurance products over other investment products.

Advisory Representative operates under Parallax Wealth Management, marketing financial and insurance services to the public. It's not a separately registered investment adviser. Securities and investment advisory services offered through Osaic Wealth, Inc., member FINRA/SIPC and an SEC Registered Investment Advisor.

With respect to certain other business activities your Advisory Representative may participate in, these activities are reviewed, and when appropriate approved in accordance with industry rules. While the firm may initially review these other business activities, these activities are not associated or in any way related to activity conducted by the Firm. Therefore, the Firm will not be responsible with respect to any recommendation or determination as to the suitability of your choice to participate in such activities. These other business activities may present certain conflicts of interest that you should be aware of and consider before participating in such activities. Please ask your Advisory Representative for further information.

## **ADDITIONAL COMPENSATION**

The Advisory Representative may have an incentive to join and remain with the Firm through certain compensation arrangements. The Firm can issue payments in the form of loans to its Advisory Representatives which can be forgivable based on years of service or production. This practice can create a conflict of interest because the Advisory Representative can have a financial incentive to recommend clients engage the Firm for advisory services for the loan to be forgiven. The Firm may provide various benefits or opportunities for those Advisory Representatives that meet overall revenue production goals. A conflict of interest exists because these benefits or opportunities provide a financial incentive for Advisory Representatives to recommend advisory services in general.

The Advisory Representative can receive non-cash compensation or additional business support relating to the promotion or sale of a program sponsor's products or services. These program sponsors may pay for training, education or prospecting events such as seminars, for due diligence and travel expenses to these events, and can occasionally provide business entertainment or gifts of nominal value to Advisory Representative.

The Advisory Representative can receive referral fees for referring a client or prospective client to the Firm or a third-party investment advisor.

Incentive programs and cash/non-cash compensation are strictly regulated by the SEC and the Firm's compliance policies. Clients are encouraged to read the Firm's Form ADV Part 2A Disclosure Brochure and Indirect Compensation Disclosure located at [osaic.com/disclosures](http://osaic.com/disclosures) and discuss any potential conflicts with their Advisory Representative.

## **SUPERVISION**

The Firm supervises the investment advisory services provided by its advisory representatives through a variety of methods, including a review by a supervisor prior to a client's enrollment in any investment advisory service or prior to any new account opening. This review is designed to ensure that the products and services offered and recommended to clients are appropriate based on the particular client's situation. Additionally, the Firm conducts periodic ongoing supervision related to its investment advisory services. These efforts, which vary in frequency, include review based on a number of different factors, including but not limited to specific account activity and changes in a client's financial situation or investment objectives.

The individual responsible for supervising Lawrence Rocha is Jason Gerb, Head of Supervision, who may be reached at 800-821-5100.