



IAPD Report

Brian Thomas Keith

CRD# 1692285

<u>Section Title</u>	<u>Page(s)</u>
Report Summary	1
Qualifications	2 - 3
Registration and Employment History	4 - 5
Disclosure Information	6

i 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

Brian Thomas Keith (CRD# 1692285)

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 **01/29/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	FARMERS FINANCIAL SOLUTIONS, LLC	CRD# 103863	01/08/2025
IA	FARMERS ASSET MANAGEMENT, LLC	CRD# 336230	02/27/2026

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and 1 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	MML INVESTORS SERVICES, LLC	10409	Los Angeles, CA	11/12/2024 - 12/11/2024
B	MML INVESTORS SERVICES, LLC	10409	Los Angeles, CA	11/07/2024 - 12/11/2024
IA	AMERIPRISE FINANCIAL SERVICES, LLC	6363	Los Angeles, CA	08/14/2023 - 10/03/2024

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	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 1 jurisdiction(s) and 1 SRO(s) through his or her employer(s).

Employment 1 of 2

Firm Name: **FARMERS ASSET MANAGEMENT, LLC**
Main Address: 30700 RUSSELL RANCH ROAD
214
WESTLAKE VILLAGE, CA 91362
Firm ID#: 336230

Regulator	Registration	Status	Date
IA California	Investment Adviser Representative	Approved	02/27/2026

Branch Office Locations

FARMERS ASSET MANAGEMENT, LLC
1903 N GLENOAKS BLVD
STE D
BURBANK, CA 91505

Employment 2 of 2

Firm Name: **FARMERS FINANCIAL SOLUTIONS, LLC**
Main Address: 30700 RUSSELL RANCH ROAD
OFFICE #214
WESTLAKE VILLAGE, CA 91362
Firm ID#: 103863

Regulator	Registration	Status	Date
B FINRA	General Securities Representative	Approved	01/08/2025
B California	Agent	Approved	01/09/2025

Branch Office Locations

FARMERS FINANCIAL SOLUTIONS, LLC
1903 N GLENOAKS BLVD STE D
BURBANK, CA 91505



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 3 state securities law exams.

Principal/Supervisory Exams

Exam	Category	Date
------	----------	------

No information reported.

General Industry/Product Exams

Exam	Category	Date
------	----------	------

B General Securities Representative Examination (S7TO)	Series 7TO	06/23/2023
---	------------	------------

B Securities Industry Essentials Examination (SIE)	SIE	02/06/2023
---	-----	------------

B General Securities Representative Examination (S7)	Series 7	05/20/1989
---	----------	------------

State Securities Law Exams

Exam	Category	Date
------	----------	------

IA B Uniform Combined State Law Examination (S66)	Series 66	08/09/2023
---	-----------	------------

IA Uniform Investment Adviser Law Examination (S65)	Series 65	09/09/1995
--	-----------	------------

B Uniform Securities Agent State Law Examination (S63)	Series 63	03/16/1989
---	-----------	------------

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	11/12/2024 - 12/11/2024	MML INVESTORS SERVICES, LLC	CRD# 10409	Los Angeles, CA
B	11/07/2024 - 12/11/2024	MML INVESTORS SERVICES, LLC	CRD# 10409	Los Angeles, CA
IA	08/14/2023 - 10/03/2024	AMERIPRISE FINANCIAL SERVICES, LLC	CRD# 6363	Los Angeles, CA
B	06/23/2023 - 10/03/2024	AMERIPRISE FINANCIAL SERVICES, LLC	CRD# 6363	Los Angeles, CA
IA	09/21/2006 - 11/09/2007	GUNNALLEN FINANCIAL, INC	CRD# 17609	SANTA MONICA, CA
B	09/20/2006 - 11/09/2007	GUNNALLEN FINANCIAL, INC	CRD# 17609	SANTA MONICA, CA
B	01/05/2005 - 09/07/2006	M.L. STERN & CO., LLC.	CRD# 8327	BEVERLY HILLS, CA
IA	01/04/2005 - 09/07/2006	M. L. STERN & CO, LLC.	CRD# 8327	BEVERLY HILLS, CA
B	10/06/2004 - 01/03/2005	J.P. TURNER & COMPANY, L.L.C.	CRD# 43177	ATLANTA, GA
B	06/24/2004 - 10/05/2004	FIRST MONTAUK SECURITIES CORP.	CRD# 13755	RED BANK, NJ
IA	06/15/2004 - 10/05/2004	FIRST MONTAUK SECURITIES CORP.	CRD# 13755	BEVERLY HILLS, CA
B	01/22/1999 - 08/28/2002	JACKSON NATIONAL LIFE DISTRIBUTORS, INC.	CRD# 40178	FRANKLIN, TN
B	04/03/1998 - 06/04/1998	CHASE INVESTMENT SERVICES CORP.	CRD# 25574	CHICAGO, IL
B	01/02/1996 - 01/06/1998	PRUDENTIAL SECURITIES INCORPORATED	CRD# 7471	NEW YORK, NY
B	11/30/1992 - 12/11/1995	PAINWEBBER INCORPORATED	CRD# 8174	WEEHAWKEN, NJ
B	06/06/1989 - 12/03/1992	SMITH BARNEY, HARRIS UPHAM & CO., INCORPORATED	CRD# 7059	NEW YORK, NY
B	05/24/1989 - 01/30/1990	DREXEL BURNHAM LAMBERT INCORPORATED	CRD# 7323	



Registration & Employment History

PREVIOUSLY REGISTERED WITH THE FOLLOWING FIRMS

This representative held registrations with the following firms:

Registration Dates	Firm Name	ID#	Branch Location
--------------------	-----------	-----	-----------------

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
01/2025 - Present	Farmers Financial Solutions	Registered Representative	Y	Burbank, CA, United States
12/2024 - Present	Farmers Insurance	Insurance agent	N	Burbank, CA, United States
11/2024 - 12/2024	MML Investors Services, LLC	Registered Rep	Y	Los Angeles, CA, United States
11/2024 - 12/2024	MMLIS Inc.	Financial Advisor	Y	Los Angeles, CA, United States
09/2024 - 12/2024	MassMutual Life Insurance Company	Agent	Y	Los Angeles, CA, United States
03/2023 - 10/2024	Ameriprise	Financial Advisor	Y	Los Angeles, CA, United States
03/2023 - 09/2024	AMERIPRISE FINANCIAL SERVICES, LLC	Registered Rep	Y	Los Angeles, CA, United States
11/2008 - 03/2023	SELF EMPLOYED	Freelance	N	Los Angeles, CA, United States
05/2008 - 03/2023	The Passman Group	Real Estate Agent	N	Los Angeles, CA, 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.

No information reported.



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: PAINWEBBER INCORPORATED

Allegations: INITIAL GENERAL INQUIRY BY CLIENTS' ATTY RE ACCT PERFORMANCE DURING THE PERIOD 9/92-12/95. NO DAMAGES CLAIMED OR SPECIFIED.

Product Type:

Alleged Damages:

Customer Complaint Information

Date Complaint Received: 11/16/1995

Complaint Pending? No

Status: Settled

Status Date: 02/22/1996

Settlement Amount: \$30,000.00

Individual Contribution Amount:

Firm Statement PW REVIEWED ACCT ACTIVITY PER CLIENT REQUEST & DETERMINED THAT SUITABILITY ISSUES WERE RAISED. PW SETTLED THE MATTER FOR \$30K.
 PREPARED BY: [BROKER DEALER CONTACT PERSON] (201) 902-8211



Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: PAINWEBBER INCORPORATED

Allegations: INITIAL GENERAL INQUIRY BY THE CLIENTS RE ACCT. PERFORMANCE DURING THE PERIOD 9/92-12/95. NO DAMAGES CLAIMED OR SPECIFIED.

Product Type: Equity Listed (Common & Preferred Stock)

Alleged Damages: \$0.00

Customer Complaint Information

Date Complaint Received: 11/16/1995

Complaint Pending? No

Status: Settled

Status Date: 02/22/1996

Settlement Amount: \$30,000.00

Individual Contribution Amount: \$0.00

Broker Statement

AFTER INITIALLY DEFENDING THIS COMPLAINT, PAINWEBBER ULTIMATELY SETTLED THIS MATTER, OVER MY OBJECTION, FOR ECONOMIC REASONS, NOT BASED ON THE MERITS OF THE CASE. EACH AND EVERY TRANSACTION IN THIS ACCOUNT WAS BASED ENTIRELY ON PAINWEBBER RESEARCH RECOMMENDATIONS, MET WITH THE FULL KNOWLEDGE AND PRIOR APPROVAL OF THE ACCOUNT OWNERS, AND WAS EFFECTED SOLELY FOR THE BENEFIT OF THE CLIENTS. [CUSTOMER] LATER CONFIDED TO ME THAT HER ACCOUNTANT ALONE HAD BEEN RESPONSIBLE FOR "PUSHING" THIS COMPLAINT, (IN RETROSPECT, [CUSTOMER] SAID FOR HIS OWN PERSONAL GAIN) AND THAT SHE HERSELF KNEW I HAD ONLY ACTED IN THEIR BEST INTEREST. MY CONTRIBUTION TO THIS SETTLEMENT WAS ZERO DOLLARS.

Disclosure 2 of 2

Reporting Source: Firm

Employing firm when activities occurred which led to the complaint: PAINWEBBER

Allegations: CLIENT QUESTIONS THE FREQUENCY OF TRDG IN HIS ACCT & ALLEGES IT IS INCONSISTENT WITH HIS INVESTMENT OBJECTIVES. TIME FRAME SPECIFIED IS 1993, & ALLEGED DAMAGES ARE \$50K.

Product Type:

Alleged Damages: \$50,000.00

Customer Complaint Information

Date Complaint Received: 08/25/1994

Complaint Pending? No

Status: Settled

**Status Date:****Settlement Amount:** \$25,000.00**Individual Contribution Amount:****Firm Statement**

PW SETTLED THE CASE FOR \$25K. PW WILL SEEK FULL CONTRIBUTION FROM THE BROKER
PREPARED BY: [BROKER DEALER CONTACT PERSON] (201) 902-6284

.....

Reporting Source:

Individual

Employing firm when activities occurred which led to the complaint:

PAINWEBBER

Allegations:

THE CLIENT QUESTIONS THE FREQUENCY OF TRADING IN THE ACCOUNT AND ALLEGES THAT IT APPEARS INCONSISTENT WITH HIS INVESTMENT OBJECTIVES. THE TIME PERIOD SPECIFIED IS THE YEAR 1993. ALLEGED DAMAGES AT PAINWEBBER ARE UNSPECIFIED.

Product Type:

Equity - OTC

Alleged Damages:

\$50,000.00

Customer Complaint Information**Date Complaint Received:** 08/25/1994**Complaint Pending?** No**Status:** Settled**Status Date:** 11/20/1994**Settlement Amount:** \$25,000.00**Individual Contribution Amount:** \$0.00**Broker Statement**

AFTER INITIALLY DEFENDING THIS COMPLAINT, PAINWEBBER ULTIMATELY SETTLED THE MATTER, OVER MY OBJECTION, FOR ECONOMIC REASONS, NOT BASED ON THE MERITS OF THE CASE. EACH AND EVERY TRANSACTION IN THIS ACCOUNT MET WITH THE FULL KNOWLEDGE AND PRIOR APPROVAL OF THE CLIENT, WAS BASED ENTIRELY ON PAINWEBBER RESEARCH RECOMMENDATIONS, AND WAS EFFECTED SOLELY FOR THE BENEFIT OF THE CLIENT. THIS MATTER PRIMARILY INVOLVED THE CLIENT'S PURCHASE OF NIKKEI MARKET INDEX WARRANTS WHICH WERE UNDERWRITTEN, ISSUED, SOLD AND PROMOTED BY PAINE WEBBER. FURTHER, PAINE WEBBER APPROVED THE PURCHASE OF THESE WARRANTS FOR THIS CLIENT'S ACCOUNT. SOON AFTER THEIR IPO, THE VALUE OF THESE WARRANTS DECLINED PRECIPITOUSLY. THE CLIENT BECAME EXTREMELY NERVOUS AND, AGAINST MY VEHEMENT RECOMMENDATION TO ALLOW THIS INVESTMENT ADDITIONAL TIME TO WORK, INSISTED THAT THE WARRANTS BE SOLD IMMEDIATELY (AT A LOSS). SOME TIME LATER, MY CLIENT'S SON (WHO WAS NOT AN OWNER OF, NOR AN INTERSTED PARTY ON THIS ACCOUNT) QUESTIONED, IN HINDSIGHT, THIS DECISION AND THE RELATED TRADING DECISIONS, AND INSISTED TO MY CLIENT THAT HE FILE A COMPLAINT. MY CLIENT, [CUSTOMER], LATER CONFIDED TO ME THAT THE COMPLAINT WAS ENTIRELY MOTIVATED BY HIS SON WHO, PARENTHETICALLY, HAD NEVER SPOKEN WITH ME DIRECTLY. PAINE WEBBER INITIALLY DEFENDED THIS



COMPLAINT. AFTER THE COMPLAINT WAS LATER PURSUED FURTHER, THE FIRM ULTIMATELY SETTLED THE MATTER FOR ECONOMIC REASONS, RATHER THAN ON THE MERITS OF THE CASE. MY CONTRIBUTION AMOUNT TO THIS SETTLEMENT WAS ZERO DOLLARS.



End of Report

This page is intentionally left blank.