IAPD Report

BRYAN JAMES BACCARO

CRD# 1694298

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

User Guidance

www.adviserinfo.sec.gov

Report Summary

BRYAN JAMES BACCARO (CRD# 1694298)

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 **07/09/2025**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	ALLSTATE FINANCIAL SERVICES, LLC	CRD# 18272	06/03/2019
IA	ALLSTATE FINANCIAL ADVISORS, LLC	CRD# 109524	06/04/2019

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **6** 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	AXA ADVISORS, LLC	6627	WALL, NJ	04/27/2018 - 04/05/2019
B	AXA ADVISORS, LLC	6627	WALL, NJ	04/26/2018 - 04/05/2019
B	ALLIANCE-ONE INVESTMENTS, LLC	286025	Warwick, RI	08/11/2017 - 05/01/2018

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
Termination	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 **6** jurisdiction(s) and 1 SRO(s) through his or her employer(s).

Employment 1 of 2

Firm Name: **ALLSTATE FINANCIAL SERVICES, LLC**

Main Address: 151 N 8TH STREET, SUITE 450
LINCOLN, NE 68508-1380

Firm ID#: 18272

	Regulator	Registration	Status	Date
B	FINRA	General Securities Principal	Approved	06/03/2019
B	FINRA	General Securities Representative	Approved	06/03/2019
B	FINRA	Municipal Fund	Approved	06/03/2019
B	Delaware	Agent	Approved	08/24/2021
B	Florida	Agent	Approved	01/06/2023
B	Georgia	Agent	Approved	02/10/2020
B	New Jersey	Agent	Approved	06/04/2019
B	New York	Agent	Approved	06/11/2019
B	North Carolina	Agent	Approved	02/22/2023

Branch Office Locations

4 Hendrickson Ave Ste 3
Red Bank, NJ 07701-6155

Employment 2 of 2

Firm Name: **ALLSTATE FINANCIAL ADVISORS, LLC**

Main Address: 151 N 8TH STREET, SUITE 450
LINCOLN, NE 68508

Qualifications

Firm ID#: 109524

	Regulator	Registration	Status	Date
IA	New Jersey	Investment Adviser Representative	Approved	06/04/2019

Branch Office Locations

ALLSTATE FINANCIAL ADVISORS, LLC
4 Hendrickson Ave, Ste 3
Red Bank, NJ 07701-6155

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 2 principal/supervisory exams, 4 general industry/product exams, and 2 state securities law exams.

Principal/Supervisory Exams

	Exam	Category	Date
B	Municipal Fund Securities Principal Examination (S51)	Series 51	10/17/2005
B	General Securities Principal Examination (S24)	Series 24	09/18/1998

General Industry/Product Exams

	Exam	Category	Date
B	Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
B	Limited Representative-Equity Trader Exam (S55)	Series 55	07/02/1999
B	National Commodity Futures Examination (S3)	Series 3	05/28/1999
B	General Securities Representative Examination (S7)	Series 7	11/29/1991

State Securities Law Exams

	Exam	Category	Date
IA	Uniform Investment Adviser Law Examination (S65)	Series 65	04/23/2003
B	Uniform Securities Agent State Law Examination (S63)	Series 63	09/10/1994

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
IA	04/27/2018 - 04/05/2019	AXA ADVISORS, LLC	CRD# 6627	WALL, NJ
B	04/26/2018 - 04/05/2019	AXA ADVISORS, LLC	CRD# 6627	WALL, NJ
B	08/11/2017 - 05/01/2018	ALLIANCE-ONE INVESTMENTS, LLC	CRD# 286025	Warwick, RI
B	02/26/2015 - 08/11/2017	METLIFE INVESTORS DISTRIBUTION COMPANY	CRD# 107622	BRIDGEWATER, NJ
IA	09/07/2007 - 07/07/2016	METLIFE SECURITIES INC.	CRD# 14251	SOMERSET, NJ
B	07/26/2007 - 06/30/2016	METLIFE SECURITIES, INC	CRD# 14251	SOMERSET, NJ
IA	09/07/2007 - 01/02/2015	NEW ENGLAND SECURITIES CORPORATION	CRD# 615	SOMERSET, NJ
B	07/26/2007 - 01/02/2015	NEW ENGLAND SECURITIES	CRD# 615	SOMERSET, NJ
B	12/22/2010 - 09/04/2013	TOWER SQUARE SECURITIES, INC.	CRD# 833	SOMERSET, NJ
IA	12/22/2010 - 09/04/2013	TOWER SQUARE SECURITIES, INC.	CRD# 833	SOMERSET, NJ
IA	09/07/2007 - 09/04/2013	WALNUT STREET SECURITIES, INC.	CRD# 15840	SOMERSET, NJ
B	07/26/2007 - 09/04/2013	WALNUT STREET SECURITIES, INC.	CRD# 15840	SOMERSET, NJ
B	09/26/2006 - 06/07/2007	PRUCO SECURITIES, LLC.	CRD# 5685	NEWARK, NJ
IA	02/07/2005 - 10/28/2005	METLIFE SECURITIES INC.	CRD# 14251	TINTON FALLS, NJ
B	01/28/2005 - 10/28/2005	METLIFE SECURITIES INC.	CRD# 14251	SPRINGFIELD, MA
B	01/28/2005 - 10/28/2005	METROPOLITAN LIFE INSURANCE COMPANY	CRD# 4095	NEW YORK, NY
B	05/30/2003 - 05/07/2004	COMMERCE CAPITAL MARKETS, INC.	CRD# 6940	PHILADELPHIA, PA

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	05/30/2003 - 05/07/2004	COMMERCE CAPITAL MARKETS, INC.	CRD# 6940	SOUTH PLAINFIELD, NJ
IA	05/08/2003 - 05/12/2003	MERRILL LYNCH INVESTMENT MANAGERS LP	CRD# 105068	PLAINSBORO, NJ
B	09/20/1999 - 05/12/2003	FAM DISTRIBUTORS, INC.	CRD# 4100	NEW YORK, NY
B	09/23/1992 - 08/28/1999	INTERCAPITAL GOVERNMENT SECURITIES INC.	CRD# 19710	NEW YORK, NY
B	06/23/1993 - 11/12/1993	MUTUAL FUND MANAGEMENT CO., INC.	CRD# 25283	
B	02/13/1992 - 09/09/1992	ALLIANCE FUND DISTRIBUTORS, INC.	CRD# 14549	NASHVILLE, TN
B	07/25/1987 - 12/05/1991	RMJ SECURITIES CORP.	CRD# 19710	NEW YORK, NY

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
11/2022 - Present	Count Basis Theatre	security guard	N	Red Bank, NJ, United States
05/2019 - Present	Allstate Financial Advisors, LLC	Representative	Y	Lincoln, NE, United States
05/2019 - Present	Allstate Financial Services, LLC	Agent	Y	Lincoln, NE, United States
05/2019 - Present	Allstate Insurance Co	Agent	N	Northbrook, IL, United States
04/2018 - 03/2019	AXA ADVISORS, LLC	REGISTERED REPRESENTATIVE	Y	NEW YORK, NY, United States
08/2017 - 04/2018	ALLIANCE-ONE INVESTMENTS, LLC	Mass Transfer	Y	Warwick, RI, United States
11/2016 - 04/2018	Computer Sciences Corporation	Admin	Y	Bridgewater, FL, United States
06/2016 - 10/2016	METLIFE INVESTORS DISTRIBUTION COMPANY	Mass Transfer	Y	BRIDGEWATER, NJ, United States

Registration & Employment History

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.

COUNT BASIS THEATRE
POSITION: security guard NATURE: CBT Security INVESTMENT RELATED: No NUMBER OF HOURS: 6 SECURITIES TRADING HOURS: 0 START DATE: 11/03/2022
ADDRESS: 99 Monmouth Street, Red Bank NJ 07701, United States
DESCRIPTION: Providing security for entertainers who will be there

BRYAN BACCARO
POSITION: EFS NATURE: life carriers renewal commissions- Everlake , ETC. INVESTMENT RELATED: No NUMBER OF HOURS: 1 SECURITIES TRADING HOURS: 1 START DATE: 07/09/2025
ADDRESS: 4 Hendrickson Avenue, suite 3, red bank NJ 07701, United States
DESCRIPTION: RESIDUAL COMMISSIONS ONLY

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
Termination	1

Termination

This disclosure event involves a situation where the Investment Adviser Representative voluntarily resigned, was discharged or was permitted to resign after allegations were made that accused the Investment Adviser Representative of violating investment-related statutes, regulations, rules or industry standards of conduct; fraud or the wrongful taking of property; or failure to supervise in connection with investment-related statutes, regulations, rules or industry standards of conduct.

Disclosure 1 of 1

Reporting Source:	Individual
Firm Name:	COMMERCE CAPITAL MARKETS
Termination Type:	Discharged
Termination Date:	04/12/2004
Allegations:	DISCHARGED FOR OMMISSION OF MATERIAL FACTS RELATING TO ONGOING NASD INVESTIGATION
Product Type:	No Product
Other Product Types:	

End of Report

This page is intentionally left blank.

