



IAPD Report

BRIAN LEE BARTLETT

CRD# 1912095

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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

BRIAN LEE BARTLETT (CRD# 1912095)

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 **09/27/2025**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	LPL FINANCIAL LLC	CRD# 6413	07/10/2025
IA	LPL FINANCIAL LLC	CRD# 6413	07/10/2025

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **10** 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	NEXT FINANCIAL GROUP, INC.	46214	ANNA, TX	05/01/2013 - 07/10/2025
B	NEXT FINANCIAL GROUP, INC.	46214	ANNA, TX	04/22/2013 - 07/10/2025
B	LINCOLN FINANCIAL SECURITIES CORPORATION	3870	COLORADO SPRINGS, CO	12/08/2008 - 04/30/2013

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
Regulatory Event	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 **10** jurisdiction(s) and 1 SRO(s) through his or her employer(s).

Employment 1 of 1

Firm Name: **LPL FINANCIAL LLC**
Main Address: 1055 LPL WAY
FORT MILL, SC 29715
Firm ID#: 6413

	Regulator	Registration	Status	Date
B	FINRA	General Securities Principal	Approved	07/10/2025
B	FINRA	General Securities Representative	Approved	07/10/2025
B	FINRA	General Securities Sales Supervisor	Approved	07/10/2025
B	Colorado	Agent	Approved	07/10/2025
IA	Colorado	Investment Adviser Representative	Approved	07/10/2025
B	Connecticut	Agent	Approved	07/10/2025
B	Iowa	Agent	Approved	09/29/2025
B	Missouri	Agent	Approved	07/10/2025
B	New Hampshire	Agent	Approved	07/10/2025
B	Oklahoma	Agent	Approved	07/10/2025
B	Tennessee	Agent	Approved	07/10/2025
B	Texas	Agent	Approved	07/10/2025
IA	Texas	Investment Adviser Representative	Approved	07/10/2025



Qualifications

Regulator	Registration	Status	Date
B Virginia	Agent	Approved	07/10/2025
B Washington	Agent	Approved	07/10/2025

Branch Office Locations

LPL FINANCIAL LLC
ANNA, TX



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

Principal/Supervisory Exams

Exam	Category	Date
General Securities Sales Supervisor - General Module Examination (S10)	Series 10	01/02/2023
General Securities Sales Supervisor - Options Module Examination (S9)	Series 9	01/02/2023
General Securities Sales Supervisor Examination (Options Module & General Module) (S8)	Series 8	04/01/1997
General Securities Principal Examination (S24)	Series 24	01/02/1992

General Industry/Product Exams

Exam	Category	Date
Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
General Securities Representative Examination (S7)	Series 7	01/21/1989

State Securities Law Exams

Exam	Category	Date
Uniform Combined State Law Examination (S66)	Series 66	11/01/2011
Uniform Securities Agent State Law Examination (S63)	Series 63	01/31/1989

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	05/01/2013 - 07/10/2025	NEXT FINANCIAL GROUP, INC.	CRD# 46214	ANNA, TX
B	04/22/2013 - 07/10/2025	NEXT FINANCIAL GROUP, INC.	CRD# 46214	ANNA, TX
B	12/08/2008 - 04/30/2013	LINCOLN FINANCIAL SECURITIES CORPORATION	CRD# 3870	COLORADO SPRINGS, I
B	09/30/2004 - 12/22/2008	LIDLAW & COMPANY (UK) LTD.	CRD# 119037	AUSTIN, TX
B	01/31/2002 - 10/27/2004	SANDS BROTHERS & CO., LTD.	CRD# 26816	NEW YORK, NY
B	01/02/2002 - 02/07/2002	FAHNESTOCK & CO. INC.	CRD# 249	NEW YORK, NY
B	09/05/1996 - 01/02/2002	JOSEPHTHAL & CO., INC.	CRD# 3227	NEW YORK, NY
B	02/15/1995 - 09/20/1996	LEW LIEBERBAUM & CO., INC.	CRD# 17341	GARDEN CITY, NY
B	07/07/1993 - 02/17/1995	NORTHEAST SECURITIES, INC.	CRD# 25996	MITCHELFIELD, NY
B	01/04/1993 - 07/19/1993	LEW LIEBERBAUM & CO., INC.	CRD# 17341	GARDEN CITY, NY
B	05/22/1991 - 01/01/1993	CHELSEA STREET SECURITIES, INC.	CRD# 17548	
B	01/28/1991 - 04/23/1991	WHALE SECURITIES CO., L.P.	CRD# 13516	NEW YORK, NY
B	03/08/1989 - 02/13/1991	J. W. GANT & ASSOCIATES, INC.	CRD# 7963	
B	01/24/1989 - 03/10/1989	INVESTORS CENTER, INC.	CRD# 14670	



Registration & Employment History

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
07/2025 - Present	LPL FINANCIAL LLC	Registered Representative	Y	ANNA, TX, United States
04/2012 - 07/2025	NEXT FINANCIAL GROUP INC	REGISTERED REPRESENTATIVE	Y	HOUSTON, TX, 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- 07/2025 - Brian Bartlett - Non-Variable Insurance - Agent - Investment Related - At Reported Business Location(s) - Start Date 04/22/2009 - 20 hours per month/ 1 hour during trading

2- 07/2025 - Bartlett Financial Management - DBA for LPL Business (entity for LPL business) - Investment Related - At Reported Business Location(s) - Start Date 01/11/2016 - 80 hours per month/ during trading



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
Regulatory Event	1

Regulatory Event

This disclosure event may include a final, formal proceeding initiated by a regulatory authority (e.g., a state securities agency, a federal regulator such as the Securities and Exchange Commission or the Commodities Futures Trading Commission, or a foreign financial regulatory body) for a violation of investment-related rules or regulations. This disclosure event may also include a revocation or suspension of an Investment Adviser Representative's authority to act as an attorney, accountant or federal contractor.

Disclosure 1 of 1

Reporting Source:	Regulator
Regulatory Action Initiated By:	NASD
Sanction(s) Sought:	
Other Sanction(s) Sought:	
Date Initiated:	06/20/2005
Docket/Case Number:	02-00661
Employing firm when activity occurred which led to the regulatory action:	SANDS BROTHERS & CO. LTD.
Product Type:	No Product
Other Product Type(s):	
Allegations:	FAILED TO COMPLY WITH AN ARBITRATION AWARD OR SETTLEMENT AGREEMENT OR FEES OR TO SATISFACTORILY RESPOND TO AN NASD REQUEST TO PROVIDE INFORMATION CONCERNING THE STATUS OF COMPLIANCE.
Current Status:	Final
Resolution:	Other
Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct?	No



Resolution Date: 06/20/2005
Sanctions Ordered: Suspension
Other Sanctions Ordered:
Sanction Details: NASD REGISTRATION SUSPENDED JUNE 20, 2005 FOR FAILING TO COMPLY WITH AN ARBITRATION AWARD OR SETTLEMENT AGREEMENT OR PAY FEES IN ARBITRATION CASE #02-00661 OR TO SATISFACTORILY RESPOND TO AN NASD REQUEST TO PROVIDE INFORMATION CONCERNING THE STATUS OF COMPLIANCE.
Regulator Statement SUSPENSION LIFTED AS OF JUNE 23, 2005.

Reporting Source: Individual
Regulatory Action Initiated By: NATIONAL ASSOCIATION OF SECURITY DEALERS
Sanction(s) Sought: Suspension
Other Sanction(s) Sought:
Date Initiated: 06/20/2005
Docket/Case Number: [02-00661](#)
Employing firm when activity occurred which led to the regulatory action: LAIDLAW & COMPANY (UK) LTD

Product Type: No Product
Other Product Type(s):

Allegations: BRIAN BARTLETT ALONG WITH OTHER RESPONDENTS WERE THE SUBJECTS OF AN ARBITRATION AWARD ENTERED AGAINST THEM. RESPONDENTS ATTORNEY FILED A MOTION TO VACATE TO HAVE AWARD OVERTURNED OR DISMISSED BUT FAILED TO FILE IT WITH THE NASD CAUSING THE NASD TO ISSUE A NOTICE OF SUSPENSION AGAINST BRIAN BARTLETT FOR FAILING TO ADHERE TO ARBITRATIONS DECISION

Current Status: Final
Appealed To and Date Appeal Filed: MOTION TO VACATE IS ON APPEAL BEFORE THE SUPREME COURT OF THE STATE OF NEW YORK COUNTY OF NEW YORK. DATE FILED MAY 12, 2005

Resolution: Other
Resolution Date: 06/20/2005
Sanctions Ordered: Suspension
Other Sanctions Ordered:

Sanction Details: DUE TO MR. BRIAN BARTLETT'S ATTORNEY ONLY FILING A MOTION TO VACATE WITH THE STATE COURT OF NEW YORK AND NOT THE NASD THE NASD SUSPENDED MR. BARTLETT EFFECTIVE JUNE 20, 2005. UPON BEING PROVIDED WITH A COPY OF THE MOTION TO VACATE THE NASD LIFTED MR. BARTLETT'S SUSPENSION EFFECTIVE JUNE 23, 2005 (OCCURRENCE #1261670).

Broker Statement AT THIS TIME WE RESPECTFULLY ASK THAT THE NASD REVIEW THIS MATTER AND SEE THAT MR. BARTLETT WAS SUSPENDED DUE TO A CLERICAL ERROR ON THE PART OF HIS ATTORNEY, AND UNDERSTAND



THAT MR. BARTLETT DID NOT FAIL TO SUPPLY THE NASD WITH THE PROPER DOCUMENTS "MOTION TO VACATE" BUT HIS ATTORNEY DID. WE ASK THAT THE NASD MOVE THIS MATTER INTO A STATUS Z RECORD AS IT IS ONLY ON MR. BARLETT'S RECORD BECAUSE OF A CLERICAL ERROR.



End of Report

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