



IAPD Report

PATRICK TODD MEAD

CRD# 1959855

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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

PATRICK TODD MEAD (CRD# 1959855)

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 **06/01/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	EQUITABLE ADVISORS, LLC	CRD# 6627	11/21/2025
IA	EQUITABLE ADVISORS, LLC	CRD# 6627	11/21/2025

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **12** 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
B	LPL FINANCIAL LLC	6413	SAN DIEGO, CA	06/29/2018 - 11/26/2025
IA	LPL FINANCIAL LLC	6413	SAN DIEGO, CA	06/29/2018 - 11/26/2025
IA	FIRST ALLIED ADVISORY SERVICES, INC.	137888	SAN DIEGO, CA	10/24/2013 - 07/02/2018

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

Employment 1 of 1

Firm Name: **EQUITABLE ADVISORS, LLC**
Main Address: 1345 AVENUE OF THE AMERICAS
NEW YORK, NY 10105
Firm ID#: 6627

	Regulator	Registration	Status	Date
B	FINRA	General Securities Principal	Approved	11/21/2025
B	FINRA	General Securities Representative	Approved	11/21/2025
B	FINRA	Invest. Co and Variable Contracts	Approved	11/21/2025
B	FINRA	Investment Co./Variable Contracts Prin	Approved	11/21/2025
B	FINRA	Municipal Securities Principal	Approved	11/21/2025
B	FINRA	Municipal Securities Representative	Approved	11/21/2025
B	Arizona	Agent	Approved	11/21/2025
B	California	Agent	Approved	11/21/2025
IA	California	Investment Adviser Representative	Approved	11/21/2025
B	Colorado	Agent	Approved	11/21/2025
B	Florida	Agent	Approved	11/21/2025
B	Idaho	Agent	Approved	05/01/2026
B	Indiana	Agent	Approved	11/21/2025



Qualifications

Regulator	Registration	Status	Date
B Iowa	Agent	Approved	12/01/2025
B Michigan	Agent	Approved	11/21/2025
B Nevada	Agent	Approved	12/18/2025
B Oregon	Agent	Approved	11/21/2025
B Texas	Agent	Approved	11/21/2025
IA Texas	Investment Adviser Representative	Restricted Approval	11/21/2025
B Utah	Agent	Approved	11/21/2025

Branch Office Locations

EQUITABLE ADVISORS, LLC
12625 HIGH BLUFF DRIVE
SUITE 212
SAN DIEGO, CA 92130






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



Principal/Supervisory Exams

Exam	Category	Date
 Municipal Securities Principal Examination (S53)	Series 53	04/04/2003
 General Securities Principal Examination (S24)	Series 24	12/29/1998
 Investment Company Products/Variable Contracts Principal Examination (S26)	Series 26	02/25/1997

General Industry/Product Exams

Exam	Category	Date
 Municipal Securities Representative Examination (S52TO)	Series 52TO	01/02/2023
 Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
 General Securities Representative Examination (S7)	Series 7	08/21/1998
 Investment Company Products/Variable Contracts Representative Examination (S6)	Series 6	06/13/1989

State Securities Law Exams

Exam	Category	Date
 Uniform Investment Adviser Law Examination (S65)	Series 65	01/21/1999
 Uniform Securities Agent State Law Examination (S63)	Series 63	06/19/1989



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
B	06/29/2018 - 11/26/2025	LPL FINANCIAL LLC	CRD# 6413	SAN DIEGO, CA
IA	06/29/2018 - 11/26/2025	LPL FINANCIAL LLC	CRD# 6413	SAN DIEGO, CA
IA	10/24/2013 - 07/02/2018	FIRST ALLIED ADVISORY SERVICES, INC.	CRD# 137888	SAN DIEGO, CA
B	10/24/2013 - 07/02/2018	FIRST ALLIED SECURITIES, INC.	CRD# 32444	SAN DIEGO, CA
IA	01/19/2010 - 11/02/2012	NEW ENGLAND SECURITIES CORPORATION	CRD# 615	WOODLAND HILLS, CA
B	11/10/2009 - 11/02/2012	NEW ENGLAND SECURITIES	CRD# 615	WOODLAND HILLS, CA
IA	11/16/1995 - 11/19/2009	AXA ADVISORS, LLC	CRD# 6627	SAN DIEGO, CA
B	06/14/1989 - 11/19/2009	AXA ADVISORS, LLC	CRD# 6627	SAN DIEGO, CA
B	06/14/1989 - 01/05/2000	THE EQUITABLE LIFE ASSURANCE SOCIETY OF THE UNITED STATES	CRD# 4039	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
11/2025 - Present	Equitable Advisors, LLC	Registered Representative	Y	New York, NY, United States
06/2018 - 11/2025	LPL Financial, LLC	Registered Representative	Y	San Diego, CA, United States
10/2013 - 06/2018	FIRST ALLIED ADVISORY SERVICES, INC.	INVESTMENT ADVISORY REPRESENTATIVE	Y	CHESTERFIELD, MO, United States
10/2013 - 06/2018	FIRST ALLIED SECURITIES, INC.	REGISTERED REPRESENTATIVE	Y	SAN DIEGO, CA, 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.

1. Insurance Agent - Outside Fixed Insurance Sales.
2. Co-Trustee for self.
3. Trustee of Uncle's Trust
4. High Net Specialist, Inc. - S. Corp. established for tax purposes and business expenses.



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:	First Allied Securities, Inc.
Allegations:	Claimant generally alleges suitability, common law fraud, breach of contract, negligence, and breaches of duty and contract.
Product Type:	Real Estate Security
Alleged Damages:	\$250,000.00
Is this an oral complaint?	No
Is this a written complaint?	No
Is this an arbitration/CFTC reparation or civil litigation?	Yes
Arbitration/Reparation forum or court name and location:	FINRA
Docket/Case #:	21-01752
Filing date of arbitration/CFTC reparation or civil litigation:	07/09/2021

Customer Complaint Information

Date Complaint Received:	07/15/2021
Complaint Pending?	No



Status: Settled
Status Date: 10/07/2022
Settlement Amount: \$55,000.00
Individual Contribution Amount: \$0.00

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Reporting Source: Individual
Employing firm when activities occurred which led to the complaint: FIRST ALLIED SECURITIES, INC.
Allegations: Claimant generally alleges suitability, common law fraud, breach of contract, negligence, and breaches of duty and contract.
Product Type: Real Estate Security
Alleged Damages: \$250,000.00
Is this an oral complaint? No
Is this a written complaint? No
Is this an arbitration/CFTC reparation or civil litigation? Yes
Arbitration/Reparation forum or court name and location: FINRA
Docket/Case #: 21-01752
Filing date of arbitration/CFTC reparation or civil litigation: 07/09/2021

Customer Complaint Information

Date Complaint Received: 07/15/2021
Complaint Pending? No
Status: Settled
Status Date: 10/07/2022
Settlement Amount: \$55,000.00
Individual Contribution Amount: \$0.00

Broker Statement

I am a conscientious financial professional with a superior regulatory record and over 30 years of industry experience. No allegations of wrongdoing have been made against me in this complaint, and I am not a named defendant in the client's Statement of Claim against the sponsoring firm for the investment in question. FINRA rules require a disclosure such as this because I was the advisor of record for this client, and this disclosure is required even if the claims are later dismissed or judged to be invalid. The investment in question was deemed suitable and appropriate based on the clients' objectives and all firm and regulatory guidelines. The clients have recently made similar investments to this one which directly contradicts their claims that the investment in question was unsuitable. The fact that the award they seek far exceeds the original investment is also noteworthy

**Disclosure 2 of 2**

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: EQUITABLE LIFE

Allegations: DESPITE HAVING ACKNOWLEDGED RECEIPT OF A PROSPECTUS IN ADVANCE OF THE CONVERSION, CUSTOMER ALLEGES DAMAGES OF APPROX. \$25,000 IN CONNECTION WITH THE CONVERSION OF HIS TERM INSURANCE TO A VARIABLE LIFE POLICY AND CLAIMS THAT HE WOULD NOT HAVE CONVERTED HIS POLICY IF HE HAD BEEN AWARE OF THE CHARGES HE EVENTUALLY INCURRED. I AM AN AGENT OF EQUITABLE LIFE.

Product Type: Insurance
Other: VUL

Alleged Damages: \$25,000.00

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: 02/02/1995

Complaint Pending? No

Status: Settled

Status Date: 02/16/1995

Settlement Amount: \$25,026.23

Individual Contribution Amount: \$0.00

Broker Statement Without any solicitation, this client requested to convert his term life policy to a cash value policy because he believed that assets held in a cash value life insurance policy would be protected from the claims of creditors. When he discovered that the details of such creditor protection would not work in his favor, he changed his mind about the conversion and demanded a refunded. He alleged that he would not have converted his policy if he had been aware of the costs which he ultimately incurred despite having acknowledged in advance of the conversion receipt of a prospectus and an illustration detailing all costs. His request was made well outside of the 30-day free look period, but the company elected to refund his premiums and reinstate his term policy based on my advocacy and as a show of good faith. No accusations of inappropriate behavior were ever made against me in this case, and what is recorded as a settlement is simply a refund of the client's cumulative premiums that he had paid into his cash value policy.



End of Report

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