



IAPD Report

BRIAN JAMES MEGLEY

CRD# 2302308

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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 JAMES MEGLEY (CRD# 2302308)

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 **04/29/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	CETERA ADVISORS LLC	CRD# 10299	10/03/2016
IA	CETERA INVESTMENT ADVISERS LLC	CRD# 105644	03/21/2024

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **17** 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	CETERA ADVISORS LLC	10299	GREENWOOD VILLAGE, IL	10/03/2016 - 03/21/2024
IA	INVESTORS CAPITAL ADVISORY	30613	NEWPORT, RI	03/04/2013 - 10/03/2016
B	INVESTORS CAPITAL CORP.	30613	NEWPORT, RI	03/04/2013 - 10/03/2016

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	4
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 **17** jurisdiction(s) and 1 SRO(s) through his or her employer(s).

Employment 1 of 2

Firm Name: **CETERA ADVISORS LLC**
Main Address: 5299 DTC BLVD #800
GREENWOOD VILLAGE, CO 80111
Firm ID#: 10299

Regulator	Registration	Status	Date
B FINRA	General Securities Principal	Approved	10/03/2016
B FINRA	General Securities Representative	Approved	10/03/2016
B Alabama	Agent	Approved	10/03/2016
B Arizona	Agent	Approved	09/24/2024
B Connecticut	Agent	Approved	04/22/2024
B Florida	Agent	Approved	10/06/2016
B Kansas	Agent	Approved	10/03/2016
B Maine	Agent	Approved	10/03/2016
B Massachusetts	Agent	Approved	10/03/2016
B Montana	Agent	Approved	03/26/2026
B New Mexico	Agent	Approved	10/03/2016
B New York	Agent	Approved	10/03/2016
B North Carolina	Agent	Approved	01/06/2025



Qualifications

Regulator	Registration	Status	Date
B Ohio	Agent	Approved	10/03/2016
B Oregon	Agent	Approved	10/03/2016
B Rhode Island	Agent	Approved	10/03/2016
B South Carolina	Agent	Approved	10/28/2025
B Texas	Agent	Approved	10/03/2016
B Virginia	Agent	Approved	04/25/2023

Branch Office Locations

CETERA ADVISORS LLC
 130 BELLEVUE AVE STE 207
 NEWPORT, RI 02840

Employment 2 of 2

Firm Name: **CETERA INVESTMENT ADVISERS LLC**
 Main Address: 1450 AMERICAN LANE
 6TH FLOOR, SUITE 650
 SCHAUMBURG, IL 60173-2096
 Firm ID#: 105644

Regulator	Registration	Status	Date
IA Rhode Island	Investment Adviser Representative	Approved	03/21/2024
IA Texas	Investment Adviser Representative	Restricted Approval	03/21/2024

Branch Office Locations

CETERA INVESTMENT ADVISERS LLC
 130 BELLEVUE AVE STE 207
 NEWPORT, RI 02840




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




Principal/Supervisory Exams

	Exam	Category	Date
	General Securities Principal Examination (S24)	Series 24	08/23/2010

General Industry/Product Exams

	Exam	Category	Date
	Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
	General Securities Representative Examination (S7)	Series 7	01/22/1993

State Securities Law Exams

	Exam	Category	Date
	 Uniform Combined State Law Examination (S66)	Series 66	06/28/2007
	Uniform Securities Agent State Law Examination (S63)	Series 63	02/25/1993

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	10/03/2016 - 03/21/2024	CETERA ADVISORS LLC	CRD# 10299	GREENWOOD VILLAGE
IA	03/04/2013 - 10/03/2016	INVESTORS CAPITAL ADVISORY	CRD# 30613	NEWPORT, RI
B	03/04/2013 - 10/03/2016	INVESTORS CAPITAL CORP.	CRD# 30613	NEWPORT, RI
B	11/02/2007 - 02/05/2013	WELLS FARGO ADVISORS FINANCIAL NETWORK, LLC	CRD# 11025	NEWPORT, RI
IA	11/02/2007 - 02/05/2013	WELLS FARGO ADVISORS FINANCIAL NETWORK, LLC	CRD# 11025	NEWPORT, RI
IA	11/01/2004 - 11/14/2007	UBS FINANCIAL SERVICES INC.	CRD# 8174	PROVIDENCE, RI
B	03/08/2002 - 11/14/2007	UBS FINANCIAL SERVICES INC.	CRD# 8174	PROVIDENCE, RI
B	01/26/1993 - 04/09/2002	A. G. EDWARDS & SONS, INC.	CRD# 4	ST. LOUIS, MO

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
03/2024 - Present	CETERA INVESTMENT ADVISERS LLC	INVESTMENT ADVISOR REPRESENTATIVE	Y	SCHAUMBURG, IL, United States
01/2021 - Present	BELLEVUE PRIVATE WEALTH, LLC	FINANCIAL PROFESSIONAL	Y	NEWPORT, RI, United States
10/2016 - Present	CETERA ADVISORS LLC	REGISTERED REPRESENTATIVE	Y	DENVER, CO, United States
11/2007 - 01/2021	BELLEVUE FINANCIAL LLC	REGISTERED REP/IAR	Y	NEWPORT, RI, United States
03/2013 - 10/2016	INVESTORS CAPITAL CORPORATION	REGISTERED REPRESENTATIVE	Y	LYNNFIELD, MA, 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) NAME OF OTHER BUSINESS: BELLEVUE PRIVATE WEALTH, LLC;
INVESTMENT RELATED: YES;
ADDRESS: SAME AS REGISTERED LOCATION;
NATURE OF BUSINESS: FINANCIAL SERVICES;
START DATE: 1/2021;
POSITION/TITLE/RELATIONSHIP: FINANCIAL PROFESSIONAL;
APX NUMBER OF HOURS PER WEEK: 40;
APX NUMBER OF TRADING HOURS PER WEEK: 32.5;
BRIEF DESCRIPTION OF DUTIES: DBA FOR FINANCIAL SERVICES;
- 2) NAME OF OTHER BUSINESS: FIXED INSURANCE WITH VARIOUS COMPANIES,
INVESTMENT RELATED: YES,
ADDRESS: SAME AS REGISTERED LOCATION,
NATURE OF BUSINESS: FIXED INSURANCE,
START DATE: 09/2023,
APX NUMBER OF HOURS PER WEEK: VARIES,
APX NUMBER OF HOURS DURING TRADING HOURS: VARIES,
POSITION/TITLE/RELATIONSHIP: INSURANCE AGENT ,
BRIEF DESCRIPTION OF DUTIES: SELLS LIFE INSURANCE;
- 3) NAME OF OTHER BUSINESS: RHODE ISLAND SALTWATER ANGLERS ASSOCIATION;
INVESTMENT RELATED: NO;
ADDRESS: 6 ARNOLD ROAD COVENTRY, RI 02816;
NATURE OF BUSINESS: NON PROFIT;
START DATE: 04/2024;
POSITION/TITLE/RELATIONSHIP: CHAIRPERSON;
APX NUMBER OF HOURS PER WEEK: 1;
APX NUMBER OF HOURS DURING TRADING HOURS: 1;
BRIEF DESCRIPTION OF DUTIES: RESPONSIBLE FOR ASSESSING GRANT REQUESTS, MAKING RECOMMENDATIONS TO THE RISAA BOARD FOR THEIR APPROVAL;



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	4
Termination	1

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 4

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	INVESTORS CAPITAL CORP.
Allegations:	Claimants allege they were recommended and overconcentrated in suitable investments.
Product Type:	Real Estate Security
Alleged Damages:	\$0.00
Alleged Damages Amount Explanation (if amount not exact):	Believed to be \$5,000 or more
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-Los Angeles, CA
Docket/Case #:	23-00108
Filing date of arbitration/CFTC reparation or civil litigation:	07/06/2023

**Customer Complaint Information****Date Complaint Received:** 07/06/2023**Complaint Pending?** No**Status:** Settled**Status Date:** 09/01/2023**Settlement Amount:** \$80,000.00**Individual Contribution Amount:** \$0.00**Broker Statement** THIS MATTER WAS RELATED TO A REIT THAT FILED FOR CHAPTER 11 BANKRUPTCY PROTECTION. THIS MATTER WAS SETTLED BY THE FIRM WITH NO CONTRIBUTION FROM ME.**Disclosure 2 of 4****Reporting Source:** Individual**Employing firm when activities occurred which led to the complaint:** WACHOVIA SECURITIES, LLC**Allegations:** CLIENT ALLEGES UNSUITABLE INVESTMENT. ALLEGES DAMAGES, NOT SPECIFIED, OVER \$5000.00. (08/17/2008)**Product Type:** Other**Other Product Type(s):** MISCELLANEOUS**Alleged Damages:** \$0.00**Customer Complaint Information****Date Complaint Received:** 02/08/2009**Complaint Pending?** No**Status:** Denied**Status Date:** 03/27/2009**Settlement Amount:****Individual Contribution Amount:****Broker Statement** DENIED**Disclosure 3 of 4****Reporting Source:** Individual**Employing firm when activities occurred which led to the complaint:** UBS FINANCIAL SERVICES INC.**Allegations:** CUSTOMER'S ATTORNEY ALLEGES THAT FINANCIAL ADVISOR UNLAWFULLY SOLD 600 SHARES OF STAR GAS WITHOUT THE REQUIRED DISCRETIONARY POWER TO MAKE THE TRANSACTION. ALLEGED DAMAGES: ESTIMATED. TO BE IN EXCESS OF \$5,000. TIME PERIOD: 2004.**Product Type:** Equity - OTC



Alleged Damages:

Customer Complaint Information

Date Complaint Received: 04/25/2005

Complaint Pending? No

Status: Settled

Status Date: 05/06/2005

Settlement Amount: \$4,800.00

Individual Contribution Amount: \$0.00

Disclosure 4 of 4

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: A.G. EDWARDS & SONS, INC.

Allegations: CLIENT ALLEGED FAILURE TO FOLLOW INSTRUCTIONS TO RE-PURCHASE STOCK.

Product Type: Equity - OTC

Alleged Damages: \$100,000.00

Customer Complaint Information

Date Complaint Received: 12/29/1999

Complaint Pending? No

Status: Closed/No Action

Status Date: 01/02/2002

Settlement Amount: \$0.00

Individual Contribution Amount: \$0.00

Broker Statement A.G. EDWARDS RESPONDED TO CLIENT AND DENIED CLAIM JUNE 2001. NO FURTHER CORRESPONDENCE HAS BEEN RECEIVED FROM THIS CLIENT, THEREFORE, THIS MATTER IS CONSIDERED TO BE CLOSED.



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: Firm
Firm Name: WELLS FARGO ADVISORS FINANCIAL NETWORK, LLC.
Termination Type: Discharged
Termination Date: 01/17/2013
Allegations: EXERCISED DISCRETION IN CUSTOMER ACCOUNTS WITHOUT WRITTEN AUTHORIZATION FROM THE CUSTOMER TO DO SO.
Product Type: Equity Listed (Common & Preferred Stock)

Reporting Source: Individual
Firm Name: WELLS FARGO ADVISORS FINANCIAL NETWORK, LLC
Termination Type: Discharged
Termination Date: 01/17/2013
Allegations: EXERCISED DISCRETION IN CUSTOMER ACCOUNTS WITHOUT WRITTEN AUTHORIZATION FROM THE CUSTOMER TO DO SO.
Product Type: Equity Listed (Common & Preferred Stock)

Broker Statement
I WAS TOLD REASON FOR MY TERMINATION BY WFA WAS BECAUSE OF AN "UNRESOLVED ISSUE" ON MY ANNUAL AUDIT WHICH SHOWED A SMALL % OF TRANSACTIONS WERE CLOSE TOGETHER IN TIME AND SALES. SINCE I HAD SPOKEN TO THE CLIENTS BEFORE TRANSACTING I WAS NOT WILLING ADMIT TO USING DISCRETION. THERE WERE NO SPECIFIC TRADES IDENTIFIED BY WFA AS UNAUTHORIZED, NO CLIENT COMPLAINTS, OR TRANSACTIONS REVERSED AS A RESULT. MY FOUR PREVIOUS BRANCH AUDITS WERE CLEAN AND I WAS AWARDED AUDIT BONUSES.



End of Report

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