



## IAPD Report

# BRYAN CHRISTOPHER DAVIS

CRD# 2468251

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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

### BRYAN CHRISTOPHER DAVIS (CRD# 2468251)

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>B</b>	CETERA ADVISORS LLC	CRD# 10299	04/09/2021
<b>IA</b>	CETERA INVESTMENT ADVISERS LLC	CRD# 105644	03/21/2024

### QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **26** 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>IA</b>	CETERA ADVISORS LLC	10299	Murrysville, PA	04/09/2021 - 03/21/2024
<b>IA</b>	LPL FINANCIAL LLC	6413	MURRYSVILLE, PA	07/18/2018 - 04/22/2021
<b>B</b>	LPL FINANCIAL LLC	6413	MURRYSVILLE, PA	08/14/2001 - 04/22/2021

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	3
Financial	1
Judgment/Lien	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 **26** 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>B</b>	FINRA	General Securities Principal	Approved	04/09/2021
<b>B</b>	FINRA	General Securities Representative	Approved	04/09/2021
<b>B</b>	Alabama	Agent	Approved	03/16/2022
<b>B</b>	Arizona	Agent	Approved	02/17/2026
<b>B</b>	California	Agent	Approved	04/09/2021
<b>B</b>	Colorado	Agent	Approved	04/26/2021
<b>B</b>	Delaware	Agent	Approved	06/05/2023
<b>B</b>	District of Columbia	Agent	Approved	04/28/2021
<b>B</b>	Florida	Agent	Approved	05/12/2021
<b>B</b>	Georgia	Agent	Approved	04/12/2021
<b>B</b>	Idaho	Agent	Approved	04/12/2021
<b>B</b>	Illinois	Agent	Approved	06/17/2021
<b>B</b>	Indiana	Agent	Approved	04/13/2021



### Qualifications

Regulator	Registration	Status	Date
<b>B</b> Michigan	Agent	Approved	04/24/2025
<b>B</b> Montana	Agent	Approved	09/23/2025
<b>B</b> New Jersey	Agent	Approved	02/11/2022
<b>B</b> New York	Agent	Approved	05/08/2021
<b>B</b> North Carolina	Agent	Approved	04/22/2021
<b>B</b> Ohio	Agent	Approved	04/09/2021
<b>B</b> Pennsylvania	Agent	Approved	04/12/2021
<b>B</b> Rhode Island	Agent	Approved	12/18/2025
<b>B</b> South Carolina	Agent	Approved	04/28/2021
<b>B</b> Tennessee	Agent	Approved	04/09/2026
<b>B</b> Texas	Agent	Approved	04/09/2021
<b>B</b> Virginia	Agent	Approved	04/28/2021
<b>B</b> Washington	Agent	Approved	04/29/2021
<b>B</b> West Virginia	Agent	Approved	04/26/2021
<b>B</b> Wisconsin	Agent	Approved	08/13/2025

#### Branch Office Locations

**CETERA ADVISORS LLC**  
3875 FRANKLINTOWNE CT STE 130  
MURRYSVILLE, PA 15668

#### Employment 2 of 2

Firm Name: **CETERA INVESTMENT ADVISERS LLC**



## Qualifications

Main Address: 1450 AMERICAN LANE  
6TH FLOOR, SUITE 650  
SCHAUMBURG, IL 60173-2096

Firm ID#: 105644

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

### Branch Office Locations

**CETERA INVESTMENT ADVISERS LLC**  
3875 FRANKLINTOWNE CT STE 130  
MURRYSVILLE, PA 15668




## 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	11/03/2003

#### General Industry/Product Exams

	Exam	Category	Date
	Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
	General Securities Representative Examination (S7)	Series 7	04/04/1994

#### State Securities Law Exams

	Exam	Category	Date
	Uniform Investment Adviser Law Examination (S65)	Series 65	12/28/1999
	Uniform Securities Agent State Law Examination (S63)	Series 63	03/25/1994

### 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	04/09/2021 - 03/21/2024	CETERA ADVISORS LLC	CRD# 10299	Murrysville, PA
IA	07/18/2018 - 04/22/2021	LPL FINANCIAL LLC	CRD# 6413	MURRYSVILLE, PA
B	08/14/2001 - 04/22/2021	LPL FINANCIAL LLC	CRD# 6413	MURRYSVILLE, PA
IA	10/17/2001 - 09/26/2011	THE ADVISORS LLC	CRD# 114883	MURRYSVILLE, PA
B	07/08/2000 - 08/30/2001	JEFFERSON PILOT SECURITIES CORPORATION	CRD# 3870	FORT WAYNE, IN
B	03/15/1999 - 07/08/2000	POLARIS FINANCIAL SERVICES, INC.	CRD# 14521	CONCORD, NH
B	04/05/1994 - 03/18/1999	AMERICAN EXPRESS FINANCIAL ADVISORS INC.	CRD# 6363	MINNEAPOLIS, MN
B	04/05/1994 - 03/18/1999	IDS LIFE INSURANCE COMPANY	CRD# 6321	MINNEAPOLIS, MN
B	08/03/1994 - 12/31/1994	AMERICAN EXPRESS SERVICE CORPORATION	CRD# 10518	MINNEAPOLIS, MN

### 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
04/2021 - Present	CETERA ADVISORS LLC	REGISTERED REPRESENTATIVE	Y	ST. CLOUD, MN, United States
12/2005 - Present	THE ADVISORS, LLC	OWNER	Y	MURRYSVILLE, PA, United States
07/2001 - 04/2021	LPL FINANCIAL LLC	REGISTERED REPRESENTATIVE	Y	MURRYSVILLE, PA, 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. THE ADVISORS, LLC, INVESTMENT RELATED, SAME AS REGISTERED LOCATION, FINANCIAL SERVICES, STARTED 12/2005, OWNER,  
APX NUMBER OF HOURS PER WEEK: 40, 32.5 DURING TRADING HOURS  
BRIEF DESCRIPTION OF DUTIES: DBA FOR FINANCIAL SERVICES;
2. FIXED INSURANCE WITH VARIOUS COMPANIES, INVESTMENT RELATED, SAME AS REGISTERED LOCATION, FIXED INSURANCE, START DATE 03/1992, INSURANCE AGENT, APX NUMBER OF HOURS PER WEEK: VARIES, APX NUMBER OF HOURS DURING TRADING HOURS: VARIES, SELLS LIFE, HEALTH, DISABILITY, AND LONG-TERM CARE
3. BRIAN AND LINDA DAVIS, NOT INVESTMENT RELATED, SAME AS REGISTERED LOCATION, OFFICE BUILDING, STARTED 05/2005, POSITION/TITLE/RELATIONSHIP: OWNER, APX 1 HOUR PER WEEK, MAY BE DURING TRADING HOURS, BRIEF DESCRIPTION OF DUTIES;



## 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	3
Financial	1
Judgment/Lien	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 3

<b>Reporting Source:</b>	Firm
<b>Employing firm when activities occurred which led to the complaint:</b>	LPL FINANCIAL LLC
<b>Allegations:</b>	Plaintiffs assert claims including suitability and negligence related to the purchase of two variable universal life policies purchased in 2002.
<b>Product Type:</b>	Other: VARIABLE UNIVERSAL LIFE
<b>Alleged Damages:</b>	\$5,000.00
<b>Alleged Damages Amount Explanation (if amount not exact):</b>	ALLEGED COMPENSATORY AMOUNT IS UNSPECIFIED BUT OVER \$5,000.
<b>Is this an oral complaint?</b>	No
<b>Is this a written complaint?</b>	Yes
<b>Is this an arbitration/CFTC reparation or civil litigation?</b>	No

### Customer Complaint Information

<b>Date Complaint Received:</b>	04/01/2021
<b>Complaint Pending?</b>	No
<b>Status:</b>	Evolved into Civil litigation (the individual is a named party)



**Status Date:** 08/04/2021

**Settlement Amount:**

**Individual Contribution Amount:**

### Civil Litigation Information

**Type of Court:** State Court

**Name of Court:** U.S. District Court - Western District of Pennsylvania

**Location of Court:** PITTSBURGH, PA

**Docket/Case #:** 2:21-cv-01007-PLD

**Date Notice/Process Served:** 08/04/2021

**Litigation Pending?** No

**Disposition:** Settled

**Disposition Date:** 05/23/2022

**Monetary Compensation Amount:** \$200,000.00

**Individual Contribution Amount:** \$0.00

**Firm Statement** THE COMPLAINT HAS BEEN DENIED. THE CUSTOMERS AGREED TO A PLAN OF FUNDING THE POLICIES THAT WAS NOT FOLLOWED, AND, AFTER THAT HAD OCCURRED. DECLINED TO FOLLOW THE REPRESENTATIVE'S RECOMMENDATIONS TO REDUCE THE DEATH BENEFITS AND THE COSTS OF THE POLICIES.

.....

**Reporting Source:** Individual

**Employing firm when activities occurred which led to the complaint:** LPL FINANCIAL LLC

**Allegations:** Plaintiffs assert claims including suitability and negligence related to the purchase of two variable universal life policies purchased in 2002.

**Product Type:** Other: VARIABLE UNIVERSA LIFE

**Alleged Damages:** \$5,000.00

**Alleged Damages Amount Explanation (if amount not exact):** ALLEGED COMPENSATORY AMOUNT IS UNSPECIFIED BUT OVER \$5,000

**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:** 04/01/2021

**Complaint Pending?** No

**Status:** Evolved into Civil litigation (the individual is a named party)



**Status Date:** 08/04/2021

**Settlement Amount:**

**Individual Contribution Amount:**

### Civil Litigation Information

**Type of Court:** State Court

**Name of Court:** U.S. District Court - Western District of Pennsylvania

**Location of Court:** PITTSBURGH, PA

**Docket/Case #:** 2:21-cv-01007-PLD

**Date Notice/Process Served:** 08/04/2021

**Litigation Pending?** No

**Disposition:** Settled

**Disposition Date:** 05/23/2022

**Monetary Compensation Amount:** \$200,000.00

**Individual Contribution Amount:** \$0.00

### Disclosure 2 of 3

**Reporting Source:** Individual

**Employing firm when activities occurred which led to the complaint:** LPL FINANCIAL

**Allegations:** CUSTOMER ALLEGES THAT REGISTERED REPRESENTATIVE MADE MATERIALLY FALSE STATEMENTS TO INDUCE HER TO OPEN A VARIABLE UNIVERSAL LIFE.

**Product Type:** Insurance

**Alleged Damages:** \$30,000.00

**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:** 06/16/2010

**Complaint Pending?** No

**Status:** Denied

**Status Date:** 08/19/2010

**Settlement Amount:**

**Individual Contribution Amount:**

**Disclosure 3 of 3**

**Reporting Source:** Firm

**Employing firm when activities occurred which led to the complaint:** POLARIS FINACIAL

**Allegations:** MAY 2000 REP. SOLD HARTFORD LIFE INSURANCE VL POLICY TO CLIENT. DAUGHTER ALLEGES NOT SUITABLE FOR 100,000 FACE, AND ANNUAL PREMIUM.

**Product Type:** Insurance

**Alleged Damages:** \$10,000.00

**Customer Complaint Information**

**Date Complaint Received:** 01/14/2005

**Complaint Pending?** No

**Status:** Denied

**Status Date:** 06/06/2005

**Settlement Amount:**

**Individual Contribution Amount:**

**Firm Statement** COMPENSATORY DAMAGES IS AN APPROXIMATION.

.....

**Reporting Source:** Individual

**Employing firm when activities occurred which led to the complaint:** JEFFERSON PILOT

**Allegations:** CUSTOMER COMPLAINT THAT VUL PURCHASED IN APRIL 2000 WAS UNSUITABLE. I DENY THESE ALLEGATIONS.

**Product Type:** Insurance

**Other Product Type(s):** VARIABLE UNIVERSAL LIFE

**Alleged Damages:** \$8,400.00

**Customer Complaint Information**

**Date Complaint Received:** 01/04/2005

**Complaint Pending?** No

**Status:** Denied

**Status Date:** 06/06/2005

**Settlement Amount:**

**Individual Contribution Amount:**



## Financial

This disclosure event involves a final bankruptcy, compromise with one or more creditors, or Securities Investor Protection Corporation liquidation that occurred within the last 10 years and that involved the Investment Adviser Representative or an organization/investment adviser that the Investment Adviser Representative controlled that occurred within the last 10 years.

### Disclosure 1 of 1

**Reporting Source:** Individual

**Action Type:** Compromise

**Action Date:** 08/04/2020

**Organization Investment-Related?**

**Action Pending?** No

**Disposition:** Satisfied/Released

**Disposition Date:** 08/04/2020

**If a compromise with creditor, provide:**

**Name of Creditor:** AMERICAN EXPRESS

**Original Amount Owed:** \$16,065.63

**Terms Reached with Creditor:** ORIGINAL AMOUNT OWED WAS \$16,065.63 WAS SETTLED FOR \$4,819.80

**Broker Statement** SETTLEMENT OF JUDGMENT



## Judgment/Lien

This disclosure event involves an unsatisfied and outstanding judgment or lien against the Investment Adviser Representative.

### Disclosure 1 of 1

<b>Reporting Source:</b>	Individual
<b>Judgment/Lien Holder:</b>	Internal Revenue Service
<b>Judgment/Lien Amount:</b>	\$1,052,588.56
<b>Judgment/Lien Type:</b>	Tax
<b>Date Filed with Court:</b>	12/08/2023
<b>Date Individual Learned:</b>	01/05/2024
<b>Type of Court:</b>	County Court
<b>Name of Court:</b>	Westmoreland County Court
<b>Location of Court:</b>	Greensburg, PA
<b>Docket/Case #:</b>	484043323
<b>Judgment/Lien Outstanding?</b>	Yes
<b>Broker Statement</b>	Spouse and I are disputing as returns were originally filed with IRS Mary Ellen Pierce whom we just learned passed away. All returns refiled and we are awaiting refund of \$300,000 plus as instructed by IRS until we complete and close out old returns.



## End of Report

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