



IAPD Report

BRIAN THOMAS CORLEY

CRD# 2735235

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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 THOMAS CORLEY (CRD# 2735235)

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 **04/01/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	UBS FINANCIAL SERVICES INC.	CRD# 8174	01/29/2021
IA	UBS FINANCIAL SERVICES INC.	CRD# 8174	01/29/2021

QUALIFICATIONS

This representative is currently registered in **10** SRO(s) and **40** 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	FIRST REPUBLIC INVESTMENT MANAGEMENT, INC.	108559	WALNUT CREEK, CA	12/18/2013 - 02/01/2021
B	M HOLDINGS SECURITIES, INC.	43285	SAN FRANCISCO, CA	03/01/2011 - 01/29/2021
B	FIRST REPUBLIC SECURITIES COMPANY, LLC	105108	WALNUT CREEK, CA	10/16/2014 - 01/31/2018

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
Regulatory Event	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 **40** jurisdiction(s) and 10 SRO(s) through his or her employer(s).

Employment 1 of 1

Firm Name: **UBS FINANCIAL SERVICES INC.**
Main Address: 1200 HARBOR BOULEVARD
WEEHAWKEN, NJ 07086
Firm ID#: 8174

Regulator	Registration	Status	Date
B BOX Exchange LLC	General Securities Principal	Approved	01/29/2021
B BOX Exchange LLC	General Securities Representative	Approved	01/29/2021
B BOX Exchange LLC	Registered Options Principal	Approved	01/29/2021
B Cboe Exchange, Inc.	General Securities Representative	Approved	01/29/2021
B Cboe Exchange, Inc.	Registered Options Principal	Approved	01/29/2021
B Cboe Exchange, Inc.	General Securities Principal	Approved	04/01/2026
B FINRA	General Securities Principal	Approved	01/29/2021
B FINRA	General Securities Representative	Approved	01/29/2021
B FINRA	Invest. Co and Variable Contracts	Approved	01/29/2021
B FINRA	Municipal Securities Principal	Approved	01/29/2021
B FINRA	Municipal Securities Representative	Approved	01/29/2021
B FINRA	Registered Options Principal	Approved	01/29/2021
B NYSE American LLC	General Securities Principal	Approved	01/29/2021



Qualifications

Regulator	Registration	Status	Date
B NYSE American LLC	General Securities Representative	Approved	01/29/2021
B NYSE American LLC	Municipal Securities Principal	Approved	01/29/2021
B NYSE American LLC	Municipal Securities Representative	Approved	01/29/2021
B NYSE American LLC	Registered Options Principal	Approved	01/29/2021
B NYSE Arca, Inc.	General Securities Principal	Approved	01/29/2021
B NYSE Arca, Inc.	General Securities Representative	Approved	01/29/2021
B NYSE Arca, Inc.	Registered Options Principal	Approved	01/29/2021
B NYSE Texas, Inc.	General Securities Principal	Approved	01/29/2021
B NYSE Texas, Inc.	General Securities Representative	Approved	01/29/2021
B Nasdaq ISE, LLC	General Securities Principal	Approved	01/29/2021
B Nasdaq ISE, LLC	General Securities Representative	Approved	01/29/2021
B Nasdaq ISE, LLC	Registered Options Principal	Approved	01/29/2021
B Nasdaq PHLX LLC	General Securities Principal	Approved	01/29/2021
B Nasdaq PHLX LLC	General Securities Representative	Approved	01/29/2021
B Nasdaq PHLX LLC	Registered Options Principal	Approved	01/29/2021
B Nasdaq Stock Market	General Securities Principal	Approved	01/29/2021
B Nasdaq Stock Market	General Securities Representative	Approved	01/29/2021
B Nasdaq Stock Market	Registered Options Principal	Approved	01/29/2021
B New York Stock Exchange	General Securities Principal	Approved	01/29/2021



Qualifications

Regulator	Registration	Status	Date
B New York Stock Exchange	General Securities Representative	Approved	01/29/2021
B New York Stock Exchange	Municipal Securities Principal	Approved	01/29/2021
B New York Stock Exchange	Municipal Securities Representative	Approved	01/29/2021
B Alabama	Agent	Approved	03/31/2021
B Alaska	Agent	Approved	02/04/2021
B Arizona	Agent	Approved	01/29/2021
B California	Agent	Approved	01/29/2021
IA California	Investment Adviser Representative	Approved	01/29/2021
B Colorado	Agent	Approved	01/29/2021
B Connecticut	Agent	Approved	02/01/2021
B Delaware	Agent	Approved	11/16/2023
B Florida	Agent	Approved	02/16/2021
B Georgia	Agent	Approved	03/19/2021
B Hawaii	Agent	Approved	04/22/2021
B Idaho	Agent	Approved	01/10/2023
B Illinois	Agent	Approved	01/13/2023
B Indiana	Agent	Approved	04/19/2021
B Iowa	Agent	Approved	01/05/2023
B Kentucky	Agent	Approved	12/17/2024



Qualifications

Regulator	Registration	Status	Date
B Maine	Agent	Approved	07/26/2024
B Maryland	Agent	Approved	01/04/2023
B Massachusetts	Agent	Approved	03/21/2024
B Michigan	Agent	Approved	08/25/2021
B Missouri	Agent	Approved	01/05/2023
B Montana	Agent	Approved	02/23/2023
B Nebraska	Agent	Approved	01/16/2026
B Nevada	Agent	Approved	01/29/2021
B New Jersey	Agent	Approved	01/05/2023
B New York	Agent	Approved	01/29/2021
B North Carolina	Agent	Approved	02/01/2021
B Ohio	Agent	Approved	01/31/2021
B Oklahoma	Agent	Approved	07/20/2022
B Oregon	Agent	Approved	01/29/2021
B Pennsylvania	Agent	Approved	03/18/2021
B South Carolina	Agent	Approved	02/01/2021
B South Dakota	Agent	Approved	03/12/2021
B Tennessee	Agent	Approved	01/29/2021
B Texas	Agent	Approved	08/26/2021



Qualifications

Regulator	Registration	Status	Date
IA Texas	Investment Adviser Representative	Restricted Approval	04/18/2022
B Utah	Agent	Approved	12/06/2024
B Virginia	Agent	Approved	01/05/2023
B Washington	Agent	Approved	02/02/2021
B West Virginia	Agent	Approved	03/23/2021
B Wisconsin	Agent	Approved	04/11/2023
B Wyoming	Agent	Approved	10/30/2023

Branch Office Locations

UBS FINANCIAL SERVICES INC.
1255 Treat Blvd
Suite 1000
WALNUT CREEK, CA 94597






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	11/11/1998
 General Securities Principal Examination (S24)	Series 24	08/27/1998
 Registered Options Principal Examination (S4)	Series 4	07/17/1998

General Industry/Product Exams

Exam	Category	Date
 Investment Company Products/Variable Contracts Representative Examination (S6TO)	Series 6TO	01/02/2023
 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	05/17/1996

State Securities Law Exams

Exam	Category	Date
 Uniform Investment Adviser Law Examination (S65)	Series 65	03/30/1999
 Uniform Securities Agent State Law Examination (S63)	Series 63	05/24/1996



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	12/18/2013 - 02/01/2021	FIRST REPUBLIC INVESTMENT MANAGEMENT, INC.	CRD# 108559	WALNUT CREEK, CA
B	03/01/2011 - 01/29/2021	M HOLDINGS SECURITIES, INC.	CRD# 43285	SAN FRANCISCO, CA
B	10/16/2014 - 01/31/2018	FIRST REPUBLIC SECURITIES COMPANY, LLC	CRD# 105108	WALNUT CREEK, CA
IA	03/14/2008 - 12/17/2013	ASTERA FINANCIAL GROUP, LLC	CRD# 144850	CARMEL, CA
B	10/09/2009 - 03/01/2011	EMERSON EQUITY LLC	CRD# 130032	CARMEL, CA
B	08/27/2002 - 03/18/2008	WELLS FARGO INVESTMENTS, LLC	CRD# 10582	CARMEL, CA
IA	08/27/2002 - 03/18/2008	WELLS FARGO INVESTMENTS, LLC	CRD# 10582	CARMEL, CA
B	05/30/2001 - 08/09/2002	PACIFIC COAST SECURITIES LLC	CRD# 109681	ASTORIA, NY
B	03/11/1999 - 02/14/2001	GOLDEN TRIANGLE SECURITIES LLC	CRD# 45641	CARMEL, CA
B	04/10/1997 - 03/30/1999	BA INVESTMENT SERVICES, INC.	CRD# 12965	OAKLAND, CA
B	05/20/1996 - 10/08/1996	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
05/2017 - Present	First Republic Investment Management, Inc.	Wealth Manager	Y	San Francisco, CA, United States
05/2017 - Present	First Republic Securities Company, LLC	Wealth Manager	Y	San Francisco, CA, United States



Registration & Employment History

EMPLOYMENT HISTORY

Employment Dates	Employer Name	Position	Investment Related	Employer Location
03/2013 - Present	WINGSPAN INSURANCE GROUP, LLC	MANAGING MEMBER, CHIEF INVESTMENT OFFICER	Y	CARMEL, CA, United States
02/2011 - Present	M HOLDINGS SECURITIES, INC.	REGISTERED REPRESENTATIVE	Y	PORTLAND, OR, United States
10/2014 - 04/2017	FIRST REPUBLIC SECURITIES COMPANY, LLC	LICENSED PORTFOLIO MANAGER	Y	SAN FRANCISCO, CA, United States
06/2012 - 04/2017	FIRST REPUBLIC INVESTMENT MANAGEMENT, INC.	MANAGING DIRECTOR	Y	SAN FRANCISCO, CA, 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) I am a registered representative of First Republic Securities Company, LLC, an SEC and FINRA registered broker-dealer. I am an associated person of First Republic Investment Management, Inc. , an SEC registered investment adviser. The majority of my time is devoted to activities for First Republic Investment Management, Inc. Both First Republic Securities Company, LLC and First Republic Investment Management, Inc. are under 'common control' of First Republic Bank.
- (2) First Republic Investment Management, Inc.; 111 Pine Street, San Francisco CA 94111; 07/2012; Managing Director, Portfolio Manager; Portfolio manager to individually managed investment portfolios; Investment Related; 120 hours/month; 120 hours/month during business hours; Commissions.
- (3) Golden Gate University; 536 Mission Street, San Francisco, CA 94105; 06/30/2017; Advisory Board Member, Ageno School of Business; Work with the Dean and other faculty on the curriculum, assist in marketing the program and building up alumni support; Not Investment Related; 1 hour/month; 1 hour/month during business hours; No Compensation.
- (4) First Republic Investment Management dba Eagle Private Insurance; 111 Pine Street, San Francisco CA 94111; 01/2018; Estate & Business Planning Specialist; Provide insurance and financial planning services for prospects and clients of First Republic Bank; Investment Related; 15 hours/month; 15 hours/month during business hours; Commissions, Referral Fees.
- 5) CSU Monterey Bay/ investment related?: yes/ 100 campus center, seaside, ca, 93955/Educational Establishment/Member of the Investment Committee/Member of a committee with management / supervisor functions/Sit on the investment committee/start date: 6/3/2014/ time reqd during working hours?: yes
- 6) Diocese of Monterey, Member of investment committee, Member of a committee representing the interests of any third party, start date-5/2/2012, Monterey ca United States-93940



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	2

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 2

Reporting Source:	Individual
Regulatory Action Initiated By:	New York State Department of Financial Services
Sanction(s) Sought:	Civil and Administrative Penalty(ies)/Fine(s)
Date Initiated:	07/27/2016
Docket/Case Number:	2016-0065-S
Employing firm when activity occurred which led to the regulatory action:	First Republic Securities Company, LLC
Product Type:	Insurance
Allegations:	New York Department of Financial Services found Brian Corley provided materially incomplete information as relates to his insurance relicensing application dated November 4, 2013 by failing to disclose a prior administrative action. The New York Department of Financial Services imposed a fine of \$1,500.00 on Mr. Corley and CH Insurance Services, LLC, as well as Kathryn Harrison as proposed sublicensee.
Current Status:	Final
Resolution:	Stipulation and Consent
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:	07/29/2016



Sanctions Ordered: Civil and Administrative Penalty(ies)/Fine(s)

Monetary Sanction 1 of 1

Monetary Related Sanction: Civil and Administrative Penalty(ies)/Fine(s)

Total Amount: \$1,500.00

Portion Levied against individual: \$0.00

Payment Plan: None

Is Payment Plan Current: Yes

Date Paid by individual:

Was any portion of penalty waived? No

Amount Waived:

Broker Statement The incorrect response to one question on the New York application was inadvertent and the result of an administrative error by an employee in the licensing and registration department. New York was the only State in which this administrative error was made and all other States and applications were submitted with the proper disclosures.

Disclosure 2 of 2

Reporting Source: Regulator

Regulatory Action Initiated By: NATIONAL ASSOCIATION OF SECURITIES DEALERS

Sanction(s) Sought: Civil and Administrative Penalt(ies) /Fine(s)

Other Sanction(s) Sought:

Date Initiated: 03/22/2001

Docket/Case Number: C01010002

Employing firm when activity occurred which led to the regulatory action:

Product Type: No Product

Other Product Type(s):

Allegations: NASD RULE 2110 - A MEMBER FIRM, ACTING THROUGH RESPONDENT CORLEY, ENGAGED IN PRINCIPAL TRADING IN CONTRAVENTION OF ITS MEMBERSHIP AGREEMENT.

Current Status: Final

Resolution: Acceptance, Waiver & Consent(AWC)

Resolution Date: 03/22/2001

Sanctions Ordered: Monetary/Fine \$2,500.00

Other Sanctions Ordered:

Sanction Details: FINED \$2,500, JOINTLY AND SEVERALLY.



Reporting Source:	Individual
Regulatory Action Initiated By:	NASD REGULATION, INC.
Sanction(s) Sought:	Civil and Administrative Penalt(ies) /Fine(s)
Other Sanction(s) Sought:	
Date Initiated:	12/26/2000
Docket/Case Number:	AWC NO. 01010002
Employing firm when activity occurred which led to the regulatory action:	GOLDEN TRIANGLE SECURITIES LLC
Product Type:	No Product
Other Product Type(s):	
Allegations:	ALLEGATIONS INVOLVING VIOLATIONS OF A MEMBERSHIP AGREEMENT.
Current Status:	Final
Resolution:	Acceptance, Waiver & Consent(AWC)
Resolution Date:	03/20/2001
Sanctions Ordered:	Monetary/Fine \$2,500.00
Other Sanctions Ordered:	
Sanction Details:	FINE WAS \$2,500, WHICH WAS PAID ON APRIL 16, 2001.
Broker Statement	AS A RESULT OF A LETTER OF ACCEPTANCE, WAIVER AND CONSENT, MR. CORLEY WAS FOUND TO BE JOINTLY AND SEVERALLY LIABLE FOR VIOLATING MEMBERSHIP AGREEMENT.



End of Report

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