IAPD Report

Brian James Boccio

CRD# 3001219

Section Title	Page(s)

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 Boccio (CRD# 3001219)

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 **03/18/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
IA	CHARLES SCHWAB & CO., INC.	CRD# 5393	03/29/2017
B	CHARLES SCHWAB & CO., INC.	CRD# 5393	03/31/2017

QUALIFICATIONS

This representative is currently registered in **2** SRO(s) and **52** 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	USAA FINANCIAL ADVISORS, INC.	129035	SAN FRANCISCO, CA	12/12/2014 - 07/22/2016
IA	USAA FINANCIAL PLANNING SERVICES	106352	SAN FRANCISCO, CA	12/12/2014 - 07/22/2016
B	J.P. MORGAN SECURITIES LLC	79	PLEASANTON, CA	10/01/2012 - 10/21/2014

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

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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 **52** jurisdiction(s) and 2 SRO(s) through his or her employer(s).

Employment 1 of 1

Firm Name: **CHARLES SCHWAB & CO., INC.**
Main Address: 9800 SCHWAB WAY
LONE TREE, CO 80124
Firm ID#: 5393

	Regulator	Registration	Status	Date
B	FINRA	General Securities Principal	Approved	03/31/2017
B	FINRA	General Securities Representative	Approved	03/31/2017
B	FINRA	Municipal Securities Principal	Approved	03/31/2017
B	FINRA	Municipal Securities Representative	Approved	03/31/2017
B	FINRA	Registered Options Principal	Approved	03/31/2017
B	FINRA	General Securities Sales Supervisor	Approved	10/29/2025
B	Nasdaq Stock Market	General Securities Principal	Approved	03/31/2017
B	Nasdaq Stock Market	General Securities Representative	Approved	03/31/2017
B	Nasdaq Stock Market	Registered Options Principal	Approved	03/31/2017
B	Nasdaq Stock Market	General Securities Sales Supervisor	Approved	10/29/2025
B	Alabama	Agent	Approved	12/20/2019
B	Alaska	Agent	Approved	01/11/2021
B	Arizona	Agent	Approved	01/02/2020

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Qualifications

	Regulator	Registration	Status	Date
B	Arkansas	Agent	Approved	01/06/2021
IA	California	Investment Adviser Representative	Approved	03/29/2017
B	California	Agent	Approved	04/03/2017
B	Colorado	Agent	Approved	01/06/2021
B	Connecticut	Agent	Approved	12/23/2019
B	Delaware	Agent	Approved	12/23/2019
B	District of Columbia	Agent	Approved	01/06/2021
B	Florida	Agent	Approved	12/23/2019
B	Georgia	Agent	Approved	01/08/2020
B	Hawaii	Agent	Approved	01/29/2021
B	Idaho	Agent	Approved	01/13/2021
B	Illinois	Agent	Approved	02/04/2020
B	Indiana	Agent	Approved	12/23/2019
B	Iowa	Agent	Approved	12/20/2019
B	Kansas	Agent	Approved	01/08/2021
B	Kentucky	Agent	Approved	12/23/2019
B	Louisiana	Agent	Approved	01/08/2021
B	Maine	Agent	Approved	01/07/2021
B	Maryland	Agent	Approved	12/23/2019

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Qualifications

	Regulator	Registration	Status	Date
B	Massachusetts	Agent	Approved	01/30/2020
B	Michigan	Agent	Approved	12/26/2019
B	Minnesota	Agent	Approved	01/06/2021
B	Mississippi	Agent	Approved	01/11/2021
B	Missouri	Agent	Approved	12/20/2019
B	Montana	Agent	Approved	12/23/2019
B	Nebraska	Agent	Approved	01/07/2021
B	Nevada	Agent	Approved	01/19/2021
IA	Nevada	Investment Adviser Representative	Approved	11/13/2024
B	New Hampshire	Agent	Approved	12/24/2019
B	New Jersey	Agent	Approved	12/23/2019
B	New Mexico	Agent	Approved	12/23/2019
B	New York	Agent	Approved	04/15/2020
B	North Carolina	Agent	Approved	12/23/2019
B	North Dakota	Agent	Approved	01/12/2021
B	Ohio	Agent	Approved	12/20/2019
B	Oklahoma	Agent	Approved	01/12/2021
B	Oregon	Agent	Approved	01/02/2020
B	Pennsylvania	Agent	Approved	12/23/2019

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Qualifications

	Regulator	Registration	Status	Date
B	Puerto Rico	Agent	Approved	01/20/2021
B	Rhode Island	Agent	Approved	01/06/2021
B	South Carolina	Agent	Approved	12/23/2019
B	South Dakota	Agent	Approved	01/02/2020
B	Tennessee	Agent	Approved	01/07/2021
IA	Tennessee	Investment Adviser Representative	Approved	03/19/2026
B	Texas	Agent	Approved	12/22/2019
B	Utah	Agent	Approved	01/02/2020
B	Vermont	Agent	Approved	01/06/2021
B	Virginia	Agent	Approved	01/06/2021
B	Washington	Agent	Approved	12/20/2019
B	West Virginia	Agent	Approved	01/14/2021
B	Wisconsin	Agent	Approved	12/20/2019
B	Wyoming	Agent	Approved	05/24/2023

Branch Office Locations

CHARLES SCHWAB & CO., INC.
Nashville, TN

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

Principal/Supervisory Exams

	Exam	Category	Date
B	General Securities Sales Supervisor - General Module Examination (S10)	Series 10	10/29/2025
B	General Securities Sales Supervisor - Options Module Examination (S9)	Series 9	10/29/2025
B	Registered Options Principal Examination (S4)	Series 4	02/08/2008
B	Municipal Securities Principal Examination (S53)	Series 53	04/12/2006
B	General Securities Principal Examination (S24)	Series 24	11/01/2005

General Industry/Product Exams

	Exam	Category	Date
B	Municipal Securities Representative Examination (S52TO)	Series 52TO	01/02/2023
B	Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
B	Futures Managed Funds Examination (S31)	Series 31	07/15/2004
B	General Securities Representative Examination (S7)	Series 7	08/25/1998

State Securities Law Exams

	Exam	Category	Date
IA B	Uniform Combined State Law Examination (S66)	Series 66	04/26/2007
B	Uniform Securities Agent State Law Examination (S63)	Series 63	01/21/1999

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PROFESSIONAL DESIGNATIONS

This section details that the representative has reported **0** professional designation(s).

No information reported.

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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	12/12/2014 - 07/22/2016	USAA FINANCIAL ADVISORS, INC.	CRD# 129035	SAN FRANCISCO, CA
IA	12/12/2014 - 07/22/2016	USAA FINANCIAL PLANNING SERVICES	CRD# 106352	SAN FRANCISCO, CA
B	10/01/2012 - 10/21/2014	J.P. MORGAN SECURITIES LLC	CRD# 79	PLEASANTON, CA
IA	10/01/2012 - 10/21/2014	J.P. MORGAN SECURITIES LLC	CRD# 79	PLEASANTON, CA
B	03/05/2010 - 10/01/2012	CHASE INVESTMENT SERVICES CORP.	CRD# 25574	HERCULES, CA
IA	03/05/2010 - 10/01/2012	CHASE INVESTMENT SERVICES CORP.	CRD# 25574	HERCULES, CA
B	05/22/2009 - 03/05/2010	WADDELL & REED, INC.	CRD# 866	STOCKTON, CA
IA	05/22/2009 - 03/05/2010	WADDELL & REED, INC.	CRD# 866	STOCKTON, CA
B	09/09/2005 - 02/09/2009	BANC OF AMERICA INVESTMENT SERVICES, INC.	CRD# 16361	WALNUT CREEK, CA
IA	09/09/2005 - 02/09/2009	BANC OF AMERICA INVESTMENT SERVICES, INC.	CRD# 16361	WALNUT CREEK, CA
IA	02/16/1999 - 09/27/2005	CITIGROUP GLOBAL MARKETS INC.	CRD# 7059	WALNUT CREEK, CA
B	01/11/1999 - 09/27/2005	CITIGROUP GLOBAL MARKETS INC.	CRD# 7059	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
11/2016 - Present	Charles Schwab & Co., Inc.	Investment Adviser Representative / Registered Representative	Y	San Ramon, CA, United States
08/2016 - 10/2016	Unemployed	Unemployed	N	Walnut Creek, CA, United States

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Registration & Employment History

EMPLOYMENT HISTORY

Employment Dates	Employer Name	Position	Investment Related	Employer Location
09/2014 - 07/2016	USAA FINANCIAL ADVISORS, INC.	REGISTERED REP	Y	SAN FRANCISCO, CA, United States
09/2014 - 07/2016	USAA FINANCIAL PLANNING SERVICES	DIR WEALTH MANAGEMENT	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.

No information reported.

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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.

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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:	OREGON DEPARTMENT OF CONSUMER & BUSINESS SERVICES, DIVISION OF FINANCIAL REGULATION
Sanction(s) Sought:	Cease and Desist Civil and Administrative Penalty(ies)/Fine(s)
Date Initiated:	07/22/2015
Docket/Case Number:	S-15-0077
URL for Regulatory Action:	
Employing firm when activity occurred which led to the regulatory action:	CHASE INVESTMENT SERVICES CORPORATION
Product Type:	No Product
Allegations:	FAILURE TO TIMELY AMEND SECTION 14 OF CRD FORM U-4 TO UPDATE FINANCIAL DISCLOSURES.
Current Status:	Final
Resolution:	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:	07/22/2015
Sanctions Ordered:	Cease and Desist

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	Civil and Administrative Penalty(ies)/Fine(s)
Monetary Sanction 1 of 1	
Monetary Related Sanction:	Civil and Administrative Penalty(ies)/Fine(s)
Total Amount:	$5,000.00
Portion Levied against individual:	$2,500.00
Payment Plan:	$2,500 DUE AT SIGNING; $2,500 SUSPENDED FOR 3 YEARS AND PERMANENTLY WAIVED IF NO FURTHER VIOLATIONS
Is Payment Plan Current:	Yes
Date Paid by individual:	07/16/2015
Was any portion of penalty waived?	Yes
Amount Waived:	$2,500.00
Regulator Statement	Brian J. Boccio completed a short sale of his personal residence on or around 7/26/11, which constituted a "compromise with creditors" and a material change to his Oregon salesperson and investment advisor application. Pursuant to ORS 59.175(6) and OAR 441-175-0105(2), Boccio was required to amend his Oregon application, by reporting the short sale in the CRD Form U-4, within 30 days from the date of occurrence. Boccio did not report the short sale until 12/12/14

Reporting Source:	Individual
Regulatory Action Initiated By:	OREGON DIVISION OF FINANCE AND CORPORATE SECURITIES
Sanction(s) Sought:	Cease and Desist Civil and Administrative Penalty(ies)/Fine(s)
Date Initiated:	07/22/2015
Docket/Case Number:	S-15-0077
Employing firm when activity occurred which led to the regulatory action:	J.P. MORGAN CHASE
Product Type:	No Product
Allegations:	Consent order entered into was in relation to a failure to timely report a U4 update under Oregon statutes. It was in reference to a short sale of property.
Current Status:	Final
Resolution:	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:	07/22/2015
Sanctions Ordered:	Cease and Desist Civil and Administrative Penalty(ies)/Fine(s)

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Monetary Sanction 1 of 1

Monetary Related Sanction:	Civil and Administrative Penalty(ies)/Fine(s)
Total Amount:	$5,000.00
Portion Levied against individual:	$2,500.00
Payment Plan:	
Is Payment Plan Current:	
Date Paid by individual:	07/16/2015
Was any portion of penalty waived?	Yes
Amount Waived:	$2,500.00

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End of Report

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