



IAPD Report

BRIAN THOMAS SCHMIDT

CRD# 3014443

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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 SCHMIDT (CRD# 3014443)

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 **12/16/2025**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
IA	AVANTAX PLANNING PARTNERS, INC.	CRD# 106237	03/18/2021
B	CETERA WEALTH SERVICES, LLC	CRD# 13572	04/02/2025
IA	CETERA INVESTMENT ADVISERS LLC	CRD# 105644	09/05/2025

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **1** 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	CETERA ADVISORS LLC	10299	DALLAS, TX	04/02/2025 - 12/16/2025
B	CETERA FINANCIAL SPECIALISTS LLC	10358	DALLAS, TX	04/02/2025 - 12/16/2025
B	CETERA INVESTMENT SERVICES LLC	15340	DALLAS, TX	04/02/2025 - 12/16/2025

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

Employment 1 of 3

Firm Name: **CETERA WEALTH SERVICES, LLC**
Main Address: 2301 ROSECRANS AVE #5100
EL SEGUNDO, CA 90245
Firm ID#: 13572

Regulator	Registration	Status	Date
B FINRA	General Securities Representative	Approved	04/02/2025
B Texas	Agent	Approved	09/05/2025

Branch Office Locations

CETERA ADVISOR NETWORKS LLC
3200 OLYMPUS BLVD
STE 100
DALLAS, TX 75019

CETERA ADVISOR NETWORKS LLC
CARROLLTON, TX

CETERA ADVISOR NETWORKS LLC
3200 OLYMPUS BLVD
SUITE 100
DALLAS, TX 75019

Employment 2 of 3

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 Texas	Investment Adviser Representative	Approved	09/05/2025

Branch Office Locations

CETERA INVESTMENT ADVISERS LLC
CARROLLTON, TX

CETERA INVESTMENT ADVISERS LLC
3200 OLYMPUS BLVD



Qualifications

SUITE 100
DALLAS, TX 75019

Employment 3 of 3

Firm Name: **AVANTAX PLANNING PARTNERS, INC.**
Main Address: 3390 ASBURY ROAD
DUBUQUE, IA 52002-2801
Firm ID#: 106237

Regulator	Registration	Status	Date
 Texas	Investment Adviser Representative	Approved	03/18/2021

Branch Office Locations

AVANTAX PLANNING PARTNERS, INC.
3200 OLYMPUS BLVD
SUITE 100
DALLAS, TX 75019

AVANTAX PLANNING PARTNERS, INC.
CARROLLTON, TX



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

Principal/Supervisory Exams


Exam	Category	Date
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No information reported.

General Industry/Product Exams



Exam	Category	Date
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 Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
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 General Securities Representative Examination (S7)	Series 7	04/08/1998
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State Securities Law Exams

Exam	Category	Date
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  Uniform Combined State Law Examination (S66)	Series 66	05/10/2002
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 Uniform Securities Agent State Law Examination (S63)	Series 63	04/22/1998
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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	04/02/2025 - 12/16/2025	CETERA ADVISORS LLC	CRD# 10299	DALLAS, TX
B	04/02/2025 - 12/16/2025	CETERA FINANCIAL SPECIALISTS LLC	CRD# 10358	DALLAS, TX
B	04/02/2025 - 12/16/2025	CETERA INVESTMENT SERVICES LLC	CRD# 15340	DALLAS, TX
IA	04/08/2015 - 09/05/2025	AVANTAX ADVISORY SERVICES	CRD# 104556	CARROLLTON, TX
B	02/03/2015 - 09/05/2025	AVANTAX INVESTMENT SERVICES, INC.	CRD# 13686	DALLAS, TX
B	08/22/2014 - 09/30/2014	E*TRADE SECURITIES LLC	CRD# 29106	DALLAS, TX
IA	05/21/2002 - 07/09/2014	STRATEGIC ADVISERS, INC.	CRD# 104555	WESTLAKE, TX
B	07/17/2000 - 07/09/2014	FIDELITY BROKERAGE SERVICES LLC	CRD# 7784	WESTLAKE, TX
IA	04/26/2005 - 02/01/2006	FIDELITY PERSONAL TRUST COMPANY, FSB	CRD# 109516	WESTLAKE, TX
B	03/25/1999 - 05/26/2000	BANC ONE SECURITIES CORPORATION	CRD# 16999	CHICAGO, IL
B	04/09/1998 - 03/02/1999	FIDELITY BROKERAGE SERVICES, INC.	CRD# 7784	SMITHFIELD, RI

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
09/2025 - Present	CETERA INVESTMENT ADVISERS LLC	INVESTMENT ADVISOR REPRESENTATIVE	Y	SCHAUMBURG, IL, United States
09/2025 - Present	CETERA WEALTH SERVICES, LLC	FINANCIAL PLANNING ANALYST	Y	DALLAS, TX, United States



Registration & Employment History

EMPLOYMENT HISTORY

Employment Dates	Employer Name	Position	Investment Related	Employer Location
04/2025 - Present	CETERA ADVISORS LLC	Manager, Advanced Planning Solutions, Tax Channel	Y	GREENWOOD VILLAGE, CO, United States
04/2025 - Present	CETERA FINANCIAL SPECIALISTS LLC	Manager, Advanced Planning Solutions, Tax Channel	Y	SCHAUMBURG, IL, United States
04/2025 - Present	CETERA INVESTMENT SERVICES LLC	Manager, Advanced Planning Solutions, Tax Channel	Y	ST CLOUD, MN, United States
04/2025 - Present	CETERA WEALTH SERVICES, LLC	Manager, Advanced Planning Solutions, Tax Channel	Y	EL SEGUNDO, CA, United States
09/2024 - Present	FIA	Registered Rep	Y	Dallas, TX, United States
03/2021 - Present	AVANTAX PLANNING PARTNERS INC	Manager, Advanced Planning Solutions, Tax Channel	Y	DALLAS, TX, United States
03/2015 - 09/2025	Avantax Insurance Agency and/or Avantax Insurance Services	Agent	Y	Dallas, TX, United States
12/2014 - 09/2025	AVANTAX ADVISORY SERVICES	Manager, Advanced Planning Solutions, Tax Channel	Y	DALLAS, TX, United States
12/2014 - 09/2025	AVANTAX INVESTMENT SERVICES, INC	Manager, Advanced Planning Solutions, Tax Channel	Y	DALLAS, TX, 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.



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
Termination	2

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 2

Reporting Source: Firm

Firm Name: FIDELITY BROKERAGE SERVICES LLC

Termination Type: Voluntary Resignation

Termination Date: 06/10/2014

Allegations: ALLEGATIONS THAT REPRESENTATIVE COMPLETED OR APPROVED INTERNAL FORMS FOR MANAGED ACCOUNTS WITHOUT COMPLETING INTERNALLY REQUIRED PROFILE QUESTIONNAIRE WITH THE ACCOUNT HOLDER OR WITHOUT HAVING DISCUSSIONS WITH SPOUSE/ACCOUNT HOLDERS AND INDICATING IN INTERNAL RECORDS THAT REPRESENTATIVE COMPLETED CERTAIN TASKS FOR CUSTOMERS' ACCOUNTS WHEN HE HAD NOT.

Product Type: No Product

Reporting Source: Individual

Firm Name: STRATEGIC ADVISERS

Termination Type: Voluntary Resignation

Termination Date: 06/10/2014

Allegations: ALLEGATIONS THAT REPRESENTATIVE COMPLETED OR APPROVED INTERNAL FORMS FOR MANAGED ACCOUNTS WITHOUT COMPLETING INTERNALLY REQUIRED PROFILE QUESTIONNAIRE WITH THE ACCOUNT HOLDER OR WITHOUT HAVING DISCUSSIONS WITH SPOUSE/ACCOUNT HOLDERS AND INDICATING IN INTERNAL RECORDS THAT REPRESENTATIVE COMPLETED CERTAIN TASKS FOR CUSTOMERS' ACCOUNTS WHEN HE HAD NOT.

Product Type: No Product



Broker Statement I FEEL THE ALLEGATIONS ARE NOT WARRANTED. I NEVER COMPLETED ANY ACCOUNT REVIEWS OR INDICATED THAT I DID SO WITHOUT SPEAKING TO THE CLIENT OR SPOUSE FIRST. MY SUPERVISOR FELT THAT I WAS NOT COVERING EVERY QUESTION ON THE PROFILE FOR MANAGED PORTFOLIOS WHILE I FEEL I WAS ADDRESSING THE RELEVANT AND IMPORTANT AREAS TO DETERMINE IF A PORTFOLIO CHANGE WAS WARRANTED OR IF WE SHOULD CONTINUE WITH THE CURRENT STRATEGY. I CONSISTENTLY ADDRESSED RISK TOLERANCE, TIME HORIZON AND GOAL INFORMATION. NO CUSTOMER COMPLAINTS OR CONCERNS WERE BROUGHT AGAINST ME RELATED TO THIS MATTER AND I FEEL THAT I KNEW MY CLIENTS NEEDS AND INTENTIONS VERY WELL. NO CORRECTIVE ACTION HAD BEEN TAKEN WITH ME PRIOR TO THIS MATTER.

Disclosure 2 of 2

Reporting Source: Firm
Firm Name: FIDELITY BROKERAGE SERVICES LLC
Termination Type: Voluntary Resignation
Termination Date: 06/10/2014

Allegations: ALLEGATIONS THAT REPRESENTATIVE COMPLETED OR APPROVED INTERNAL FORMS FOR MANAGED ACCOUNTS WITHOUT COMPLETING INTERNALLY REQUIRED PROFILE QUESTIONNAIRE WITH THE ACCOUNT HOLDER OR WITHOUT HAVING DISCUSSIONS WITH SPOUSE/ACCOUNT HOLDERS AND INDICATING IN INTERNAL RECORDS THAT REPRESENTATIVE COMPLETED CERTAIN TASKS FOR CUSTOMERS' ACCOUNTS WHEN HE HAD NOT.

Product Type: No Product

Reporting Source: Individual
Firm Name: FIDELITY BROKERAGE SERVICES LLC
Termination Type: Voluntary Resignation
Termination Date: 06/10/2014

Allegations: ALLEGATIONS THAT REPRESENTATIVE COMPLETED OR APPROVED INTERNAL FORMS FOR MANAGED ACCOUNTS WITHOUT COMPLETING INTERNALLY REQUIRED PROFILE QUESTIONNAIRE WITH THE ACCOUNT HOLDER OR WITHOUT HAVING DISCUSSIONS WITH SPOUSE/ACCOUNT HOLDERS AND INDICATING IN INTERNAL RECORDS THAT REPRESENTATIVE COMPLETED CERTAIN TASKS FOR CUSTOMERS' ACCOUNTS WHEN HE HAD NOT.

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I FEEL THAT I KNEW MY CLIENTS NEEDS AND INTENTIONS VERY WELL. NO CORRECTIVE ACTION HAD BEEN TAKEN WITH ME PRIOR TO THIS MATTER.



End of Report

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