



IAPD Report

BRIAN MICHAEL MEGIBOW

CRD# 3083501

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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 MICHAEL MEGIBOW (CRD# 3083501)

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 **06/04/2025**.

CURRENT EMPLOYERS

This individual is not currently registered as an Investment Adviser Representative.

QUALIFICATIONS

This individual is not currently registered as an Investment Adviser Representative.

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	FOURSTAR WEALTH ADVISORS, LLC	169613	Fort Myers, FL	01/29/2025 - 03/05/2025
IA	AMERIPRISE FINANCIAL SERVICES, LLC	6363	Fort Myers, FL	05/25/2017 - 01/16/2025
IA	SUNTRUST ADVISORY SERVICES, INC.	283390	TAMPA, FL	11/07/2016 - 06/01/2017

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
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 not currently registered as an Investment Adviser Representative.



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, 0 general industry/product exams, and 1 state securities law exam.

Principal/Supervisory Exams

Exam	Category	Date
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No information reported.

General Industry/Product Exams

Exam	Category	Date
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No information reported.

State Securities Law Exams

Exam	Category	Date
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IA

B

Uniform Combined State Law Examination (S66)

Series 66

04/07/1999



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	01/29/2025 - 03/05/2025	FOURSTAR WEALTH ADVISORS, LLC	CRD# 169613	Fort Myers, FL
IA	05/25/2017 - 01/16/2025	AMERIPRISE FINANCIAL SERVICES, LLC	CRD# 6363	Fort Myers, FL
IA	11/07/2016 - 06/01/2017	SUNTRUST ADVISORY SERVICES, INC.	CRD# 283390	TAMPA, FL
IA	05/12/2005 - 12/31/2016	SUNTRUST INVESTMENT SERVICES, INC.	CRD# 17499	TAMPA, FL
IA	10/16/2003 - 01/24/2005	AMSOUTH INVESTMENT MANAGEMENT COMPANY LLC	CRD# 111757	FORT MYERS, FL
IA	03/14/2003 - 10/15/2003	AMSOUTH INVESTMENT SERVICES, INC.	CRD# 15692	FT. MYERS, FL

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
04/2025 - Present	AUSDAL FINANCIAL PARTNERS, INC	REGISTERED REPRESENTATIVE	Y	DAVENPORT, IA, United States
12/2024 - 03/2025	FOURSTAR WEALTH ADVISORS, LLC	INVESTMENT ADVISER REPRESENTATIVE	Y	FORT MYERS, FL, United States
03/2020 - 12/2024	Ameriprise Financial Services, LLC	Registered Rep	Y	Fort Myers, FL, United States
05/2017 - 03/2020	Ameriprise Financial Services Inc.	Registered Rep	Y	Fort Myers, FL, United States
10/2016 - 05/2017	SUNTRUST INVESTMENT SERVICES, INC.	PFA	Y	ATLANTA, GA, United States
08/2016 - 05/2017	SunTrust Advisory Services	Investment Advisory Representative	Y	Atlanta, GA, United States
10/2012 - 10/2016	SUNTRUST INVESTMENT SERVICES, INC	FINANCIAL ADVISOR	Y	ATLANTA, GA, 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.

COMPREHENSIVE ENTERPRISE SERVICES, LLC; NOT INVESTMENT RELATED; FORT MYERS, FL; BUSINESS MANAGEMENT; MANAGER; ACTIVITY BEGAN 05/2017; I DEVOTE APPX 20 HOURS PER MONTH TO THIS ACTIVITY WITH NONE OF THOSE HOURS DURING TRADING HOURS; BOOKKEEPING, HUMAN RESOURCES AND OFFICE MANAGEMENT.

OUTSIDE INSURANCE SALES; INVESTMENT RELATED; FORT MYERS, FL; INSURANCE; AGENT; ACTIVITY BEGAN 04/2025; I DEVOTE APPX 10 HOURS TO THIS ACTIVITY WITH LESS THAN AN HOUR DURING TRADING HOURS; IDENTIFY INSURANCE NEEDS AND PRESENT INSURANCE SOLUTIONS TO CLIENTS.



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
Termination	2

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

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	Suntrust Investment Services, Inc.
Allegations:	The client's attorney alleges the four annuity purchases were unsuitable.
Product Type:	Annuity-Variable
Alleged Damages:	\$22,000.00
Alleged Damages Amount Explanation (if amount not exact):	This is the firm's "Good faith Estimate" of losses for FINRA reporting purposes.
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:	03/31/2016
Complaint Pending?	No
Status:	Settled
Status Date:	11/28/2016
Settlement Amount:	\$25,000.00



Individual Contribution Amount: \$0.00

Broker Statement I absolutely deny this allegation. The recommendation was suitable and understood by the client. Additionally, the suitability was approved by the firm's investment review process.

Disclosure 2 of 3

Reporting Source: Firm

Employing firm when activities occurred which led to the complaint: MORGAN STANLEY

Allegations: CUSTOMERS CLAIM THAT BROKER WAS INEXPERIENCED, THAT CUSTOMERS DID NOT RECEIVE ENOUGH IPO SHARES, AND THAT CUSTOMERS WERE CHARGED COMMISSIONS WHEN THEY SHOULD NOT HAVE BEEN. MORGAN STANLEY DENIES THE ALLEGATIONS ENTIRETY. CUSTOMERS' ACCOUNTS WERE PROPERLY HANDLED.

Product Type: Other

Other Product Type(s): EQUITIES

Alleged Damages: \$0.00

Customer Complaint Information

Date Complaint Received: 05/04/2001

Complaint Pending? No

Status: Denied

Status Date: 05/14/2001

Settlement Amount:

Individual Contribution Amount:

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Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: MORGAN STANLEY

Allegations: CUSTOMERS CLAIM THAT BROKER WAS INEXPERIENCED THAT CUSTOMERS DID NOT RECEIVE ENOUGH IPO SHARES AND THAT CUSTOMERS WERE CHARGED COMMISSIONS WHEN THEY SHOULD NOT HAVE BEEN. MORGAN STANLEY DENIES THE ALLEGATIONS ENTIRELY, CUSTOMERS' ACCOUNTS WERE PROPERLY HANDLED.

Product Type: Options

Other Product Type(s): EQUITIES

Alleged Damages: \$0.00

Customer Complaint Information

Date Complaint Received: 05/04/2001

Complaint Pending? No



Status: Denied
Status Date: 05/14/2001

Settlement Amount:
Individual Contribution Amount:

Disclosure 3 of 3

Reporting Source: Firm
Employing firm when activities occurred which led to the complaint: MORGAN STANLEY DEAN WITTER

Allegations: CUSTOMER ALLEGED THAT HIS ACCOUNT WAS MISMANAGED. ACCOUNT LOSSES EXCEEDED \$5,000 ALLEGED COMPENSATORY DAMAGES NOT STATED.

Product Type: Equity Listed (Common & Preferred Stock)

Alleged Damages: \$0.00

Customer Complaint Information

Date Complaint Received: 11/28/2000

Complaint Pending? No

Status: Denied

Status Date: 01/29/2001

Settlement Amount:

Individual Contribution Amount:

Firm Statement MORGAN STANLEY DEAN WITTER DENIED THE COMPLAINT. MR MEGIBOW STATES THAT HE STRONGLY DENIES THE CUSTOMER'S ALLEGATIONS WHICH AROSE ONLY AFTER THE RECENT MARKET DOWNTURN.

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Reporting Source: Individual
Employing firm when activities occurred which led to the complaint: MORGAN STANLEY DEAN WITTER

Allegations: CLIENT CLAIMED MISMANAGEMENT OF ACCOUNT FROM 11/99-11/00. ACCOUNT LOSSES EXCEEDED \$5,000. ALLEGED COMPENSATORY DAMAGES NOT STATED.

Product Type: Equity Listed (Common & Preferred Stock)

Alleged Damages: \$0.00

Customer Complaint Information

Date Complaint Received: 11/28/2000

Complaint Pending? No

Status: Denied

Status Date: 01/29/2001



Settlement Amount:

**Individual Contribution
Amount:**

Broker Statement

I STRONGLY DENY THE CUSTOMERS ALLEGATIONS WHICH AROSE ONLY
AFTER THE RECENT MARKET DOWNTURN. MORGAN STANLEY DEAN
WITTER DENIED THE COMPLAINT.



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: AMERIPRISE FINANCIAL SERVICES, LLC
Termination Type: Voluntary Resignation
Termination Date: 12/17/2024
Allegations: Registered representative voluntarily resigned while the Firm was reviewing his trading strategy and client contact.
Product Type: Equity Listed (Common & Preferred Stock)
Options

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Reporting Source: Individual
Firm Name: AMERIPRISE FINANCIAL SERVICES, LLC
Termination Type: Voluntary Resignation
Termination Date: 12/17/2024
Allegations: Registered representative voluntarily resigned while the Firm was reviewing his trading strategy and client contact.
Product Type: Equity Listed (Common & Preferred Stock)
Options

Disclosure 2 of 2

Reporting Source: Firm
Firm Name: AMSOUTH INVESTMENT SERVICES ("AIS")
Termination Type: Discharged
Termination Date: 01/13/2005
Allegations: AN AFFILIATE OF AMSOUTH INVESTMENT MANAGEMENT COMPANY, AIS, TERMINATED MR. MEGIBOW FOR VIOLATION OF AIS POLICIES AND PROCEDURES AND INDUSTRY STANDARDS OF CONDUCT. MR. MEGIBOW PLACED TRADES TO PURCHASE OPTION CONTRACTS IN HIS PERSONAL ACCOUNT BEFORE MAKING A STOCK PURCHASE FOR A POTENTIAL CUSTOMER. AIS ALSO BELIEVES THAT THE POTENTIAL CUSTOMER MAY HAVE BEEN AWARE OF MATERIAL NON-PUBLIC INFORMATION TO BE RELEASED AT A LATER DATE. AIS WAS UNABLE TO DETERMINE THAT MR. MEGIBOW WAS AWARE OF POSSIBLE NON-PUBLIC MATERIAL INFORMATION. ALSO, AIS WAS UNABLE TO DETERMINE IF NON-PUBLIC MATERIAL INFORMATION EXISTED. IN ACCORDANCE WITH COMPANY POLICY, MR. MEGIBOW WAS TERMINATED FROM AMSOUTH INVESTMENT MANAGEMENT COMPANY AS WELL.
Product Type: Equity - OTC
Other Product Types:

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Reporting Source: Firm

Firm Name: AMSOUTH INVESTMENT SERVICES, INC. ("AIS")

Termination Type: Discharged

Termination Date: 01/13/2005

Allegations: AIS TERMINATED MR. MEGIBOW FOR VIOLATION OF AIS POLICIES AND PROCEDURES AND INDUSTRY STANDARDS OF CONDUCT. MR. MEGIBOW PLACED TRADES TO PURCHASE OPTION CONTRACTS IN HIS PERSONAL ACCOUNT BEFORE MAKING A STOCK PURCHASE FOR A POTENTIAL CUSTOMER. AIS ALSO BELIEVES THAT THE POTENTIAL CUSTOMER MAY HAVE BEEN AWARE OF MATERIAL NON-PUBLIC INFORMATION TO BE RELEASED AT A LATER DATE. AIS WAS UNABLE TO DETERMINE THAT MR. MEGIBOW WAS AWARE OF POSSIBLE NON-PUBLIC MATERIAL INFORMATION. ALSO, AIS WAS UNABLE TO DETERMINE IF NON-PUBLIC MATERIAL INFORMATION EXISTED.

Product Type: Equity - OTC

Other Product Types:

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Reporting Source: Individual

Firm Name: AMSOUTH INVESTMENT SERVICES, INC

Termination Type: Discharged

Termination Date: 01/13/2005

Allegations: AIS TERMINATED MR. MEGIBOW FOR VIOLATION OF AIS POLICIES AND PROCEDURES AND INDUSTRY STANDARDS OF CONDUCT. MR. MEGIBOW PLACED TRADES TO PURCHASED OPTION CONTRACTS IN HIS PERSONAL ACCOUNT BEFORE MAKING A STOCK PURCHASE FOR A POTENTIAL CUSTOMER. AIS ALSO BELIEVES THAT THE POTENTIAL CUSTOMER MAY HAVE BEEN AWARE OF MATERIAL NON-PUBLIC INFORMATION TO BE RELEASED AT A LATER DATE. AIS WAS UNABLE TO DETERMINE THAT MR. MEGIBOW WAS AWARE OF POSSIBLE NON-PUBLIC MATERIAL INFORMATION. ALSO, AIS WAS UNABLE TO DETERMINE IF NON-PUBLIC MATERIAL INFORMATION EXISTED.

Product Type: Equity - OTC

Other Product Types:



End of Report

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