



## IAPD Report

### Brett Bunker

CRD# 3110356

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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

### Brett Bunker (CRD# 3110356)

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 **01/21/2026**.

### CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
<b>B</b>	PARK AVENUE SECURITIES LLC	CRD# 46173	04/04/2025
<b>IA</b>	PARK AVENUE SECURITIES LLC	CRD# 46173	08/06/2025

### QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **3** 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>B</b>	MML INVESTORS SERVICES, INC.	10409	SALT LAKE CITY, UT	01/26/2005 - 02/08/2008
<b>B</b>	MONY SECURITIES CORPORATION	4386	NEW YORK, NY	08/31/1998 - 01/20/2005

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	1
Termination	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 3 jurisdiction(s) and 1 SRO(s) through his or her employer(s).

### Employment 1 of 1

Firm Name: **PARK AVENUE SECURITIES LLC**  
Main Address: 10 HUDSON YARDS  
NEW YORK, NY 10001  
Firm ID#: 46173

	Regulator	Registration	Status	Date
<b>B</b>	FINRA	General Securities Representative	Approved	04/04/2025
<b>B</b>	Colorado	Agent	Approved	08/06/2025
<b>IA</b>	Colorado	Investment Adviser Representative	Approved	08/06/2025
<b>B</b>	Idaho	Agent	Approved	01/21/2026
<b>IA</b>	Idaho	Investment Adviser Representative	Approved	01/21/2026
<b>B</b>	Utah	Agent	Approved	07/08/2025
<b>IA</b>	Utah	Investment Adviser Representative	Approved	08/06/2025

### Branch Office Locations

**PARK AVENUE SECURITIES LLC**  
756 EAST WINCHESTER BLVD  
SUITE 304  
MURRAY, UT 84107

**PARK AVENUE SECURITIES LLC**  
Salt Lake City, UT



## 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, 3 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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 General Securities Representative Examination (S7TO)	Series 7TO	04/04/2025
 Securities Industry Essentials Examination (SIE)	SIE	01/28/2025
 Investment Company Products/Variable Contracts Representative Examination (S6)	Series 6	08/29/1998

#### State Securities Law Exams

Exam	Category	Date
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  Uniform Combined State Law Examination (S66)	Series 66	07/07/2025
 Uniform Securities Agent State Law Examination (S63)	Series 63	08/29/1998

### 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
B	01/26/2005 - 02/08/2008	MML INVESTORS SERVICES, INC.	CRD# 10409	SALT LAKE CITY, UT
B	08/31/1998 - 01/20/2005	MONY SECURITIES CORPORATION	CRD# 4386	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
03/2025 - Present	GUARDIAN LIFE INSURANCE COMPANY	AGENT	Y	SALT LAKE CITY, UT, United States
03/2025 - Present	GUARDIAN LIFE INSURANCE COMPANY	AGENT	Y	MURRAY, UT, United States
03/2025 - Present	PARK AVENUE SECURITIES	REGISTERED REPRESENTATIVE	Y	SALT LAKE CITY, UT, United States
03/2025 - Present	PARK AVENUE SECURITIES	AGENT	Y	MURRAY, UT, United States
10/2024 - 03/2025	UNEMPLOYED	UNEMPLOYED	N	SALT LAKE CITY, UT, United States
01/2015 - 10/2024	Rocky Mountain Nanotechnology, LLC	Account Manager	N	Salt Lake City, UT, 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) broker/independent contractor-independent contractor, for life insurance and fixed annuities to fill the needs of clients, Start date: 08/21/2025, Address: 756 E Winchester St. Ste 304 Murray, Utah 84107, 5 total hours per month; 5 during securities trading hours, Investment related, Less than 10% annual compensation,



## 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	1
Termination	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 1

<b>Reporting Source:</b>	Individual
<b>Employing firm when activities occurred which led to the complaint:</b>	MONY LIFE INSURANCE COMPANY
<b>Allegations:</b>	ALLEGES HIS REP STATED HIS INVESTMENT CHOICES WOULD BE OKAY IN THE LONG RUN AND MONEY CAN'T BE LOST IN THE STOCK MARKET WITH A 10 YEAR INVESTMENT. ALLEGES HE LOST \$17,500.
<b>Product Type:</b>	Annuity-Variable
<b>Alleged Damages:</b>	\$17,500.00
<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>	05/26/2005
<b>Complaint Pending?</b>	Yes
<b>Settlement Amount:</b>	
<b>Individual Contribution Amount:</b>	
<b>Broker Statement</b>	The client, reassigned to me as an orphan account, requested an aggressive allocation in a variable annuity. I advised against it based on his age and time



horizon, documented my concerns, and he chose to proceed. A few years later, during a market decline, he alleged I guaranteed no losses over 10 years. I did not make that claim and had clearly stated that past performance does not guarantee future results. No findings of wrongdoing or disciplinary action resulted.



## 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 1

**Reporting Source:** Firm  
**Firm Name:** MML INVESTORS SERVICES, INC.  
**Termination Type:** Discharged  
**Termination Date:** 01/10/2008  
**Allegations:** INVOLVED IN REFERRALS TO OUTSIDE PARTIES ENGAGED IN CAPITAL LEASING AND PROMISSORY NOTE ACTIVITY.  
**Product Type:** Other  
**Other Product Types:** PROMISSORY NOTES, REAL ESTATE LEASING.

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**Reporting Source:** Individual  
**Firm Name:** Mass Mutual  
**Termination Type:** Discharged  
**Termination Date:** 01/10/2008  
**Allegations:** I had not reported on U4 an outside business activity.  
**Product Type:** Other: I received a few referral fees for a few clients that invested in real estate.

### Broker Statement

In 2007, I was registered with MML Investor Services Inc., where I sold investments under my Series 6 license. At that time, I had been in the financial services industry for 10 years, building strong, trusted relationships with my customers and always striving to act in their best interests. During this period, some customers expressed interest in real estate investments. To ensure compliance, I consulted with MML's compliance officer regarding whether it was permissible to refer customers outside the broker-dealer to a real estate investment opportunity and to receive a referral fee. The compliance officer advised me that such referrals were acceptable if the investment was not classified as a security and the referral fee was nominal. To further confirm this, I discussed the matter with the General Agent, who reiterated that the arrangement was permissible. Relying on this guidance, I referred 6 customers to the real estate investment company over several months and received a total of \$2,160 in referral fees for their investments. On January 10, 2008, MassMutual terminated my affiliation with MML Investor Services, Inc. for not providing written notice of these activities, as required by the firm. However, at no point was I informed by the compliance officer or the General Agent of the need to provide written notice, and I acted in good faith based on the guidance they provided. At the time of my termination, I was transitioning out of the industry to pursue other business opportunities, so I did not contest the termination. Through this experience, I now fully understand that I cannot refer customers outside my broker-dealer and receive compensation for those referrals without prior written notice to the Broker Dealer. I am committed to adhering strictly to all regulatory guidelines and maintaining the highest ethical standards in my practice. Sincerely,  
Brett Bunker



## End of Report

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