IAPD Report

BRISEL GAUTHIER

CRD# 3242526

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

User Guidance

www.adviserinfo.sec.gov

Report Summary

BRISEL GAUTHIER (CRD# 3242526)

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 **01/06/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	FIDELITY BROKERAGE SERVICES LLC	CRD# 7784	02/01/2022
IA	STRATEGIC ADVISERS LLC	CRD# 104555	03/31/2025

QUALIFICATIONS

This representative is currently registered in **2** SRO(s) and **53** 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	FIDELITY PERSONAL AND WORKPLACE ADVISORS	288590	BOYNTON BEACH, FL	03/14/2022 - 03/31/2025
IA	AMERIPRISE FINANCIAL SERVICES, LLC	6363	BOCA RATON, FL	08/04/2021 - 01/03/2022
B	AMERIPRISE FINANCIAL SERVICES, LLC	6363	BOCA RATON, FL	08/03/2021 - 01/03/2022

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

Employment 1 of 2

Firm Name: **STRATEGIC ADVISERS LLC**

Main Address: 155 SEAPORT BLVD
BOSTON, MA 02210-2698

Firm ID#: 104555

	Regulator	Registration	Status	Date
IA	Florida	Investment Adviser Representative	Approved	03/31/2025
IA	Texas	Investment Adviser Representative	Restricted Approval	01/06/2026

Branch Office Locations

STRATEGIC ADVISERS LLC
PORT SAINT LUCIE, FL

Employment 2 of 2

Firm Name: **FIDELITY BROKERAGE SERVICES LLC**

Main Address: 900 SALEM STREET
SMITHFIELD, RI 02917

Firm ID#: 7784

	Regulator	Registration	Status	Date
B	FINRA	General Securities Representative	Approved	02/01/2022
B	New York Stock Exchange	General Securities Representative	Approved	02/01/2022
B	Alabama	Agent	Approved	02/01/2022
B	Alaska	Agent	Approved	02/01/2022
B	Arizona	Agent	Approved	02/01/2022

Qualifications

	Regulator	Registration	Status	Date
B	Arkansas	Agent	Approved	02/01/2022
B	California	Agent	Approved	02/01/2022
B	Colorado	Agent	Approved	02/01/2022
B	Connecticut	Agent	Approved	02/01/2022
B	Delaware	Agent	Approved	02/01/2022
B	District of Columbia	Agent	Approved	02/01/2022
B	Florida	Agent	Approved	02/01/2022
B	Georgia	Agent	Approved	02/01/2022
B	Hawaii	Agent	Approved	02/01/2022
B	Idaho	Agent	Approved	02/01/2022
B	Illinois	Agent	Approved	02/08/2022
B	Indiana	Agent	Approved	02/01/2022
B	Iowa	Agent	Approved	02/01/2022
B	Kansas	Agent	Approved	02/01/2022
B	Kentucky	Agent	Approved	02/01/2022
B	Louisiana	Agent	Approved	02/01/2022
B	Maine	Agent	Approved	02/01/2022
B	Maryland	Agent	Approved	02/01/2022
B	Massachusetts	Agent	Approved	02/01/2022

Qualifications

	Regulator	Registration	Status	Date
B	Michigan	Agent	Approved	02/01/2022
B	Minnesota	Agent	Approved	02/01/2022
B	Mississippi	Agent	Approved	02/01/2022
B	Missouri	Agent	Approved	02/01/2022
B	Montana	Agent	Approved	02/01/2022
B	Nebraska	Agent	Approved	02/01/2022
B	Nevada	Agent	Approved	02/01/2022
B	New Hampshire	Agent	Approved	02/01/2022
B	New Jersey	Agent	Approved	02/01/2022
B	New Mexico	Agent	Approved	02/01/2022
B	New York	Agent	Approved	02/01/2022
B	North Carolina	Agent	Approved	02/01/2022
B	North Dakota	Agent	Approved	02/01/2022
B	Ohio	Agent	Approved	02/01/2022
B	Oklahoma	Agent	Approved	02/01/2022
B	Oregon	Agent	Approved	02/01/2022
B	Pennsylvania	Agent	Approved	02/01/2022
B	Puerto Rico	Agent	Approved	02/01/2022
B	Rhode Island	Agent	Approved	02/01/2022

Qualifications

	Regulator	Registration	Status	Date
B	South Carolina	Agent	Approved	02/01/2022
B	South Dakota	Agent	Approved	02/01/2022
B	Tennessee	Agent	Approved	02/01/2022
B	Texas	Agent	Approved	02/01/2022
B	Utah	Agent	Approved	02/01/2022
B	Vermont	Agent	Approved	02/01/2022
B	Virgin Islands	Agent	Approved	02/01/2022
B	Virginia	Agent	Approved	02/01/2022
B	Washington	Agent	Approved	02/01/2022
B	West Virginia	Agent	Approved	02/01/2022
B	Wisconsin	Agent	Approved	02/01/2022
B	Wyoming	Agent	Approved	02/01/2022

Branch Office Locations

FIDELITY BROKERAGE SERVICES, LLC
PORT SAINT LUCIE, FL

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
	No information reported.		

General Industry/Product Exams

	Exam	Category	Date
B	Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
B	General Securities Representative Examination (S7)	Series 7	11/17/2004

State Securities Law Exams

	Exam	Category	Date
IA B	Uniform Combined State Law Examination (S66)	Series 66	10/24/2014
B	Uniform Securities Agent State Law Examination (S63)	Series 63	11/07/2006

PROFESSIONAL DESIGNATIONS

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

No information reported.

Only professional designations listed in Question 8 of the Form U4 will appear in this section if the appropriate box is checked and verified by the issuing organization at the time of the filing. Learn more about eligible designations at IARD and NASAA.

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	03/14/2022 - 03/31/2025	FIDELITY PERSONAL AND WORKPLACE ADVISORS	CRD# 288590	BOYNTON BEACH, FL
IA	08/04/2021 - 01/03/2022	AMERIPRISE FINANCIAL SERVICES, LLC	CRD# 6363	BOCA RATON, FL
B	08/03/2021 - 01/03/2022	AMERIPRISE FINANCIAL SERVICES, LLC	CRD# 6363	BOCA RATON, FL
IA	10/27/2014 - 07/15/2021	MORGAN STANLEY	CRD# 149777	Boca Raton, FL
B	06/25/2014 - 07/15/2021	MORGAN STANLEY	CRD# 149777	Boca Raton, FL
B	04/03/2014 - 06/30/2014	STIFEL, NICOLAUS & COMPANY, INCORPORATED	CRD# 793	BOCA RATON, FL
B	10/19/2012 - 09/16/2013	AXA ADVISORS, LLC	CRD# 6627	HATO REY, PR
B	06/24/2009 - 02/15/2012	SAMUEL A RAMIREZ & CO., INC.	CRD# 6963	SAN JUAN, PR
B	02/13/2008 - 06/16/2009	POPULAR SECURITIES, INC.	CRD# 8096	SAN JUAN, PR
B	05/18/2006 - 12/18/2007	CITIGROUP GLOBAL MARKETS INC.	CRD# 7059	SAN JUAN, PR
B	11/18/2004 - 02/17/2006	R-G INVESTMENTS CORPORATION	CRD# 113293	SAN JUAN, PR

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	Fidelity Investments	Mass Transfer	Y	BOSTON, MA, United States
01/2022 - Present	FIDELITY INVESTMENTS	SENIOR SERVICES SUPPORT SPECIALIST	Y	BOYNTON BEACH, FL, United States
07/2021 - 12/2021	AMERIPRISE FINANCIAL SERVICES, LLC	Registered Representative	Y	Boca Raton, FL, United States
06/2014 - 07/2021	MORGAN STANLEY	PORTFOLIO ASSOCIATE	Y	BOCA RATON, FL, 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.

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
Customer Dispute	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 2

Reporting Source:	Firm
Employing firm when activities occurred which led to the complaint:	POPULAR SECURITIES
Allegations:	CLIENT CLAIMS THAT THE FIRM DID NOT EXECUTE HIS ORDERS TO SELL AND TRANSFER HIS INVESTMENT ON NOVEMBER 6, 2008 AS REQUESTED. HE CLAIMS THAT WHEN HIS INVESTMENT WAS FINALLY SOLD ON DECEMBER 2, 2008, HE INCURRED LOSSES AMOUNTING TO $9,315.73. FIRM'S INITIAL REVIEW SHOWS THAT PRIOR TO THE SALE OF THE INVESTMENT, THE CLIENT MET WITH HIS BROKER AND WAS CONSIDERING OTHER INVESTMENT ALTERNATIVES AND ALLOCATIONS.
Product Type:	Mutual Fund
Alleged Damages:	$9,315.73
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:	01/29/2009
Complaint Pending?	No
Status:	Closed/No Action
Status Date:	06/08/2012

Settlement Amount:

Individual Contribution Amount:

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: POPULAR SECURITIES

Allegations: CLIENT CLAIMS THAT THE FIRM DID NOT EXECUTE HIS ORDERS TO SELL AND TRANSFER HIS INVESTMENT ON NOVEMBER 6, 2008 AS REQUESTED. HE CLAIMS THAT WHEN HIS INVESTMENT WAS FINALLY SOLD ON DECEMBER 2, 2008, HE INCURRED LOSSES AMOUNTING TO $9,315.73. FIRM'S INITIAL REVIEW SHOWS THAT PRIOR TO THE SALE OF THE INVESTMENT, THE CLIENT MET WITH HIS BROKER AND WAS CONSIDERING OTHER INVESTMENT ALTERNATIVES AND ALLOCATIONS.

Product Type: Mutual Fund

Alleged Damages: $9,315.73

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: 01/29/2009

Complaint Pending? No

Status: Closed/No Action

Status Date: 06/08/2012

Settlement Amount:

Individual Contribution Amount:

Disclosure 2 of 2

Reporting Source: Firm

Employing firm when activities occurred which led to the complaint: CITIGROUP GMI

Allegations: CLIENT ALLEGED INVESTMENTS WERE NOT CONSISTENT WITH REQUESTED RISK TOLERANCE; INSTRUCTIONS TO LIQUIDATE WERE NOT FOLLOWED & "GROSSLY NEGLIGENT" MGMT OF A/C - 2006-2007.

Product Type: Equity - OTC

Alleged Damages: $35,000.00

Customer Complaint Information

Date Complaint Received: 11/07/2007

Complaint Pending? No

Status:	Settled
Status Date:	02/27/2008
Settlement Amount:	$9,750.00
Individual Contribution Amount:	$0.00
Firm Statement	CLAIM WAS SETTLED FOR $9,750.

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	CITIGROUP GLOBAL MARKETS INC.
Allegations:	CLIENT ALLEGES INVESTMENTS WERE NOT CONSISTENT WITH REQUESTED RISK TOLERANCE, INSTRUCTIONS TO LIQUIDATE WERE NOT FOLLOWED, AND THE ACCOUNT WAS MANAGED IN A "GROSSLY NEGLIGENT" MANNER - 2006-2007.
Product Type:	Equity Listed (Common & Preferred Stock)
Other Product Type(s):	EQUITY OTC
Alleged Damages:	$35,000.00

Customer Complaint Information

Date Complaint Received:	11/07/2007
Complaint Pending?	No
Status:	Settled
Status Date:	02/27/2008
Settlement Amount:	$9,750.00
Individual Contribution Amount:	$0.00
Broker Statement	CLAIM WAS SETTLED FOR $9750

End of Report

This page is intentionally left blank.

