



IAPD Report

William Kyle Brownlee

CRD# 3254746

<u>Section Title</u>	<u>Page(s)</u>
Report Summary	1
Qualifications	2 - 6
Registration and Employment History	7 - 9
Disclosure Information	10



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

William Kyle Brownlee (CRD# 3254746)

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 **05/18/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	CETERA WEALTH SERVICES, LLC	CRD# 13572	09/05/2025
IA	CETERA INVESTMENT ADVISERS LLC	CRD# 105644	09/05/2025

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **37** 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	AVANTAX ADVISORY SERVICES	104556	FAIRVIEW, OK	09/06/2005 - 09/05/2025
B	AVANTAX INVESTMENT SERVICES, INC.	13686	Bartlesville, OK	08/23/1999 - 09/05/2025

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

Employment 1 of 2

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	09/05/2025
B	FINRA	Invest. Co and Variable Contracts	Approved	09/05/2025
B	Alabama	Agent	Approved	09/05/2025
B	Arizona	Agent	Approved	09/05/2025
B	Arkansas	Agent	Approved	09/05/2025
B	California	Agent	Approved	09/05/2025
B	Colorado	Agent	Approved	09/05/2025
B	Connecticut	Agent	Approved	09/05/2025
B	Florida	Agent	Approved	09/05/2025
B	Georgia	Agent	Approved	09/05/2025
B	Idaho	Agent	Approved	09/05/2025
B	Illinois	Agent	Approved	09/05/2025
B	Indiana	Agent	Approved	09/05/2025



Qualifications

Regulator	Registration	Status	Date
B Iowa	Agent	Approved	09/05/2025
B Kansas	Agent	Approved	09/05/2025
B Louisiana	Agent	Approved	09/05/2025
B Maryland	Agent	Approved	09/05/2025
B Minnesota	Agent	Approved	09/05/2025
B Mississippi	Agent	Approved	09/05/2025
B Missouri	Agent	Approved	09/05/2025
B Nebraska	Agent	Approved	09/05/2025
B Nevada	Agent	Approved	09/05/2025
B New Jersey	Agent	Approved	09/05/2025
B New Mexico	Agent	Approved	09/05/2025
B New York	Agent	Approved	09/05/2025
B North Carolina	Agent	Approved	09/05/2025
B North Dakota	Agent	Approved	09/05/2025
B Ohio	Agent	Approved	09/05/2025
B Oklahoma	Agent	Approved	09/05/2025
B Oregon	Agent	Approved	09/05/2025
B Pennsylvania	Agent	Approved	09/05/2025
B South Carolina	Agent	Approved	09/05/2025



Qualifications

Regulator	Registration	Status	Date
B South Dakota	Agent	Approved	09/05/2025
B Tennessee	Agent	Approved	09/05/2025
B Texas	Agent	Approved	09/05/2025
B Utah	Agent	Approved	09/05/2025
B Virginia	Agent	Approved	09/05/2025
B Washington	Agent	Approved	09/05/2025
B West Virginia	Agent	Approved	09/05/2025

Branch Office Locations

CETERA ADVISOR NETWORKS LLC
 126 S. Main
 Fairview, OK 73737

CETERA ADVISOR NETWORKS LLC
 3615 Pioneer Drive
 Suite 2
 Bartlesville, OK 74006

CETERA ADVISOR NETWORKS LLC
 16328 Muirfield Place
 Edmond, OK 73013

CETERA ADVISOR NETWORKS LLC
 2100 S. Utica Avenue
 Suite #204
 Tulsa, OK 74114

CETERA ADVISOR NETWORKS LLC
 110 N Independence
 Enid, OK 73701

Employment 2 of 2

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 Oklahoma	Investment Adviser Representative	Approved	09/05/2025
IA Texas	Investment Adviser Representative	Restricted Approval	09/05/2025



Qualifications

Regulator	Registration	Status	Date
-----------	--------------	--------	------

Branch Office Locations

CETERA INVESTMENT ADVISERS LLC
3615 PIONEER DRIVE
SUITE 2
BARTLESVILLE, OK 74006

CETERA INVESTMENT ADVISERS LLC
16328 MUIRFIELD PLACE
EDMOND, OK 73013

CETERA INVESTMENT ADVISERS LLC
3615 PIONEER DRIVE
SUITE 2
BARTLESVILLE, OK 74006

CETERA INVESTMENT ADVISERS LLC
126 S. MAIN
FAIRVIEW, OK 73737

CETERA INVESTMENT ADVISERS LLC
2100 S UTICA AVENUE
SUITE #204
TULSA, OK 74104

CETERA INVESTMENT ADVISERS LLC
110 N INDEPENDENCE
ENID
ENID, OK 73701

CETERA INVESTMENT ADVISERS LLC
126 S MAIN
FAIRVIEW, OK 73737



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
------	----------	------

No information reported.

General Industry/Product Exams

Exam	Category	Date
------	----------	------

Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
General Securities Representative Examination (S7)	Series 7	09/14/2004
Investment Company Products/Variable Contracts Representative Examination (S6)	Series 6	08/20/1999

State Securities Law Exams

Exam	Category	Date
------	----------	------

Uniform Investment Adviser Law Examination (S65)	Series 65	08/17/2005
Uniform Securities Agent State Law Examination (S63)	Series 63	08/20/1999

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	09/06/2005 - 09/05/2025	AVANTAX ADVISORY SERVICES	CRD# 104556	FAIRVIEW, OK
B	08/23/1999 - 09/05/2025	AVANTAX INVESTMENT SERVICES, INC.	CRD# 13686	Bartlesville, OK

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	REGISTERED REPRESENTATIVE	Y	Enid, OK, United States
05/2025 - Present	EIA	Agent	Y	Enid, OK, United States
01/2025 - Present	WB Insurance, LLC dba Counsel Insurance Group, LLC	Member	Y	Edmond, OK, United States
08/2024 - Present	16328 Muirfield, LLC	INVESTMENT ADVISOR REPRESENTATIVE	Y	Edmond, OK, United States
08/2019 - Present	Forum Partners LLC	Rental Property	Y	Norman, OK, United States
04/2009 - Present	COLONIAL SURETY	INSURANCE SALES AGENT	Y	MONTVALE, NJ, United States
05/1999 - Present	WYMER AND ASSOCIATES	OTHER - ACCOUNTANT	Y	FAIRVIEW, OK, United States
01/2018 - 09/2025	AVANTAX INSURANCE AGENCY, LLC	INSURANCE AGENT	Y	ENID, OK, United States
10/2005 - 09/2025	AVANTAX ADVISORY SERVICES	INVESTMENT ADVISER REPRESENTATIVE	Y	ENID, OK, United States
08/1999 - 09/2025	AVANTAX INVESTMENT SERVICES, INC.	REGISTERED REPRESENTATIVE	Y	ENID, OK, 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.

1) Colonial Surety~'NIR'~50 Chestnut Ridge Road~Montvale~NJ~07645~Independent Insurance Agent~Insurance Sales Agent~4/1/2009~1hrs~0hrs~fidelity bonds/fiduciary insurance sales

2) ROSINE REAY TRUST; POSITION: Trustee NATURE: Fiduciary Appointment INV RELATED: No # OF HRS: 1 SECURITIES TRADING HRS: 1 START DATE: 08/15/2019
ADDR: 201 N. Grand, Suite 100, Enid OK 73701, United States
DESC: Trust administration

3) RED CEDAR WAY INVESTMENTS LLC
POS: Owner NATURE: Rental property in Florida INV RELATED: Yes # OF HRS: 1 SECURITIES TRADING HOURS: 0 START DATE: 03/03/2021
ADDR: 201 N. Grand, Suite 100, Enid OK 73701, United States
DESC: Pay bills for home, oversee the management of the rentals, and coordinate caretakers of the property.

4) ONE TEN DOWNTOWN LLC
POS: Member NATURE: Rental property owner/management INVESTMENT RELATED: No NUMBER OF HOURS: 0 SECURITIES TRADING HOURS: 0 START DATE: 05/01/2023
ADDR: 110 N Independence, Enid OK 73701, United States
DESC: financial (if needed)

5) BROWNLEE FINANCIAL SERVICES
POS: CEO, Shareholder NATURE: Brownlee Financial Services is the registered entity that serves as the financial advisory part of our company. I am not employed by Brownlee Financial Services, but all revenue generated by our investment firm flows through there and pays the operating costs for our parent company, WBTFM. Brownlee Financial Services will use the DBA - WymerBrownlee Wealth Strategies as it's client facing brand. INVESTMENT RELATED: Yes NUMBER OF HOURS: 160 SECURITIES TRADING HOURS: 130 START DATE: 01/01/2008
ADDR: 110 N Independence, Enid OK 73701, United States
DESC: I am a shareholder of Brownlee Financial Services. I am also the CEO and a Wealth Advisor for the firm. I spend my day working with the top client relationships and leading the firm's leadership team.

6) KB INVESTMENTS LLC
POS: Owner NATURE: Entity that owns shares of oil and gas wells. INV RELATED: No # OF HRS: 1 SECURITIES TRADING HRS: 1 START DATE: 04/07/2021
ADDR: 110 N Independence, Enid OK 73701, United States
DESC: I have no management of the wells, just oversee the investments within the entity, meaning it is my final decision on what leases, wells, or other purchases the company makes.

7) WYMER & BROWNLEE INVESTMENTS, LLC
POS: Owner/Sole Proprietor NATURE: Rental Property Owner/Management INV RELATED: Yes NUMBER OF HRS: 1 SECURITIES TRADING HRS: 0 START DATE: 01/01/2002
ADDR: 110 N Independence, Enid OK 73701, United States
DESC: manage the commercial properties our offices occupy

8) 16328 MUIRFIELD, LLC
POSITION: Member NATURE: This new entity owns the commercial building we now occupy for our Oklahoma City office. INVESTMENT RELATED: No NUMBER OF HOURS: 2 SECURITIES TRADING HOURS: 1 START DATE: 08/15/2024
ADDRESS: 16328 Muirfield Place, Edmond OK 73013, United States
DESCRIPTION: Manage the building for our firm needs.



Registration & Employment History



OTHER BUSINESS ACTIVITIES

9) WB INSURANCE, LLC DBA COUNSEL INSURANCE GROUP, LLC

POSITION: Member NATURE: Property and casualty insurance company INVESTMENT RELATED: No NUMBER OF HOURS: 2

SECURITIES TRADING HOURS: 0 START DATE: 01/01/2025

ADDRESS: 16328 Muirfield Place, Edmond OK 73013, United States

DESCRIPTION: Shareholder. No daily responsibilities.

10) Wymer Brownlee Wealth Strategies Investment Division; DBA; NIR: 01/01/2018; Wymer Brownlee Wealth Strategies

11) Wymer Brownlee Wealth Strategies; DBA; NIR;01/01/2018; Wymer Brownlee Wealth Strategies Investment Division

12) Wymer Brownlee Tax & Financial Management, Inc.; Owner/Sole Proprietor; Tax Preparation/Accounting; NIR; 2; 05/17/1999;
110 N Independence Enid OK 73701; CEO, Tax preparation, client meetings



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:	Individual
Employing firm when activities occurred which led to the complaint:	AVANTAX INVESTMENT SERVICES, INC.
Allegations:	Claimant alleged the representative misrepresented the financial strength and viability of BLO Beauty Bar, a business the claimant purchased from the representative's spouse. After purchasing, the claimant became sole owner and manager of the business and was responsible for the business's success.
Product Type:	No Product
Alleged Damages:	\$1,000,000.00
Arbitration Information	
Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.):	FINRA
Docket/Case #:	20-03341
Date Notice/Process Served:	09/24/2020
Arbitration Pending?	No
Disposition:	Settled
Disposition Date:	01/04/2021
Monetary Compensation Amount:	\$600,000.00



Individual Contribution Amount: \$230,000.00

Broker Statement

In addition to monetary compensation to the claimant, the representative agreed to continue liability under a prior guarantee of the lease agreement between the claimant and the landlord of the retail space occupied by BLO Beauty Bar and the representative re-assumed any and all liability for the bank note in place for BLO Beauty Bar. Subsequently, on January 4, 2021, in accordance with the Settlement Agreement, the claimant dismissed with prejudice all claims made against the representative.

Disclosure 2 of 2

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: HD Vest Investment Services

Allegations: Client alleged the variable annuity he purchased in 2014 was not suitable. He also alleged the representative informed him that he could withdraw the funds at any time and that the annuity would generate 5% annual income.

Product Type: Annuity-Variable

Alleged Damages: \$9,245.00

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: 07/12/2016

Complaint Pending? No

Status: Denied

Status Date: 07/30/2016

Settlement Amount:

Individual Contribution Amount:



End of Report

This page is intentionally left blank.