



IAPD Report

BRENDAN REED LEWIS

CRD# 4018373

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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

BRENDAN REED LEWIS (CRD# 4018373)

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 **05/26/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	PROSPERA FINANCIAL SERVICES, INC.	CRD# 10740	03/22/2021
IA	PROSPERA FINANCIAL SERVICES, INC.	CRD# 10740	03/22/2021

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **21** 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	SUMMIT FINANCIAL GROUP INC	109485	COLCHESTER, CT	07/05/2019 - 03/24/2021
B	CETERA ADVISOR NETWORKS LLC	13572	COLCHESTER, CT	09/20/2019 - 03/23/2021
B	SUMMIT BROKERAGE SERVICES, INC.	34643	COLCHESTER, CT	07/05/2019 - 09/20/2019

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



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

Employment 1 of 1

Firm Name: **PROSPERA FINANCIAL SERVICES, INC.**
Main Address: 5429 LBJ FREEWAY
SUITE 750
DALLAS, TX 75240
Firm ID#: 10740

	Regulator	Registration	Status	Date
B	FINRA	General Securities Principal	Approved	03/22/2021
B	FINRA	General Securities Representative	Approved	03/22/2021
B	Arizona	Agent	Approved	03/22/2021
B	California	Agent	Approved	03/22/2021
B	Colorado	Agent	Approved	03/22/2021
B	Connecticut	Agent	Approved	03/22/2021
B	Florida	Agent	Approved	03/22/2021
IA	Florida	Investment Adviser Representative	Approved	02/24/2026
B	Georgia	Agent	Approved	03/22/2021
B	Maine	Agent	Approved	03/22/2021
B	Maryland	Agent	Approved	03/22/2021
B	Massachusetts	Agent	Approved	03/22/2021
B	New Hampshire	Agent	Approved	03/22/2021



Qualifications

	Regulator	Registration	Status	Date
IA	New Hampshire	Investment Adviser Representative	Approved	10/24/2022
B	New Jersey	Agent	Approved	03/22/2021
B	New York	Agent	Approved	11/18/2021
B	North Carolina	Agent	Approved	03/22/2021
B	Ohio	Agent	Approved	03/22/2021
B	Pennsylvania	Agent	Approved	03/22/2021
B	Rhode Island	Agent	Approved	05/20/2021
B	South Carolina	Agent	Approved	07/14/2022
B	Texas	Agent	Approved	05/20/2021
B	Vermont	Agent	Approved	05/06/2021
B	Virginia	Agent	Approved	05/03/2021
B	Wyoming	Agent	Approved	07/07/2023

Branch Office Locations

PROSPERA FINANCIAL SERVICES, INC.

51 Elm St
Ste 106
Laconia, NH 03246

PROSPERA FINANCIAL SERVICES, INC.

Punta Gorda, 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 1 principal/supervisory exam, 3 general industry/product exams, and 1 state securities law exam.

Principal/Supervisory Exams

Exam	Category	Date
B General Securities Principal Examination (S24)	Series 24	02/19/2002

General Industry/Product Exams

Exam	Category	Date
B Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
B Futures Managed Funds Examination (S31)	Series 31	12/15/1999
B General Securities Representative Examination (S7)	Series 7	10/22/1999

State Securities Law Exams

Exam	Category	Date
IA B Uniform Combined State Law Examination (S66)	Series 66	02/18/2026



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	07/05/2019 - 03/24/2021	SUMMIT FINANCIAL GROUP INC	CRD# 109485	COLCHESTER, CT
B	09/20/2019 - 03/23/2021	CETERA ADVISOR NETWORKS LLC	CRD# 13572	COLCHESTER, CT
B	07/05/2019 - 09/20/2019	SUMMIT BROKERAGE SERVICES, INC.	CRD# 34643	COLCHESTER, CT
B	05/27/2011 - 07/09/2019	WELLS FARGO ADVISORS FINANCIAL NETWORK, LLC	CRD# 11025	COLCHESTER, CT
IA	05/27/2011 - 07/09/2019	WELLS FARGO ADVISORS FINANCIAL NETWORK, LLC	CRD# 11025	COLCHESTER, CT
IA	11/09/2006 - 05/27/2011	EDWARD JONES	CRD# 250	COLCHESTER, CT
B	01/04/2002 - 05/27/2011	EDWARD JONES	CRD# 250	COLCHESTER, CT
B	10/25/1999 - 01/08/2002	MORGAN STANLEY DW INC.	CRD# 7556	PURCHASE, 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
03/2020 - Present	Prospera Financial Services Inc.	Registered Representative	Y	Dallas, TX, United States
09/2019 - 03/2020	CETERA ADVISOR NETWORKS LLC	REGISTERED REPRESENTATIVE	Y	COLCHESTER, CT, United States
07/2019 - 03/2020	Summit Financial Group	IAR	Y	Colchester, CT, United States
07/2019 - 09/2019	Summit Brokerage Services	Reg Rep	Y	Colchester, CT, United States
05/2011 - 07/2019	WELLS FARGO ADVISORS FINANCIAL NETWORK LLC	REGISTERED REP	Y	COLCHESTER, CT, 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.

REED WEALTH MANAGEMENT; INVESTMENT RELATED; SAME ADDRESS AS REGISTERED BRANCH; WEALTH MANAGEMENT FIRM DOING BUSINESS WITH LIFE, LTC, ANNUITIES, AND SECURITIES; MANAGING PRINCIPAL; 08/22/2017; APPX 175 HRS/MONTH; APPX 150 HRS/MONTH DURING TRADING; HELP CLIENTS MAINTAIN INVESTMENTS APPROPRIATE TO THEIR INVESTMENT GOALS AND OBJECTIVES.

UBER; INVESTMENT RELATED - NO; 15255 RIVER BIRCH COURT, PUNTA GORDA, FL 33955; DRIVER; 04/2026; 20 HOURS PER MONTH, 0 DURING TRADING HOURS; PICK UP AND RELOCATE UBER GUESTS FROM POINT TO POINT.



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

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

Reporting Source: Firm

Employing firm when activities occurred which led to the complaint: EDWARD JONES

Allegations: CLIENT STATES HE PURCHASED AN AMERICAN LEGACY SHAREHOLDERS ADVANTAGE ANNUITY AT THE RECOMMENDATION OF HIS FA BELIEVING THAT THE ANNUITY WAS AN INSURANCE POLICY WITH A MINIMUM BENEFIT OF THE ORIGINAL INVESTMENTS AND THAT IT HAD A GUARANTEED RETURN OF 5%. CLIENT STATES, WHEN THE VALUE OF THE ANNUITY DROPPED, HE CONTACTED THE FA AND WAS TOLD THERE WERE NO BENEFITS WITH THE INVESTMENT. CLIENT STATES UPON FURTHER REVIEW, HE HAS DISCOVERED HIS BIRTH DATE IN INCORRECT AND THERE WAS A NOTE IN THE FILE TO NOTIFY THE CLIENT ABOUT THE AVAILABILITY OF THE RIDER THAT WOULD PROVIDE THE BENEFITS HE THOUGHT HE ALREADY HAD. CLIENT STATES HE HAS MISSED OUT ON A 5% RETURN FOR FOUR YEARS AND THAT, AT HIS AGE, HE WAS LOOKING FOR A SECURE INVESTMENTS. CLIENT HOPES THE FIRM WILL TAKE THE NECESSARY ACTION TO CORRECT THE SITUATION. LOSSES ARE APPROXIMATELY \$19,514 (MARKET LOSS PLUS CLAIMED LOST EARNINGS). FILING REQUIRED.

Product Type: Annuity-Variable

Alleged Damages: \$5,000.00

Alleged Damages Amount Explanation (if amount not exact): MORE THAN 5,000.00

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: 10/12/2011

Complaint Pending? No

Status: Denied

Status Date: 10/28/2011

Settlement Amount: \$0.00

Individual Contribution
Amount:

Firm Statement

THE ANNUITY WAS ISSUED ON OCTOBER 12, 2007. THE FA HAS INDICATED HE AND THE CLIENT DID DISCUSS THE LIVING BENEFIT RIDER, BUT THE CLIENT ELECTED NOT TO INCLUDE THE RIDER AT THE TIME OF PURCHASE. THE CLIENT SIGNED A VARIABLE ANNUITY: PURCHASE IN A TAX QUALIFIED ACCOUNT/PLAN IN OCTOBER 2007. AT THAT TIME, THE REASONS FOR THE PURCHASE OF THE ANNUITY WERE THE DEATH BENEFIT, ABILITY TO ANNUITIZE AND INCREASED DIVERSIFICATION. THE ANNUITY CONTRACT WAS DELIVERED ON OCTOBER 24, 2007. THE CLIENT SIGNED AN ANNUITY CONTRACT VERIFICATION FORM AND A CLIENT INFORMATION PROFILE IN DECEMBER 2007. THE FA AND THE CLIENT HAD CONTACTS IN SEPTEMBER 2008, JULY 2010, NOVEMBER 2010, DECEMBER 2010, JANUARY 2011 AND APRIL 2011. SINCE THE ANNUITY WAS PURCHASED, THE CLIENT RECEIVED STATEMENTS FROM LINCOLN NATIONAL WHICH REFLECT ALL ACTIVITY - INCLUDING SUB-ACCOUNT ALLOCATIONS. THE MOST CURRENT STATEMENTS CLEARLY REFLECT THAT NO LIVING BENEFIT FEATURE WAS ELECTED. IN THE CLIENT'S CORRESPONDENCE HE HAS STATED WHEN THE VALUE OF THE ANNUITY DECLINED HE CONTACTED THE FA AND DISCOVERED THE ANNUITY DID NOT HAVE AN INCOME RIDER. IF THE CLIENT WAS AWARE THE INCOME RIDER WAS NOT PRESENT ON THE CONTRACT SEVERAL YEARS AGO WE SHOULD HAVE BEEN CONTACTED IN A TIMELIER MANNER. WE BELIEVE THE CLIENT WAS AWARE THE ANNUITY WAS NOT PURCHASED WITH AN INCOME RIDER THROUGH NOT ONLY INFORMATION PROVIDED BY THE FA BUT THROUGH THE ACKNOWLEDGEMENT LETTER, THE CONTRACT VERIFICATION, CLIENT PROFILE, ANNUITY CONTRACT AND ACCOUNT STATEMENTS. THE INCOME RIDER CAN BE ADDED TO THE CONTRACT AT THIS TIME; HOWEVER, WE WOULD RECOMMEND THE CLIENT SCHEDULE AN APPOINTMENT WITH THE CURRENT FA TO GAIN A BETTER UNDERSTANDING OF THE INCOME RIDER.

Reporting Source: Individual

Employing firm when
activities occurred which led
to the complaint: EDWARD JONES

Allegations: CLIENT STATES HE PURCHASED AN AMERICAN LEGACY SHAREHOLDERS ADVANTAGE ANNUITY AT THE RECOMMENDATION OF HIS FA BELIEVING THAT THE ANNUITY WAS AN INSURANCE POLICY WITH A MINIMUM BENEFIT OF THE ORIGINAL INVESTMENTS AND THAT IT HAD A GUARANTEED RETURN OF 5%. CLIENT STATES, WHEN THE VALUE OF THE ANNUITY



DROPPED, HE CONTACTED THE FA AND WAS TOLD THERE WERE NO BENEFITS WITH THE INVESTMENT. CLIENT STATES UPON FURTHER REVIEW, HE HAS DISCOVERED HIS BIRTH DATE IN INCORRECT AND THERE WAS A NOTE IN THE FILE TO NOTIFY THE CLIENT ABOUT THE AVAILABILITY OF THE RIDER THAT WOULD PROVIDE THE BENEFITS HE THOUGHT HE ALREADY HAD. CLIENT STATES HE HAS MISSED OUT ON A 5% RETURN FOR FOUR YEARS AND THAT, AT HIS AGE, HE WAS LOOKING FOR A SECURE INVESTMENTS. CLIENT HOPES THE FIRM WILL TAKE THE NECESSARY ACTION TO CORRECT THE SITUATION. LOSSES ARE APPROXIMATELY \$19,514 (MARKET LOSS PLUS CLAIMED LOST EARNINGS). FILING REQUIRED.

Product Type: Annuity-Variable
Alleged Damages: \$5,000.00
Alleged Damages Amount MORE THAN 5,000.00
Explanation (if amount not exact):
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: 10/12/2011
Complaint Pending? No
Status: Denied
Status Date: 10/28/2011
Settlement Amount:

Individual Contribution Amount:

Broker Statement

THE ANNUITY WAS ISSUED ON OCTOBER 12, 2007. THE FA HAS INDICATED HE AND THE CLIENT DID DISCUSS THE LIVING BENEFIT RIDER, BUT THE CLIENT ELECTED NOT TO INCLUDE THE RIDER AT THE TIME OF PURCHASE. THE CLIENT SIGNED A VARIABLE ANNUITY: PURCHASE IN A TAX QUALIFIED ACCOUNT/PLAN IN OCTOBER 2007. AT THAT TIME, THE REASONS FOR THE PURCHASE OF THE ANNUITY WERE THE DEATH BENEFIT, ABILITY TO ANNUITIZE AND INCREASED DIVERSIFICATION. THE ANNUITY CONTRACT WAS DELIVERED ON OCTOBER 24, 2007. THE CLIENT SIGNED AN ANNUITY CONTRACT VERIFICATION FORM AND A CLIENT INFORMATION PROFILE IN DECEMBER 2007. THE FA AND THE CLIENT HAD CONTACTS IN SEPTEMBER 2008, JULY 2010, NOVEMBER 2010, DECEMBER 2010, JANUARY 2011 AND APRILL 2011. SINCE THE ANNUITY WAS PURCHASED, THE CLIENT RECEIVED STATEMENTS FROM LINCOLN NATIONAL WHICH REFLECT ALL ACTIVITY - INCLUDING SUB-ACCOUNT ALLOCATIONS. THE MOST CURRENT STATEMENTS CLEARLY REFLECT THAT NO LIVING BENEFIT FEATURE WAS ELECTED. IN THE CLIENT'S CORRESPONDENCE HE HAS STATED WHEN THE VALUE OF THE ANNUITY DECLINED HE CONTACTED THE FA AND DISCOVERED THE ANNUITY DID NOT HAVE AN INCOME RIDER. IF THE CLIENT WAS AWARE THE INCOME RIDER WAS NOT PRESENT ON THE CONTRACT SEVERAL YEARS AGO WE SHOULD HAVE BEEN CONTACTED IN A TIMELIER MANNER. WE BELIEVE THE CLIENT WAS AWARE THE ANNUITY WAS NOT PURCHASED WITH AN



INCOME RIDER THROUGH NOT ONLY INFORMATION PROVIDED BY THE FA BUT THROUGH THE ACKNOWLEDGEMENT LETTER, THE CONTRACT VERIFICATION, CLIENT PROFILE, ANNUITY CONTRACT AND ACCOUNT STATEMENTS. THE INCOME RIDER CAN BE ADDED TO THE CONTRACT AT THIS TIME; HOWEVER, WE WOULD RECOMMEND THE CLIENT SCHEDULE AN APPOINTMENT WITH THE CURRENT FA TO GAIN A BETTER UNDERSTANDING OF THE INCOME RIDER.



End of Report

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