



IAPD Report

BARRY JAY DEKREEK

CRD# 4583534

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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

BARRY JAY DEKREEK (CRD# 4583534)

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 **01/20/2026**.

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 **9** 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	Atlanta, GA	06/30/2025 - 09/05/2025
B	AVANTAX INVESTMENT SERVICES, INC.	13686	Atlanta, GA	06/30/2025 - 09/05/2025
IA	LPL FINANCIAL LLC	6413	ATLANTA, GA	03/29/2018 - 07/03/2025

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	1
Financial	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 9 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 Alabama	Agent	Approved	09/05/2025
B California	Agent	Approved	09/05/2025
B Colorado	Agent	Approved	09/05/2025
B Florida	Agent	Approved	09/05/2025
B Georgia	Agent	Approved	09/05/2025
B Idaho	Agent	Approved	10/14/2025
B New Jersey	Agent	Approved	09/05/2025
B North Carolina	Agent	Approved	09/05/2025
B South Carolina	Agent	Approved	01/20/2026

Branch Office Locations

CETERA ADVISOR NETWORKS LLC
4401 Northside Pkwy NW
Suite 900
Atlanta, GA 30327


CETERA ADVISOR NETWORKS LLC
Atlanta, GA

Employment 2 of 2



Qualifications

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
 Georgia	Investment Adviser Representative	Approved	09/05/2025

Branch Office Locations

CETERA INVESTMENT ADVISERS LLC
ATLANTA, GA

CETERA INVESTMENT ADVISERS LLC
1450 AMERICAN LANE
6TH FLOOR, SUITE 650
SCHAUMBURG, IL 60173-2096



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
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No information reported.

General Industry/Product Exams



Exam	Category	Date
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	Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
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	General Securities Representative Examination (S7)	Series 7	11/01/2002
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State Securities Law Exams

Exam	Category	Date
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		Uniform Combined State Law Examination (S66)	Series 66	01/13/2004
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	Uniform Securities Agent State Law Examination (S63)	Series 63	01/13/2003
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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	06/30/2025 - 09/05/2025	AVANTAX ADVISORY SERVICES	CRD# 104556	Atlanta, GA
B	06/30/2025 - 09/05/2025	AVANTAX INVESTMENT SERVICES, INC.	CRD# 13686	Atlanta, GA
IA	03/29/2018 - 07/03/2025	LPL FINANCIAL LLC	CRD# 6413	ATLANTA, GA
B	12/13/2013 - 07/03/2025	LPL FINANCIAL LLC	CRD# 6413	ATLANTA, GA
IA	12/16/2013 - 01/29/2018	MERIT FINANCIAL ADVISORS	CRD# 142457	ALPHARETTA, GA
B	02/13/2013 - 12/20/2013	RAYMOND JAMES & ASSOCIATES, INC.	CRD# 705	ATLANTA, GA
IA	02/13/2013 - 12/20/2013	RAYMOND JAMES & ASSOCIATES, INC.	CRD# 705	ATLANTA, GA
IA	08/13/2008 - 02/13/2013	MORGAN KEEGAN & COMPANY, INC.	CRD# 4161	ATLANTA, GA
B	08/05/2008 - 02/13/2013	MORGAN KEEGAN & COMPANY, INC.	CRD# 4161	ATLANTA, GA
B	01/01/2008 - 08/13/2008	WACHOVIA SECURITIES, LLC	CRD# 19616	SANDY SPRINGS, GA
IA	01/01/2008 - 08/13/2008	WACHOVIA SECURITIES, LLC	CRD# 19616	SANDY SPRINGS, GA
B	11/04/2002 - 01/03/2008	A. G. EDWARDS & SONS, INC.	CRD# 4	ATLANTA, GA
IA	01/14/2004 - 01/01/2008	A. G. EDWARDS & SONS, INC.	CRD# 4	ATLANTA, GA

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	EL SEGUNDO, CA, United States



Registration & Employment History

EMPLOYMENT HISTORY

Employment Dates	Employer Name	Position	Investment Related	Employer Location
06/2025 - Present	Legacy Capital Advisors, LLC	Financial Advisor	Y	Atlanta, GA, United States
04/2024 - Present	Oceanview Ventures LLC	Member	N	Atlanta, GA, United States
06/2025 - 09/2025	Avantax Advisory Services	Investment Advisor Representative	Y	Atlanta, GA, United States
06/2025 - 09/2025	Avantax Insurance Agency, LLC	Insurance Agent	Y	Atlanta, GA, United States
06/2025 - 09/2025	Avantax Investment Services Inc.	Registered Representative	Y	Atlanta, GA, United States
12/2013 - 06/2025	LPL FINANCIAL, LLC	REGISTERED REPRESENTATIVE	Y	ALPHARETTA, GA, United States
12/2013 - 01/2018	MERIT FINANCIAL ADVISORS	INVESTMENT ADVISER REPRESENTATIVE	Y	ALPHARETTA, GA, 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) LEGACY CAPITAL ADVISORS, LLC

POSITION: Financial Advisor NATURE: Legacy Capital offers investment planning, financial planning, retirement planning and tax planning services INVESTMENT RELATED: Yes NUMBER OF HOURS: 120 SECURITIES TRADING HOURS: 120 START DATE: 05/16/2025

ADDRESS: 4401 Northside Pkwy, Suite 900, Atlanta GA 30327, United States

DESCRIPTION: I provide investment advice and products to my clients. I offer wholistic financial planning, retirement planning, college planning, and insurance.

2) OCEANVIEW VENTURES LLC

POSITION: Member NATURE: I will move over funds needed to pay office and business expenses from doing Avantax business to this entity. INVESTMENT RELATED: No NUMBER OF HOURS: 1 SECURITIES TRADING HOURS: 1 START DATE: 04/15/2024

ADDRESS: 265 Lackland Ct, Atlanta GA 30350, United States

DESCRIPTION: my top 5 duties related to this entity are to move funds over to pay Avantax business expenses, pay rent, pay licensing and technology fees, pay registration fees, and pay any advertising or marketing expenses



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
Financial	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: WELLS FARGO ADVISORS, LLC

Allegations: COMPLAINT ALLEGATIONS: CLIENT ALLEGES THAT FA CONVINCED CLIENT TO INVEST IN LLC WITHOUT DISLOSING FA'S OWN INVESTMENT IN THE LLC AND WITHOUT DISCLOSING MATERIAL FACTS ABOUT THE RISK OF THE INVESTMENT. (08/01/2007)
LITIGATION ALLEGATIONS: PLAINTIFF, A RESIDENT OF GEORGIA, ALLEGES IN 2007 FA MISREPRESENTED AN INVESTMENT IN A REAL ESTATE DEVELOPMENT COMPANY. PLAINTIFF IS REQUESTING AN AWARD OF COMPENSATORY DAMAGES IN AN AMOUNT TO BE PROVEN AT TRIAL, BUT NOT LESS THAN \$400,000. ****ARBITRATION ALLEGATIONS: CLAIMANT ALLEGES MISREPRESENTATION RELATED TO A REAL ESTATE INVESTMENT THAT OCCURRED IN AUGUST 2007. CLAIMANT REQUESTS DAMAGES OF AN UNSPECIFIED AMOUNT, BUT NOT LESS THAN \$400,000.

Product Type: No Product

Alleged Damages: \$0.00

Alleged Damages Amount Explanation (if amount not exact): CLAIMANT REQUESTS DAMAGES OF AN UNSPECIFIED AMOUNT, BUT NOT LESS THAN \$400,000.

Is this an oral complaint? No

Is this a written complaint? Yes

Is this an arbitration/CFTC No



reparation or civil litigation?

Customer Complaint Information

Date Complaint Received: 03/23/2011

Complaint Pending? No

Status: Evolved into Civil litigation (the individual is a named party)

Status Date: 09/06/2011

Settlement Amount:

Individual Contribution Amount:

Arbitration Information

Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.): FINRA

Docket/Case #: 11-04661

Date Notice/Process Served: 12/29/2011

Arbitration Pending? No

Disposition: Settled

Disposition Date: 05/07/2013

Monetary Compensation Amount: \$145,000.00

Individual Contribution Amount: \$18,000.00

Civil Litigation Information

Type of Court: BEFORE THE SUPERIOR COURT OF FULTON COUNTY, STATE OF GEORGIA

Name of Court: BEFORE THE SUPERIOR COURT OF FULTON COUNTY, STATE OF GEORGIA

Location of Court: FULTON COUNTY, GEORGIA

Docket/Case #: 2011CV 205288

Date Notice/Process Served: 09/06/2011

Litigation Pending? No

Disposition: Withdrawn

Disposition Date: 10/03/2011

Firm Statement CLAIMANT VOLUNTARILY DISMISSED THE COMPLAINT WITHOUT PREJUDICE. ***ARBITRATION SERVED. ***WITHOUT ADMITTING ANY LIABILITY, THE FIRM SETTLED THE MATTER FOR \$145,000.00. THE FIRM BARRY JAY DEKREEK WILL CONTRIBUTE \$18,000.00 TOWARDS SETTLEMENT PAYMENT.

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: WELLS FARGO ADVISORS, LLC.



Allegations: COMPLAINT ALLEGATIONS:CLIENT ALLEGES THAT FA CONVINCED CLIENT TO INVEST IN LLC WITHOUT DISCLOSING FA'S OWN INVESTMENT IN THE LLC AND WITHOUT DISCLOSING MATERIAL FACTS ABOUT THE RISK OF THE INVESTMENT. (08/01/2007) LITIGATION ALLEGATIONS: PLAINTIFF, A RESIDENT OF GEORGIA, ALLEGES IN 2007 FA MISREPRESENTED AN INVESTMENT IN A REAL ESTATE DEVELOPMENT COMPANY. PLAINTIFF IS REQUESTING AN AWARD OF COMPENSATORY DAMAGES IN AN AMOUNT TO BE PROVEN AT TRIAL, BUT NOT LESS THAN \$400,000.

Product Type: No Product

Alleged Damages: \$0.00

Alleged Damages Amount Explanation (if amount not exact): CLAIMANT REQUESTS DAMAGES OF AN UNSPECIFIED AMOUNT, BUT NOT LESS THAN \$400,000.

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: 03/23/2011

Complaint Pending? No

Status: Evolved into Civil litigation (the individual is a named party)

Status Date: 09/06/2011

Settlement Amount:

Individual Contribution Amount:

Arbitration Information

Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.): FINRA

Docket/Case #: 11-04661

Date Notice/Process Served: 12/29/2011

Arbitration Pending? No

Disposition: Settled

Disposition Date: 05/07/2013

Monetary Compensation Amount: \$145,000.00

Individual Contribution Amount: \$18,000.00

Civil Litigation Information

Type of Court: Military Court

Name of Court: BEFORE THE SUPERIOR COURT OF FULTON COUNTY, STATE OF GEORGIA

Location of Court: FULTON COUNTY, GEORGIA



Docket/Case #:	2011CV 205288
Date Notice/Process Served:	09/06/2011
Litigation Pending?	No
Disposition:	Withdrawn
Disposition Date:	10/03/2011
Broker Statement	<p>CLAIMANT VOLUNTARILY DISMISSED THE COMPLAINT WITH PREJUDICE. ***ARBITRATION SERVED. 6/5/2013 - FA WILL CONTRIBUTE A TOTAL OF \$18,000 TOWARD SETTLEMENT. HE WILL PAY \$8,000 INITIALLY AND PAY WELLS FARGO OR CLAIMANT THE REMAINING \$10,000 ON A PAYMENT PLAN YET TO BE DETERMINED.</p>



Financial

This disclosure event involves a final bankruptcy, compromise with one or more creditors, or Securities Investor Protection Corporation liquidation that occurred within the last 10 years and that involved the Investment Adviser Representative or an organization/investment adviser that the Investment Adviser Representative controlled that occurred within the last 10 years.

Disclosure 1 of 1

Reporting Source: Individual

Action Type: Compromise

Action Date: 05/16/2017

Organization Investment-Related?

Action Pending? No

Disposition: Satisfied/Released

Disposition Date: 05/16/2017

If a compromise with creditor, provide:

Name of Creditor: PNC Bank

Original Amount Owed: \$9,819.20

Terms Reached with Creditor: Compromised/Settled for \$3,274.00

Broker Statement

This account was related to my Real Estate Investments from 2005-2011. All of my properties went through a short sale process due to the 2008 recession and Real Estate crisis. I was advised to include this account in the overall default.



End of Report

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