



IAPD Report

Scott Bryant

CRD# 4836643

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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

Scott Bryant (CRD# 4836643)

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 **01/05/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	PNC WEALTH MANAGEMENT LLC	CRD# 129052	09/23/2022
IA	PNC WEALTH MANAGEMENT	CRD# 129052	10/28/2022

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **6** 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	PNC INVESTMENTS	129052	DESERT HOT SPRINGS, CA	09/26/2022 - 10/27/2022
IA	J.P. MORGAN SECURITIES LLC	79	PALM SPRINGS, CA	04/06/2021 - 09/13/2022
B	J.P. MORGAN SECURITIES LLC	79	PALM SPRINGS, CA	03/31/2021 - 09/13/2022

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
Regulatory Event	1
Judgment/Lien	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 **6** jurisdiction(s) and 1 SRO(s) through his or her employer(s).

Employment 1 of 1

Firm Name: **PNC WEALTH MANAGEMENT**
Main Address: 300 FIFTH AVENUE
26TH FLOOR
PITTSBURGH, PA 15222-2722
Firm ID#: 129052

	Regulator	Registration	Status	Date
B	FINRA	General Securities Representative	Approved	09/23/2022
B	Arizona	Agent	Approved	08/01/2024
B	California	Agent	Approved	10/28/2022
IA	California	Investment Adviser Representative	Approved	10/28/2022
B	Florida	Agent	Approved	12/12/2025
B	New Jersey	Agent	Approved	03/28/2025
B	Texas	Agent	Approved	03/13/2025
B	Wisconsin	Agent	Approved	05/08/2023

Branch Office Locations

PNC WEALTH MANAGEMENT
420 SOUTH PALM CANYON DRIVE
PALM SPRINGS, CA 92262

PNC WEALTH MANAGEMENT
72625 HIGHWAY 111
PALM DESERT, CA 92260

PNC WEALTH MANAGEMENT
81020 HIGHWAY 111
INDIO, CA 92201



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 1 state securities law exam.

Principal/Supervisory Exams

Exam	Category	Date
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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	10/14/2004

State Securities Law Exams

Exam	Category	Date
IA B Uniform Combined State Law Examination (S66)	Series 66	12/01/2004



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	09/26/2022 - 10/27/2022	PNC INVESTMENTS	CRD# 129052	DESERT HOT SPRINGS
IA	04/06/2021 - 09/13/2022	J.P. MORGAN SECURITIES LLC	CRD# 79	PALM SPRINGS, CA
B	03/31/2021 - 09/13/2022	J.P. MORGAN SECURITIES LLC	CRD# 79	PALM SPRINGS, CA
IA	06/07/2019 - 02/26/2021	PRUDENTIAL FINANCIAL PLANNING SERVICES	CRD# 5685	Palm Desert, CA
B	06/05/2019 - 02/26/2021	PRUCO SECURITIES, LLC.	CRD# 5685	Palm Desert, CA
IA	12/04/2013 - 01/23/2019	TD AMERITRADE INVESTMENT MANAGEMENT, LLC	CRD# 111514	INDIAN WELLS, CA
B	12/04/2013 - 01/23/2019	TD AMERITRADE, INC.	CRD# 7870	INDIAN WELLS, CA
IA	12/04/2013 - 01/23/2019	TD AMERITRADE, INC.	CRD# 7870	INDIAN WELLS, CA
IA	06/23/2009 - 11/21/2013	VALIC FINANCIAL ADVISORS, INC.	CRD# 42803	ORANGE, CA
B	06/22/2009 - 11/21/2013	VALIC FINANCIAL ADVISORS, INC.	CRD# 42803	ORANGE, CA
B	05/29/2008 - 02/03/2009	WACHOVIA SECURITIES, LLC	CRD# 19616	DESERT HOT SPRINGS
IA	05/29/2008 - 02/03/2009	WACHOVIA SECURITIES, LLC	CRD# 19616	DESERT HOT SPRINGS
B	01/22/2007 - 04/14/2008	EDWARD JONES	CRD# 250	LA QUINTA, CA
IA	01/22/2007 - 04/14/2008	EDWARD JONES	CRD# 250	LA QUINTA, CA
B	12/14/2006 - 01/24/2007	WADDELL & REED, INC.	CRD# 866	RIVERSIDE, CA
IA	12/14/2006 - 01/24/2007	WADDELL & REED, INC.	CRD# 866	RIVERSIDE, CA
B	08/22/2006 - 10/27/2006	WM FINANCIAL SERVICES, INC.	CRD# 599	SAN DIEGO, CA



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	08/22/2006 - 10/27/2006	WM FINANCIAL SERVICES, INC.	CRD# 599	SAN DIEGO, CA
B	07/13/2005 - 05/12/2006	BANC OF AMERICA INVESTMENT SERVICES, INC.	CRD# 16361	PALM SPRINGS, CA
IA	07/13/2005 - 05/12/2006	BANC OF AMERICA INVESTMENT SERVICES, INC.	CRD# 16361	PALM SPRINGS, CA
IA	12/02/2004 - 06/09/2005	WELLS FARGO INVESTMENTS, LLC	CRD# 10582	PALM SPRINGS, CA
B	10/15/2004 - 06/09/2005	WELLS FARGO INVESTMENTS, LLC	CRD# 10582	SAN FRANCISCO, CA

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
09/2022 - Present	PNC Investments LLC	Financial Advisor	Y	Palm Springs, CA, United States
02/2021 - 09/2022	JP Morgan Chase Bank N.A.	Private Client Banker	Y	Palm Springs, CA, United States
02/2021 - 09/2022	JP Morgan Securities LLC	Registered Representative	Y	Palm Springs, CA, United States
06/2019 - 02/2021	PRUCO SECURITIES, LLC.	REGISTERED REPRESENTATIVE	Y	EL SEGUNDO, CA, United States
06/2019 - 02/2021	THE PRUDENTIAL INSURANCE CO. OF AMERICA	FINANCIAL PROFESSIONAL	N	EL SEGUNDO, CA, United States
02/2019 - 05/2019	UNEMPLOYED	UNEMPLOYED	N	PALM DESERT, CA, United States
11/2013 - 01/2019	TD AMERITRADE	INVESTMENT CONSULTANT	Y	INDIAN WELLS, CA, United States
11/2013 - 01/2019	TD Ameritrade Investment Managements, LLC	Registered Representative	Y	Indian Wells, CA, 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
Regulatory Event	1
Judgment/Lien	2

Regulatory Event

This disclosure event may include a final, formal proceeding initiated by a regulatory authority (e.g., a state securities agency, a federal regulator such as the Securities and Exchange Commission or the Commodities Futures Trading Commission, or a foreign financial regulatory body) for a violation of investment-related rules or regulations. This disclosure event may also include a revocation or suspension of an Investment Adviser Representative's authority to act as an attorney, accountant or federal contractor.

Disclosure 1 of 1

Reporting Source:	Individual
Regulatory Action Initiated By:	California Department of Insurance
Sanction(s) Sought:	Other: Restriction
Date Initiated:	07/24/2019
Docket/Case Number:	PLBS 13178-A (AR)
Employing firm when activity occurred which led to the regulatory action:	Prudential
Product Type:	Insurance
Allegations:	I failed to disclose several traffic misdemeanor to the state insurance commissioner
Current Status:	Final
Resolution:	Order
Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct?	No
Resolution Date:	09/12/2019
Sanctions Ordered:	Other: Restricted Life and Health License was granted.
Broker Statement	I was unaware that I was required to disclose traffic misdemeanors to the state



insurance commissioner. When I reapplied for my insurance license I was made aware that it was required. After I explained to the insurance commissioner what happened, I was granted a restricted insurance license



Judgment/Lien

This disclosure event involves an unsatisfied and outstanding judgment or lien against the Investment Adviser Representative.

Disclosure 1 of 2

Reporting Source:	Individual
Judgment/Lien Holder:	Internal Revenue Services
Judgment/Lien Amount:	\$3,482.69
Judgment/Lien Type:	Tax
Date Filed with Court:	10/26/2021
Date Individual Learned:	11/23/2021
Type of Court:	Federal Tax Lien
Name of Court:	Federal Tax Lien
Location of Court:	Riverside, California
Docket/Case #:	2021-0631334
Judgment/Lien Outstanding?	Yes

Disclosure 2 of 2

Reporting Source:	Individual
Judgment/Lien Holder:	Internal Revenue Service
Judgment/Lien Amount:	\$41,918.97
Judgment/Lien Type:	Tax
Date Filed with Court:	04/29/2021
Date Individual Learned:	05/10/2021
Type of Court:	Tax Lien
Name of Court:	Tax Lien
Location of Court:	Riverside, California
Docket/Case #:	2021-0266453
Judgment/Lien Outstanding?	Yes



End of Report

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