



IAPD Report

BRIAN CHRISTOPHER CASEBEER

CRD# 5278171

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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

BRIAN CHRISTOPHER CASEBEER (CRD# 5278171)

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 **04/01/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
IA	WELLS FARGO ADVISORS	CRD# 11025	08/19/2022
B	WELLS FARGO ADVISORS FINANCIAL NETWORK, LLC	CRD# 11025	08/19/2022

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **25** 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
B	WELLS FARGO CLEARING SERVICES, LLC	19616	TOPEKA, KS	05/26/2016 - 08/19/2022
IA	WELLS FARGO CLEARING SERVICES, LLC	19616	TOPEKA, KS	05/26/2016 - 08/19/2022
B	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	7691	LEAWOOD, KS	12/05/2011 - 06/23/2016

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
Criminal	1
Termination	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 **25** jurisdiction(s) and 1 SRO(s) through his or her employer(s).

Employment 1 of 1

Firm Name: **WELLS FARGO ADVISORS**
Main Address: ONE NORTH JEFFERSON AVENUE
MAIL CODE: H0004-05E
ST. LOUIS, MO 63103-2205
Firm ID#: 11025

	Regulator	Registration	Status	Date
B	FINRA	General Securities Representative	Approved	08/19/2022
B	FINRA	General Securities Sales Supervisor	Approved	08/19/2022
B	Alabama	Agent	Approved	08/31/2022
B	Alaska	Agent	Approved	09/07/2022
B	Arizona	Agent	Approved	08/19/2022
B	Arkansas	Agent	Approved	08/19/2022
B	California	Agent	Approved	08/19/2022
B	Colorado	Agent	Approved	09/14/2023
B	Florida	Agent	Approved	08/19/2022
B	Georgia	Agent	Approved	08/19/2022
B	Hawaii	Agent	Approved	10/27/2022
B	Illinois	Agent	Approved	09/15/2022
B	Iowa	Agent	Approved	08/19/2022



Qualifications

	Regulator	Registration	Status	Date
B	Kansas	Agent	Approved	08/19/2022
IA	Kansas	Investment Adviser Representative	Approved	08/19/2022
B	Massachusetts	Agent	Approved	08/19/2022
B	Minnesota	Agent	Approved	07/07/2025
B	Missouri	Agent	Approved	09/06/2022
B	Nebraska	Agent	Approved	03/05/2024
B	New Mexico	Agent	Approved	08/19/2022
B	Ohio	Agent	Approved	01/16/2026
B	Oregon	Agent	Approved	08/19/2022
B	South Dakota	Agent	Approved	08/19/2022
B	Texas	Agent	Approved	08/19/2022
IA	Texas	Investment Adviser Representative	Restricted Approval	08/19/2022
B	Utah	Agent	Approved	08/19/2022
B	Virginia	Agent	Approved	08/19/2022
B	Washington	Agent	Approved	08/19/2022
B	Wisconsin	Agent	Approved	06/21/2024

Branch Office Locations

WELLS FARGO ADVISORS
2955 SW WANAMAKER DR.
SUITE C
TOPEKA, KS 66614



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

Principal/Supervisory Exams

	Exam	Category	Date
	General Securities Sales Supervisor - General Module Examination (S10)	Series 10	10/20/2012
	General Securities Sales Supervisor - Options Module Examination (S9)	Series 9	10/15/2012

General Industry/Product Exams

	Exam	Category	Date
	Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
	National Commodity Futures Examination (S3)	Series 3	01/10/2013
	General Securities Representative Examination (S7)	Series 7	03/07/2007

State Securities Law Exams

	Exam	Category	Date
 	Uniform Combined State Law Examination (S66)	Series 66	03/22/2007

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
B	05/26/2016 - 08/19/2022	WELLS FARGO CLEARING SERVICES, LLC	CRD# 19616	TOPEKA, KS
IA	05/26/2016 - 08/19/2022	WELLS FARGO CLEARING SERVICES, LLC	CRD# 19616	TOPEKA, KS
B	12/05/2011 - 06/23/2016	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	CRD# 7691	LEAWOOD, KS
IA	12/05/2011 - 06/23/2016	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	CRD# 7691	TOPEKA, KS
IA	04/10/2007 - 12/06/2011	EDWARD JONES	CRD# 250	TOPEKA, KS
B	03/08/2007 - 12/06/2011	EDWARD JONES	CRD# 250	TOPEKA, KS

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
08/2022 - Present	WELLS FARGO ADVISORS FINANCIAL NETWORK, LLC	REGISTERED REP	Y	TOPEKA, KS, United States
11/2016 - 08/2022	WELLS FARGO CLEARING SERVICES, LLC	Registered Rep	Y	Topeka, KS, United States
05/2016 - 11/2016	Wells Fargo Advisors, LLC	Registered Rep	Y	Topeka, KS, 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.

CASTING LOTS LLC, INV RELATED, TOPEKA, KS, 33.33% OWNERSHIP, START 8/8/2017, .1 HOURS PER MONTH, ZERO HOURS DURING TRADING, LANDOWNER LEAVING LOT VACANT NEAR HOME.

CASEBEER MCCOLLUM WEALTH MANAGEMENT, INV RELATED, TOPEKA, KS, 50% OWNERSHIP, START 8/3/2022, 20 HOURS PER MONTH, 10 HOURS DURING TRADING, FINET PRACTICE.

CASEBEER MANAGEMENT LLC, INV RELATED, TOPEKA, KS, 100% OWNERSHIP, START 8/3/2022, 160 HOURS PER MONTH, 160 HOURS DURING TRADING, FINET PRACTICE.

TRUTHMARK LLC, INV RELATED, TOPEKA, KS, 100% OWNERHSIP, START:3/1/24, 10 HRS PER MONTH, 0 HRS DURING TRADING, MARKETING BUSINESS;



Registration & Employment History



OTHER BUSINESS ACTIVITIES

MUSTARD SEED HOLDINGS, LLC ; INV RELATED;TOPEKA,KS; REAL ESTATE;50% OWNERSHIP; START DATE: 03/16/2026; 2 HRS PER MONTH; 0 HRS DURING TRADING;



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*.
 - o A "pending" disclosure event involves allegations that have not been proven or formally adjudicated.
 - o A disclosure event that is "on appeal" involves allegations that have been adjudicated but are currently being appealed.
 - o 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*.
 - o 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.
 - o 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.
 - o 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
Criminal	1
Termination	1

Criminal

This disclosure event involves a criminal charge against the Investment Adviser Representative that has resulted in a dismissal, plea, acquittal or conviction. The criminal matter may relate to any felony or certain misdemeanor offenses (e.g., bribery, perjury, forgery, counterfeiting, extortion, fraud, wrongful taking of property).

Disclosure 1 of 1

Reporting Source: Individual

Organization Name (if charge(s) were brought against an organization over which individual exercised control): N/A

Court Details: MUNICIAPL COURT PF PITTSBURG,KS - CITY OF PITTSBURG, CRAWFORD COUNT, KANSAS - DOCKET #94-3789 AND 94-3790

Charge Date: 08/22/1994

Charge Details: (1)1 MISDEMEANOR COUNT DISORDERLY CONDUCT;PLED NO LO CONTENDRE (2)1 MISDEMEANOR COUNT OF WILLFULLY OBTAINING A HAIRCUT OF THE VALUE OF \$8.00 FROM ANOTHER 2 WIT BY DECEPTION; CHARGE DISMISSED

Felony? No

Current Status: Final

Status Date: 08/31/1994

Disposition Details: DISORDERLY CONDUCT-CONVECTED ON 8/31/1994 WITH 6 MONTHS PROBATION STARTING 8/31/1994 WITH A \$50.00 FINE AND \$16.50 IN COURT COSTS.

WILFULLY OBTAINING A \$8.00 HAIRCUT BY DESCEPTION - CHARGE WAS DISMISSED ON 8/31/1994. ITEMS C THROUGH G N/A



Termination

This disclosure event involves a situation where the Investment Adviser Representative voluntarily resigned, was discharged or was permitted to resign after allegations were made that accused the Investment Adviser Representative of violating investment-related statutes, regulations, rules or industry standards of conduct; fraud or the wrongful taking of property; or failure to supervise in connection with investment-related statutes, regulations, rules or industry standards of conduct.

Disclosure 1 of 1

Reporting Source: Firm
Firm Name: Merrill Lynch, Pierce, Fenner & Smith Incorporated
Termination Type: Voluntary Resignation
Termination Date: 05/26/2016
Allegations: Accepting trade and account instructions from an unauthorized third party.
Product Type: Equity Listed (Common & Preferred Stock)
Mutual Fund

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Reporting Source: Individual
Firm Name: Merrill Lynch, Pierce, Fenner & Smith Incorporated
Termination Type: Voluntary Resignation
Termination Date: 05/26/2016
Allegations: Accepting trade and account instructions from an unauthorized third party.
Product Type: Equity Listed (Common & Preferred Stock)
Mutual Fund

Broker Statement Merrill Lynch amended this form at Section 14 J by checking the 'yes' option next to item #1 indicating I voluntarily resigned, was discharged or permitted to resign for violating investment related statutes, regulations, rules, or industry standards of conduct. The explanatory basis they rely upon is stated on page 3/3, item number 4, as "accepting trade and account instructions from an unauthorized third party". This allegation is untrue and retaliatory and is one that has never been made known to me as such before their filing of this disclosure.

My resignation with Merrill was of my own volition. There was no event falling within that sort of issue and my decision to resign was the result of their failure to perform on matters they said they would do that were still unperformed after four and a half years later. Merrill Lynch had induced me to work there and remain there for many years with false statements and promises. After realizing the statements they made which I had relied upon and been misled by were fraudulently made and also a breach of their contract with me I simply decided I had to leave. I am in absolute disagreement with their statement! "Accepting trade and account instructions from an unauthorized third party" and that sort of thing on my part was not at all involved in my separation of employment in any way.

Merrill Lynch has made this allegation in retaliation for my resignation due to their allegations to them about their liability exposure to me and efforts to settle it. At the time I resigned I delivered a letter outlining the issues I note above and requested a settlement because of it. This latest action is a confirmation of, and direct representation of how Merrill Lynch, Bank of America has treated, and continues to treat me.

A review the circumstances which have led me to leave Merrill Lynch was included in my resignation letters. Merrill had made oral representations to me that induced



me to come to work for them by stating I would be able to open and manage an office in Topeka, KS for them, which was my primary market area and once which I had developed on my own.. A Memorandum of Understanding was executed by them on February 8, 2012, along with the representations from various Merrill Lynch management personnel over the time frame of my employment until recently which always led me to believe and promised me a Topeka location would be opened, such promises first being a location with a bank presence. When Merrill Lynch decided they could not do provide that, a Merrill Lynch full-time office was still promised and represented. None of that came about. It was not going to happen so I resigned.

Because I had incurred damages from their actions and would incur damages, and because it was expected they would claim entitlement to and repayment of certain advances, and because I had earned that compensation and other payments promised, but not yet paid, I sought to seek a voluntary settlement of their wrongful conduct directly with them as part of my severance of employment. Instead of doing that, and rather than responding, they have amended the Disclosure and falsely alleged 14J and its explanation, a complete fabrication



End of Report

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