



IAPD Report

BRIAN M SAUERS

CRD# 6375587

<u>Section Title</u>	<u>Page(s)</u>
Report Summary	1 - 2
Qualifications	3 - 6
Registration and Employment History	7 - 8
Disclosure Information	9



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 M SAUERS (CRD# 6375587)

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 **01/29/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
IA	DKCB FINANCIAL ADVISORS, LLC	CRD# 126493	07/15/2021
IA	DAVIE KAPLAN WEALTH CARE ADVISORS, LLC	CRD# 140436	07/15/2021
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 **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	AVANTAX ADVISORY SERVICES	104556	ROCHESTER, NY	10/24/2023 - 09/05/2025
B	AVANTAX INVESTMENT SERVICES, INC.	13686	ROCHESTER, NY	10/25/2019 - 09/05/2025
B	1ST GLOBAL CAPITAL CORP.	30349	ROCHESTER, NY	10/03/2014 - 10/25/2019

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
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Report Summary

Criminal

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

Employment 1 of 4

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 California	Agent	Approved	09/05/2025
B Colorado	Agent	Approved	09/05/2025
B Connecticut	Agent	Approved	09/05/2025
B New York	Agent	Approved	09/05/2025
B North Carolina	Agent	Approved	09/05/2025
B Pennsylvania	Agent	Approved	09/05/2025

Branch Office Locations

CETERA ADVISOR NETWORKS LLC
100 MERIDIAN CENTRE BLVD
SUITE 200
ROCHESTER, NY 14618

Employment 2 of 4

Firm Name: **CETERA INVESTMENT ADVISERS LLC**
Main Address: 1450 AMERICAN LANE
6TH FLOOR, SUITE 650
SCHAUMBURG, IL 60173-2096
Firm ID#: 105644



Qualifications

Regulator	Registration	Status	Date
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IA New York	Investment Adviser Representative	Approved	09/05/2025
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Branch Office Locations

CETERA INVESTMENT ADVISERS LLC

100 MERIDIAN CENTRE BLVD
SUITE 200
ROCHESTER, NY 14618

Employment 3 of 4

Firm Name: **DKCB FINANCIAL ADVISORS, LLC**
Main Address: 100 MERIDIAN CENTRE BLVD.
SUITE 200
ROCHESTER, NY 14618
Firm ID#: 126493

Regulator	Registration	Status	Date
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IA New York	Investment Adviser Representative	Approved	07/15/2021
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Branch Office Locations

DKCB FINANCIAL ADVISORS, LLC

100 MERIDIAN CENTRE BLVD.
SUITE 200
ROCHESTER, NY 14618

Employment 4 of 4

Firm Name: **DAVIE KAPLAN WEALTH CARE ADVISORS, LLC**
Main Address: 100 MERIDIAN CENTRE BLVD.
SUITE 200
ROCHESTER, NY 14618
Firm ID#: 140436

Regulator	Registration	Status	Date
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IA New York	Investment Adviser Representative	Approved	07/15/2021
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Branch Office Locations

DAVIE KAPLAN WEALTH CARE ADVISORS, LLC

100 MERIDIAN CENTRE BLVD.
SUITE 200



Qualifications

ROCHESTER, NY 14618



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
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Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
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General Securities Representative Examination (S7)	Series 7	10/03/2014
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State Securities Law Exams

Exam	Category	Date
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Uniform Combined State Law Examination (S66)	Series 66	12/09/2014
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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	10/24/2023 - 09/05/2025	AVANTAX ADVISORY SERVICES	CRD# 104556	ROCHESTER, NY
B	10/25/2019 - 09/05/2025	AVANTAX INVESTMENT SERVICES, INC.	CRD# 13686	ROCHESTER, NY
B	10/03/2014 - 10/25/2019	1ST GLOBAL CAPITAL CORP.	CRD# 30349	ROCHESTER, 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
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	ROCHESTER, NY, United States
07/2015 - Present	DAVIE KAPLAN WEALTH CARE ADVISORS, LLC	INVESTMENT ADVISER REPRESENTATIVE	Y	ROCHESTER, NY, United States
12/2014 - Present	DKCB FINANCIAL ADVISORS, LLC	INVESTMENT ADVISER REPRESENTATIVE	Y	ROCHESTER, NY, United States
01/2004 - Present	DAVIE KAPLAN, CPA, P.C.	SHAREHOLDER AND FINANCIAL PROFESSIONAL	Y	ROCHESTER, NY, United States
10/2023 - 09/2025	Avantax Advisory Services	Investment Adviser Representative	Y	Rochester, NY, United States
10/2019 - 09/2025	Avantax Investment Services, Inc.	Registered Representative	Y	Rochester, NY, United States
07/2017 - 09/2025	Avantax Insurance Services, Inc.	Insurance Agent	Y	Rochester, NY, United States
12/2014 - 10/2019	1ST GLOBAL ADVISORS, INC	INVESTMENT ADVISER REPRESENTATIVE	Y	ROCHESTER, NY, United States
12/2014 - 10/2019	1ST GLOBAL CAPITAL CORP	FINANCIAL ADVISOR	Y	ROCHESTER, NY, 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) DKCB FINANCIAL ADVISORS, LLC POSITION: REFERRAL NATURE: FINANCIAL SERVICES INVESTMENT RELATED: Yes NUMBER OF HOURS: 1 SECURITIES TRADING HOURS: 1 START DATE: 12/01/2014 ADDRESS: Rochester NY 14614, United States DESCRIPTION: REFER HIGH NET WORTH CLIENTS TO RIA AS APPROPRIATE.

2) TEN UGLY PROPERTIES, LLC POSITION: OWNER NATURE: RENTAL REAL ESTATE INVESTMENT RELATED: Yes NUMBER OF HOURS: 2 SECURITIES TRADING HOURS: 0 START DATE: 06/01/2004 ADDRESS: Rochester NY 14626, United States DESCRIPTION: WHOLLY RESPONSIBLE FOR ALL ACTIVITIES

3) DAVIE KAPLAN WEALTH CARE ADVISORS, LLC (FORMERLY DKCB WEALTH CARE ADVISORS, LLC) POSITION: MEMBER/REFERRING ADVISOR; FINANCIAL SERVICES INVESTMENT RELATED: Yes NUMBER OF HOURS: 20 SECURITIES TRADING HOURS: 0 START DATE: 11/30/2014 ADDRESS: , Rochester NY 14614, United States DESCRIPTION: DBA FOR FINANCIAL SERVICES;

4) DAVIE KAPLAN WEALTH CARE ADVISORS, LLC (RIA) POSITION: Advisor NATURE: Financial Planning INVESTMENT RELATED: Yes NUMBER OF HOURS: 2 SECURITIES TRADING HOURS: 2 START DATE: ADDRESS: 1000 First Federal Plaza, Rochester NY 14614, United States DESCRIPTION: Financial Planning

5) DAVIE KAPLAN WEALTH CARE ADVISORS, LLC (INSURANCE) POSITION: INSURANCE AGENT NATURE: Insurance Sales INVESTMENT RELATED: Yes NUMBER OF HOURS: 2 SECURITIES TRADING HOURS: 2 START DATE: ADDRESS: 1000 First Federal Plaza, Rochester NY 14614, United States DESCRIPTION: CONDUCTS INSURANCE SALES/REFERRALS

6) DAVIE KAPLAN, CPA, P. C. POSITION: SHAREHOLDER AND FINANCIAL PROFESSIONAL, NATURE: INVESTMENT RELATED: Yes NUMBER OF HOURS: 35 SECURITIES TRADING HOURS: 35 START DATE: ADDRESS: 1000 First Federal Plaza, Rochester NY 14614, United States DESCRIPTION: CONDUCTS INSURANCE SALES/REFERRALS

7) ROCHESTER HEARING AND SPEECH CENTER, INC. POSITION: Board Member NATURE: I serve on the board of directors and some committees of the board. This is a volunteer position with no compensation. Rochester Hearing & Speech Center is a not-for-profit entity; INVESTMENT RELATED: No NUMBER OF HOURS: 4 SECURITIES TRADING HOURS: 0 START DATE: 08/01/2019 ADDRESS: 1000 Elmwood Avenue, Suite 400, Rochester NY 14620, United States DESCRIPTION: I serve on the board of directors and some committees (finance and executive) of the board. This is a volunteer position with no compensation. I am not an officer. I do not have check-signing authority. I review financial results as prepared by Agency personnel. I put forth strategic suggestions for the Agency but do not management day-to-day operations.



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
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Criminal	1
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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
If charge(s) were brought against an organization over which individual exercised control:	
Organization Name:	N/A
Investment Related Business:	No
Position:	N/A
Formal Charges were brought in:	State Court
Name of Court:	NEW YORK
Location of Court:	STAFFORD TOWN COURT
Docket/Case #:	CASE # 00071020
Charge Date:	06/10/2000
Charge(s) 1 of 3	
Formal Charge(s)/Description:	SECTION CHARGED PL 120.03 APP. TK ASSAULT 3
No of Counts:	1
Felony or Misdemeanor:	Felony
Plea for each charge:	NOT GUILTY
Disposition of charge:	Dismissed
Charge(s) 2 of 3	



Formal Charge(s)/Description: SECTION CHARGES VTL 1128A - LK157551 2 FLD USE PROPER LANE

No of Counts: 1

Felony or Misdemeanor: Misdemeanor

Plea for each charge: NOT GUILTY

Disposition of charge: Dismissed

Charge(s) 3 of 3

Formal Charge(s)/Description: SECTION CHARGED VTL 1192.3

No of Counts: 1

Felony or Misdemeanor: Misdemeanor

Plea for each charge: GUILTY

Disposition of charge: Pled guilty

Current Status: Final

Status Date: 10/03/2000

Disposition Date: 10/03/2000

Sentence/Penalty: \$600 FINE WITH \$95 SURCHARGE; SUSPENDED DRIVING LICENSE FOR 6 MONTHS COMMENCING 10/03/2000 THROUGH 04/03/2000



End of Report

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