BrokerCheck Report

Brian Thomas Keith

CRD# 1692285

Section Title	Page(s)

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.

About BrokerCheck®

BrokerCheck offers information on all current, and many former, registered securities brokers, and all current and former registered securities firms. FINRA strongly encourages investors to use BrokerCheck to check the background of securities brokers and brokerage firms before deciding to conduct, or continue to conduct, business with them.

- **What is included in a BrokerCheck report?**
- BrokerCheck reports for individual brokers include information such as employment history, professional qualifications, disciplinary actions, criminal convictions, civil judgments and arbitration awards. BrokerCheck reports for brokerage firms include information on a firm's profile, history, and operations, as well as many of the same disclosure events mentioned above.
- Please note that the information contained in a BrokerCheck 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 broker or brokerage firm, or concluded through a negotiated settlement with no admission or finding of wrongdoing.
- **Where did this information come from?**
- The information contained in BrokerCheck comes from FINRA's Central Registration Depository, or CRD® and is a combination of:
  - information FINRA and/or the Securities and Exchange Commission (SEC) require brokers and brokerage firms to submit as part of the registration and licensing process, and
  - information that regulators report regarding disciplinary actions or allegations against firms or brokers.
- **How current is this information?**
- Generally, active brokerage firms and brokers are required to update their professional and disciplinary information in CRD within 30 days. Under most circumstances, information reported by brokerage firms, brokers and regulators is available in BrokerCheck the next business day.
- **What if I want to check the background of an investment adviser firm or investment adviser representative?**
- To check the background of an investment adviser firm or representative, you can search for the firm or individual in BrokerCheck. If your search is successful, click on the link provided to view the available licensing and registration information in the SEC's Investment Adviser Public Disclosure (IAPD) website at https://www.adviserinfo.sec.gov. In the alternative, you may search the IAPD website directly or contact your state securities regulator at http://www.finra.org/Investors/ToolsCalculators/BrokerCheck/P455414.
- **Are there other resources I can use to check the background of investment professionals?**
- FINRA recommends that you learn as much as possible about an investment professional before deciding to work with them. Your state securities regulator can help you research brokers and investment adviser representatives doing business in your state.

Thank you for using FINRA BrokerCheck.

Using this site/information means that you accept the FINRA BrokerCheck Terms and Conditions. A complete list of Terms and Conditions can be found at

brokercheck.finra.org

For additional information about the contents of this report, please refer to the User Guidance or www.finra.org/brokercheck. It provides a glossary of terms and a list of frequently asked questions, as well as additional resources. For more information about FINRA, visit www.finra.org.

Brian T. Keith

CRD# 1692285

Currently employed by and registered with the following Firm(s):

B **FARMERS FINANCIAL SOLUTIONS, LLC**
1903 N GLENOAKS BLVD STE D
BURBANK, CA 91505
CRD# 103863
Registered with this firm since: 01/08/2025

Report Summary for this Broker

This report summary provides an overview of the broker's professional background and conduct. Additional information can be found in the detailed report.

Broker Qualifications

This broker is registered with:

- 1 Self-Regulatory Organization
- 1 U.S. state or territory

This broker has passed:

- 0 Principal/Supervisory Exams
- 3 General Industry/Product Exams
- 3 State Securities Law Exams

Registration History

This broker was previously registered with the following securities firm(s):

IA **MML INVESTORS SERVICES, LLC**
CRD# 10409
SPRINGFIELD, MA
11/2024 - 12/2024

B **MML INVESTORS SERVICES, LLC**
CRD# 10409
Los Angeles, CA
11/2024 - 12/2024

IA **AMERIPRISE FINANCIAL SERVICES, LLC**
CRD# 6363
MINNEAPOLIS, MN
08/2023 - 10/2024

Disclosure Events

All individuals registered to sell securities or provide investment advice are required to disclose customer complaints and arbitrations, regulatory actions, employment terminations, bankruptcy filings, and criminal or civil judicial proceedings.

Are there events disclosed about this broker? **Yes**

The following types of disclosures have been reported:

Type	Count
Customer Dispute	2

Broker Qualifications

Registrations

This section provides the self-regulatory organizations (SROs) and U.S. states/territories the broker is currently registered and licensed with, the category of each license, and the date on which it became effective. This section also provides, for every brokerage firm with which the broker is currently employed, the address of each branch where the broker works.

This individual is currently registered with 1 SRO and is licensed in 1 U.S. state or territory through his or her employer.

Employment 1 of 1

Firm Name: **FARMERS FINANCIAL SOLUTIONS, LLC**

Main Office Address: **31051 AGOURA RD.**
WESTLAKE VILLAGE, CA 91361

Firm CRD#: **103863**

	SRO	Category	Status	Date
B	FINRA	General Securities Representative	Approved	01/08/2025

	U.S. State/ Territory	Category	Status	Date
B	California	Agent	Approved	01/09/2025

Branch Office Locations

FARMERS FINANCIAL SOLUTIONS, LLC
1903 N GLENOAKS BLVD STE D
BURBANK, CA 91505

Broker Qualifications

Industry Exams this Broker has Passed

This section includes all securities industry exams that the broker has passed. Under limited circumstances, a broker may attain a registration after receiving an exam waiver based on exams the broker has passed and/or qualifying work experience. Any exam waivers that the broker has received are not included below. A passed exam or exam waiver does not permit a broker to do business without an active SRO or state registration.

This individual has passed 0 principal/supervisory exams, 3 general industry/product exams, and 3 state securities law exams.

Principal/Supervisory Exams

Exam	Category	Date
No information reported.		

General Industry/Product Exams

	Exam	Category	Date
B	General Securities Representative Examination	Series 7TO	06/23/2023
B	Securities Industry Essentials Examination	SIE	02/06/2023
B	General Securities Representative Examination	Series 7	05/20/1989

State Securities Law Exams

	Exam	Category	Date
B IA	Uniform Combined State Law Examination	Series 66	08/09/2023
IA	Uniform Investment Adviser Law Examination	Series 65	09/09/1995
B	Uniform Securities Agent State Law Examination	Series 63	03/16/1989

Additional information about the above exams or other exams FINRA administers to brokers and other securities professionals can be found at www.finra.org/brokerqualifications/registeredrep/.

Broker Qualifications

Professional Designations

This section details that the representative has reported **0** professional designation(s).

No information reported.

Registration and Employment History

Registration History

The broker previously was registered with the following firms:

	Registration Dates	Firm Name	CRD#	Branch Location
IA	11/2024 - 12/2024	MML INVESTORS SERVICES, LLC	10409	Los Angeles, CA
B	11/2024 - 12/2024	MML INVESTORS SERVICES, LLC	10409	Los Angeles, CA
IA	08/2023 - 10/2024	AMERIPRISE FINANCIAL SERVICES, LLC	6363	Los Angeles, CA
B	06/2023 - 10/2024	AMERIPRISE FINANCIAL SERVICES, LLC	6363	Los Angeles, CA
IA	09/2006 - 11/2007	GUNNALLEN FINANCIAL, INC	17609	SANTA MONICA, CA
B	09/2006 - 11/2007	GUNNALLEN FINANCIAL, INC	17609	SANTA MONICA, CA
B	01/2005 - 09/2006	M.L. STERN & CO., LLC.	8327	BEVERLY HILLS, CA
IA	01/2005 - 09/2006	M. L. STERN & CO, LLC.	8327	BEVERLY HILLS, CA
B	10/2004 - 01/2005	J.P. TURNER & COMPANY, L.L.C.	43177	ATLANTA, GA
B	06/2004 - 10/2004	FIRST MONTAUK SECURITIES CORP.	13755	RED BANK, NJ
IA	06/2004 - 10/2004	FIRST MONTAUK SECURITIES CORP.	13755	BEVERLY HILLS, CA
B	01/1999 - 08/2002	JACKSON NATIONAL LIFE DISTRIBUTORS, INC.	40178	FRANKLIN, TN
B	04/1998 - 06/1998	CHASE INVESTMENT SERVICES CORP.	25574	CHICAGO, IL
B	01/1996 - 01/1998	PRUDENTIAL SECURITIES INCORPORATED	7471	NEW YORK, NY
B	11/1992 - 12/1995	PAINEWEBBER INCORPORATED	8174	WEEHAWKEN, NJ
B	06/1989 - 12/1992	SMITH BARNEY, HARRIS UPHAM & CO., INCORPORATED	7059	NEW YORK, NY
B	05/1989 - 01/1990	DREXEL BURNHAM LAMBERT INCORPORATED	7323	

Employment History

Registration and Employment History

Employment History, continued

This section provides up to 10 years of an individual broker's employment history as reported by the individual broker on the most recently filed Form U4.

Please note that the broker is required to provide this information only while registered with FINRA or a national securities exchange and the information is not updated via Form U4 after the broker ceases to be registered. Therefore, an employment end date of "Present" may not reflect the broker's current employment status.

Employment	Employer Name	Position	Investment Related	Employer Location
01/2025 - Present	Farmers Financial Solutions	Registered Representative	Y	Burbank, CA, United States
12/2024 - Present	Farmers Insurance	Insurance agent	N	Burbank, CA, United States
11/2024 - 12/2024	MML Investors Services, LLC	Registered Rep	Y	Los Angeles, CA, United States
11/2024 - 12/2024	MMLIS Inc.	Financial Advisor	Y	Los Angeles, CA, United States
09/2024 - 12/2024	MassMutual Life Insurance Company	Agent	Y	Los Angeles, CA, United States
03/2023 - 10/2024	Ameriprise	Financial Advisor	Y	Los Angeles, CA, United States
03/2023 - 09/2024	AMERIPRISE FINANCIAL SERVICES, LLC	Registered Rep	Y	Los Angeles, CA, United States
11/2008 - 03/2023	SELF EMPLOYED	Freelance	N	Los Angeles, CA, United States
05/2008 - 03/2023	The Passman Group	Real Estate Agent	N	Los Angeles, CA, United States

Other Business Activities

This section includes information, if any, as provided by the broker regarding other business activities the broker 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 Events

What you should know about reported disclosure events:

1. All individuals registered to sell securities or provide investment advice are required to disclose customer complaints and arbitrations, regulatory actions, employment terminations, bankruptcy filings, and criminal or civil judicial proceedings.

2. **Certain thresholds must be met before an event is reported to CRD, for example:**
   - A law enforcement agency must file formal charges before a broker is required to disclose a particular criminal event.
   - A customer dispute must involve allegations that a broker engaged in activity that violates certain rules or conduct governing the industry and that the activity resulted in damages of at least $5,000.
   -

3. **Disclosure events in BrokerCheck reports come from different sources:**
   - As mentioned at the beginning of this report, information contained in BrokerCheck comes from brokers, brokerage 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 BrokerCheck report. The different versions will be separated by a solid line with the reporting source labeled.
   -

4. **There are different statuses and dispositions for disclosure events:**
   - A disclosure event may have a status of *pending, on appeal,* or *final.*
     - A "pending" event involves allegations that have not been proven or formally adjudicated.
     - An event that is "on appeal" involves allegations that have been adjudicated but are currently being appealed.
     - A "final" event has been concluded and its resolution is not subject to change.
   - A final 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 involves an agreement by the parties to resolve the matter. Please note that brokers and brokerage firms may choose to settle customer disputes or regulatory matters for business or other reasons.
     - A "resolved" matter usually involves no payment to the customer and no finding of wrongdoing on the part of the individual broker. Such matters generally involve customer disputes.

For your convenience, below is a matrix of the number and status of disclosure events involving this broker. Further information regarding these events can be found in the subsequent pages of this report. You also may wish to contact the broker to obtain further information regarding these events.

	Pending	Final	On Appeal
Customer Dispute	0	2	N/A

Disclosure Event Details

When evaluating this information, please keep in mind that a discloure event may be pending or involve allegations that are contested and have not been resolved or proven. The matter may, in the end, be withdrawn, dismissed, resolved in favor of the broker, or concluded through a negotiated settlement for certain business reasons (e.g., to maintain customer relationships or to limit the litigation costs associated with disputing the allegations) with no admission or finding of wrongdoing.

This report provides the information exactly as it was reported to CRD and therefore some of the specific data fields contained in the report may be blank if the information was not provided to CRD.

Customer Dispute - Settled

This type of disclosure event involves a consumer-initiated, investment-related complaint, arbitration proceeding or civil suit containing allegations of sale practice violations against the broker that resulted in a monetary settlement to the customer.

Disclosure 1 of 2

Reporting Source:	Firm
Employing firm when activities occurred which led to the complaint:	PAINEWEBBER INCORPORATED
Allegations:	INITIAL GENERAL INQUIRY BY CLIENTS' ATTY RE ACCT PERFORMANCE DURING THE PERIOD 9/92-12/95. NO DAMAGES CLAIMED OR SPECIFIED.
Product Type:	
Alleged Damages:	

Customer Complaint Information

Date Complaint Received:	11/16/1995
Complaint Pending?	No
Status:	Settled
Status Date:	02/22/1996
Settlement Amount:	$30,000.00
Individual Contribution Amount:	
Firm Statement	PW REVIEWED ACCT ACTIVITY PER CLIENT REQUEST & DETERMINED THAT SUITABILITY ISSUES WERE RAISED. PW SETTLED THE MATTER FOR $30K. PREPARED BY: [BROKER DEALER CONTACT PERSON] (201) 902-8211

Reporting Source:	Broker
Employing firm when activities occurred which led to the complaint:	PAINEWEBBER INCORPORATED
Allegations:	INITIAL GENERAL INQUIRY BY THE CLIENTS RE ACCT. PERFORMANCE DURING THE PERIOD 9/92-12/95. NO DAMAGES CLAIMED OR SPECIFIED.
Product Type:	Equity Listed (Common & Preferred Stock)
Alleged Damages:	$0.00

Customer Complaint Information

Date Complaint Received:	11/16/1995
Complaint Pending?	No
Status:	Settled
Status Date:	02/22/1996
Settlement Amount:	$30,000.00
Individual Contribution Amount:	$0.00
Broker Statement	AFTER INITIALLY DEFENDING THIS COMPLAINT, PAINEWEBBER ULTIMATELY SETTLED THIS MATTER, OVER MY OBJECTION, FOR ECONOMIC REASONS, NOT BASED ON THE MERITS OF THE CASE. EACH AND EVERY TRANSACTION IN THIS ACCOUNT WAS BASED ENTIRELY ON PAINEWEBBER RESEARCH RECOMMENDATIONS, MET WITH THE FULL KNOWLEDGE AND PRIOR APPROVAL OF THE ACCOUNT OWNERS, AND WAS EFFECTED SOLELY FOR THE BENEFIT OF THE CLIENTS. [CUSTOMER] LATER CONFIDED TO ME THAT HER ACCOUNTANT ALONE HAD BEEN RESPONSIBLE FOR "PUSHING" THIS COMPLAINT, (IN RETROSPECT, [CUSTOMER] SAID FOR HIS OWN PERSONAL GAIN) AND THAT SHE HERSELF KNEW I HAD ONLY ACTED IN THEIR BEST INTEREST. MY CONTRIBUTION TO THIS SETTLEMENT WAS ZERO DOLLARS.

Disclosure 2 of 2

Reporting Source:	Firm

Employing firm when activities occurred which led to the complaint: PAINEWEBBER

Allegations: CLIENT QUESTIONS THE FREQUENCY OF TRDG IN HIS ACCT & ALLEGES IT IS INCONSISTENT WITH HIS INVESTMENT OBJECTIVES. TIME FRAME SPECIFIED IS 1993, & ALLEGED DAMAGES ARE $50K.

Product Type:

Alleged Damages: $50,000.00

Customer Complaint Information

Date Complaint Received: 08/25/1994

Complaint Pending? No

Status: Settled

Status Date:

Settlement Amount: $25,000.00

Individual Contribution Amount:

Firm Statement PW SETTLED THE CASE FOR $25K. PW WILL SEEK FULL CONTRIBUTION FROM THE BROKER
PREPARED BY: [BROKER DEALER CONTACT PERSON] (201) 902-6284

Reporting Source: Broker

Employing firm when activities occurred which led to the complaint: PAINEWEBBER

Allegations: THE CLIENT QUESTIONS THE FREQUENCY OF TRADING IN THE ACCOUNT AND ALLEGES THAT IT APPEARS INCONSISTENT WITH HIS INVESTMENT OBJECTIVES. THE TIME PERIOD SPECIFIED IS THE YEAR 1993. ALLEGED DAMAGES AT PAINEWEBBER ARE UNSPECIFIED.

Product Type: Equity - OTC

Alleged Damages: $50,000.00

Customer Complaint Information

Date Complaint Received: 08/25/1994

Complaint Pending?	No
Status:	Settled
Status Date:	11/20/1994
Settlement Amount:	$25,000.00
Individual Contribution Amount:	$0.00
Broker Statement	AFTER INITIALLY DEFENDING THIS COMPLAINT, PAINEWEBBER ULTIMATELY SETTLED THE MATTER, OVER MY OBJECTION, FOR ECONOMIC REASONS, NOT BASED ON THE MERITS OF THE CASE. EACH AND EVERY TRANSACTION IN THIS ACCOUNT MET WITH THE FULL KNOWLEDGE AND PRIOR APPROVAL OF THE CLIENT, WAS BASED ENTIRELY ON PAINEWEBBER RESEARCH RECOMMENDATIONS, AND WAS EFFECTED SOLELY FOR THE BENEFIT OF THE CLIENT. THIS MATTER PRIMARILY INVOLVED THE CLIENT'S PURCHASE OF NIKKEI MARKET INDEX WARRANTS WHICH WERE UNDERWRITTEN, ISSUED, SOLD AND PROMOTED BY PAINE WEBBER. FURTHER, PAINE WEBBER APPROVED THE PURCHASE OF THESE WARRANTS FOR THIS CLIENT'S ACCOUNT. SOON AFTER THEIR IPO, THE VALUE OF THESE WARRANTS DECLINED PRECIPITOUSLY. THE CLIENT BECAME EXTREMELY NERVOUS AND, AGAINST MY VEHEMENT RECOMMENDATION TO ALLOW THIS INVESTMENT ADDITIONAL TIME TO WORK, INSISTED THAT THE WARRANTS BE SOLD IMMEDIATELY (AT A LOSS). SOME TIME LATER, MY CLIENT'S SON (WHO WAS NOT AN OWNER OF, NOR AN INTERSTED PARTY ON THIS ACCOUNT) QUESTIONED, IN HINDSIGHT, THIS DECISION AND THE RELATED TRADING DECISIONS, AND INSISTED TO MY CLIENT THAT HE FILE A COMPLAINT. MY CLIENT, [CUSTOMER], LATER CONFIDED TO ME THAT THE COMPLAINT WAS ENTIRELY MOTIVATED BY HIS SON WHO, PARENTHETICALLY, HAD NEVER SPOKEN WITH ME DIRECTLY. PAINE WEBBER INITIALLY DEFENDED THIS COMPLAINT. AFTER THE COMPLAINT WAS LATER PURSUED FURTHER, THE FIRM ULTIMATELY SETTLED THE MATTER FOR ECONOMIC REASONS, RATHER THAN ON THE MERITS OF THE CASE. MY CONTRIBUTION AMOUNT TO THIS SETTLEMENT WAS ZERO DOLLARS.

End of Report

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