

## BrokerCheck Report

**PATRICK TODD MEAD**

CRD# 1959855

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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.

## 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](http://brokercheck.finra.org)



For additional information about the contents of this report, please refer to the User Guidance or [www.finra.org/brokercheck](http://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](http://www.finra.org).

**PATRICK T. MEAD**

CRD# 1959855

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

**IA** **EQUITABLE ADVISORS, LLC**  
 12625 HIGH BLUFF DRIVE  
 SUITE 212  
 SAN DIEGO, CA 92130  
 CRD# 6627  
 Registered with this firm since: 11/21/2025

**B** **EQUITABLE ADVISORS, LLC**  
 12625 HIGH BLUFF DRIVE  
 SUITE 212  
 SAN DIEGO, CA 92130  
 CRD# 6627  
 Registered with this firm since: 11/21/2025

**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
- 11 U.S. states and territories

**This broker has passed:**

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

**Registration History**

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

- IA** **LPL FINANCIAL LLC**  
 CRD# 6413  
 FORT MILL, SC  
 06/2018 - 11/2025
- B** **LPL FINANCIAL LLC**  
 CRD# 6413  
 SAN DIEGO, CA  
 06/2018 - 11/2025
- IA** **FIRST ALLIED ADVISORY SERVICES, INC.**  
 CRD# 137888  
 SAN DIEGO, CA  
 10/2013 - 07/2018

**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 11 U.S. states and territories through his or her employer.**

### Employment 1 of 1

Firm Name: **EQUITABLE ADVISORS, LLC**  
 Main Office Address: **1345 AVENUE OF THE AMERICAS  
 NEW YORK, NY 10105**  
 Firm CRD#: **6627**

	SRO	Category	Status	Date
B	FINRA	General Securities Principal	Approved	11/21/2025
B	FINRA	General Securities Representative	Approved	11/21/2025
B	FINRA	Invest. Co and Variable Contracts	Approved	11/21/2025
B	FINRA	Investment Co./Variable Contracts Prin	Approved	11/21/2025
B	FINRA	Municipal Securities Principal	Approved	11/21/2025
B	FINRA	Municipal Securities Representative	Approved	11/21/2025

	U.S. State/ Territory	Category	Status	Date
B	Arizona	Agent	Approved	11/21/2025
B	California	Agent	Approved	11/21/2025
IA	California	Investment Adviser Representative	Approved	11/21/2025
B	Colorado	Agent	Approved	11/21/2025
B	Florida	Agent	Approved	11/21/2025
B	Indiana	Agent	Approved	11/21/2025
B	Iowa	Agent	Approved	12/01/2025



Broker Qualifications

Employment 1 of 1, continued

	U.S. State/ Territory	Category	Status	Date
B	Michigan	Agent	Approved	11/21/2025
B	Nevada	Agent	Approved	12/18/2025
B	Oregon	Agent	Approved	11/21/2025
B	Texas	Agent	Approved	11/21/2025
IA	Texas	Investment Adviser Representative	Restricted Approval	11/21/2025
B	Utah	Agent	Approved	11/21/2025

Branch Office Locations

EQUITABLE ADVISORS, LLC  
12625 HIGH BLUFF DRIVE  
SUITE 212  
SAN DIEGO, CA 92130

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## 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 3 principal/supervisory exams, 4 general industry/product exams, and 2 state securities law exams.**

### Principal/Supervisory Exams

Exam	Category	Date
<b>B</b> Municipal Securities Principal Examination	Series 53	04/04/2003
<b>B</b> General Securities Principal Examination	Series 24	12/29/1998
<b>B</b> Investment Company Products/Variable Contracts Principal Examination	Series 26	02/25/1997

### General Industry/Product Exams

Exam	Category	Date
<b>B</b> Municipal Securities Representative Examination	Series 52TO	01/02/2023
<b>B</b> Securities Industry Essentials Examination	SIE	10/01/2018
<b>B</b> General Securities Representative Examination	Series 7	08/21/1998
<b>B</b> Investment Company Products/Variable Contracts Representative Examination	Series 6	06/13/1989

### State Securities Law Exams

Exam	Category	Date
<b>IA</b> Uniform Investment Adviser Law Examination	Series 65	01/21/1999
<b>B</b> Uniform Securities Agent State Law Examination	Series 63	06/19/1989

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/](http://www.finra.org/brokerqualifications/registeredrep/).



## Broker Qualifications

### Professional Designations

This section details that the representative has reported **1** professional designation(s).

#### Certified Financial Planner

This representative holds or did hold **1** professional designation(s) that may have been used to qualify as an Investment Advisor representative. Please check with the appropriate designation authority for verification that the designation is still in effect. The contact information for these professional designation authorities can be found on the website for the North American Securities Administrators Association at <http://www.nasaa.org>



## Registration and Employment History

### Registration History

The broker previously was registered with the following firms:

Registration Dates	Firm Name	CRD#	Branch Location
<b>B</b> 06/2018 - 11/2025	LPL FINANCIAL LLC	6413	SAN DIEGO, CA
<b>IA</b> 06/2018 - 11/2025	LPL FINANCIAL LLC	6413	SAN DIEGO, CA
<b>IA</b> 10/2013 - 07/2018	FIRST ALLIED ADVISORY SERVICES, INC.	137888	SAN DIEGO, CA
<b>B</b> 10/2013 - 07/2018	FIRST ALLIED SECURITIES, INC.	32444	SAN DIEGO, CA
<b>IA</b> 01/2010 - 11/2012	NEW ENGLAND SECURITIES CORPORATION	615	WOODLAND HILLS, CA
<b>B</b> 11/2009 - 11/2012	NEW ENGLAND SECURITIES	615	WOODLAND HILLS, CA
<b>IA</b> 11/1995 - 11/2009	AXA ADVISORS, LLC	6627	SAN DIEGO, CA
<b>B</b> 06/1989 - 11/2009	AXA ADVISORS, LLC	6627	SAN DIEGO, CA
<b>B</b> 06/1989 - 01/2000	THE EQUITABLE LIFE ASSURANCE SOCIETY OF THE UNITED STATES	4039	NEW YORK, NY

### Employment History

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
11/2025 - Present	Equitable Advisors, LLC	Registered Representative	Y	New York, NY, United States
06/2018 - 11/2025	LPL Financial, LLC	Registered Representative	Y	San Diego, CA, United States
10/2013 - 06/2018	FIRST ALLIED ADVISORY SERVICES, INC.	INVESTMENT ADVISORY REPRESENTATIVE	Y	CHESTERFIELD, MO, United States
10/2013 - 06/2018	FIRST ALLIED SECURITIES, INC.	REGISTERED REPRESENTATIVE	Y	SAN DIEGO, CA, United States



## Registration and Employment History



### Employment History, continued

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#### 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.

1. Insurance Agent - Outside Fixed Insurance Sales.
  2. Co-Trustee for self.
  3. Trustee of Uncle's Trust
  4. High Net Specialist, Inc. - S. Corp. established for tax purposes and business expenses.
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## 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.
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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 disclosure 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

<b>Reporting Source:</b>	Firm
<b>Employing firm when activities occurred which led to the complaint:</b>	First Allied Securities, Inc.
<b>Allegations:</b>	Claimant generally alleges suitability, common law fraud, breach of contract, negligence, and breaches of duty and contract.
<b>Product Type:</b>	Real Estate Security
<b>Alleged Damages:</b>	\$250,000.00
<b>Is this an oral complaint?</b>	No
<b>Is this a written complaint?</b>	No
<b>Is this an arbitration/CFTC reparation or civil litigation?</b>	Yes
<b>Arbitration/Reparation forum or court name and location:</b>	FINRA
<b>Docket/Case #:</b>	21-01752
<b>Filing date of arbitration/CFTC reparation or civil litigation:</b>	07/09/2021

### Customer Complaint Information

**Date Complaint Received:** 07/15/2021



**Complaint Pending?** No

**Status:** Settled

**Status Date:** 10/07/2022

**Settlement Amount:** \$55,000.00

**Individual Contribution Amount:** \$0.00

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**Reporting Source:** Broker

**Employing firm when activities occurred which led to the complaint:** FIRST ALLIED SECURITIES, INC.

**Allegations:** Claimant generally alleges suitability, common law fraud, breach of contract, negligence, and breaches of duty and contract.

**Product Type:** Real Estate Security

**Alleged Damages:** \$250,000.00

**Is this an oral complaint?** No

**Is this a written complaint?** No

**Is this an arbitration/CFTC reparation or civil litigation?** Yes

**Arbitration/Reparation forum or court name and location:** FINRA

**Docket/Case #:** 21-01752

**Filing date of arbitration/CFTC reparation or civil litigation:** 07/09/2021

### Customer Complaint Information

**Date Complaint Received:** 07/15/2021

**Complaint Pending?** No

**Status:** Settled

**Status Date:** 10/07/2022

**Settlement Amount:** \$55,000.00



**Individual Contribution Amount:** \$0.00

**Broker Statement**

I am a conscientious financial professional with a superior regulatory record and over 30 years of industry experience. No allegations of wrongdoing have been made against me in this complaint, and I am not a named defendant in the client's Statement of Claim against the sponsoring firm for the investment in question. FINRA rules require a disclosure such as this because I was the advisor of record for this client, and this disclosure is required even if the claims are later dismissed or judged to be invalid. The investment in question was deemed suitable and appropriate based on the clients' objectives and all firm and regulatory guidelines. The clients have recently made similar investments to this one which directly contradicts their claims that the investment in question was unsuitable. The fact that the award they seek far exceeds the original investment is also noteworthy

**Disclosure 2 of 2**

**Reporting Source:** Broker

**Employing firm when activities occurred which led to the complaint:** EQUITABLE LIFE

**Allegations:** DESPITE HAVING ACKNOWLEDGED RECEIPT OF A PROSPECTUS IN ADVANCE OF THE CONVERSION, CUSTOMER ALLEGES DAMAGES OF APPROX. \$25,000 IN CONNECTION WITH THE CONVERSION OF HIS TERM INSURANCE TO A VARIABLE LIFE POLICY AND CLAIMS THAT HE WOULD NOT HAVE CONVERTED HIS POLICY IF HE HAD BEEN AWARE OF THE CHARGES HE EVENTUALLY INCURRED. I AM AN AGENT OF EQUITABLE LIFE.

**Product Type:** Insurance  
Other: VUL

**Alleged Damages:** \$25,000.00

**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:** 02/02/1995

**Complaint Pending?** No



**Status:** Settled

**Status Date:** 02/16/1995

**Settlement Amount:** \$25,026.23

**Individual Contribution Amount:** \$0.00

**Broker Statement**

Without any solicitation, this client requested to convert his term life policy to a cash value policy because he believed that assets held in a cash value life insurance policy would be protected from the claims of creditors. When he discovered that the details of such creditor protection would not work in his favor, he changed his mind about the conversion and demanded a refund. He alleged that he would not have converted his policy if he had been aware of the costs which he ultimately incurred despite having acknowledged in advance of the conversion receipt of a prospectus and an illustration detailing all costs. His request was made well outside of the 30-day free look period, but the company elected to refund his premiums and reinstate his term policy based on my advocacy and as a show of good faith. No accusations of inappropriate behavior were ever made against me in this case, and what is recorded as a settlement is simply a refund of the client's cumulative premiums that he had paid into his cash value policy.

## End of Report



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