BrokerCheck Report

BRIAN JAMES MEGLEY

CRD# 2302308

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.
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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 J. MEGLEY

CRD# 2302308

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

IA **CETERA INVESTMENT ADVISERS LLC**
130 BELLEVUE AVE STE 207
NEWPORT, RI 02840
CRD# 105644
Registered with this firm since: 03/21/2024

B **CETERA ADVISORS LLC**
130 BELLEVUE AVE STE 207
NEWPORT, RI 02840
CRD# 10299
Registered with this firm since: 10/03/2016

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
- 16 U.S. states and territories

This broker has passed:

- 1 Principal/Supervisory Exam
- 2 General Industry/Product Exams
- 2 State Securities Law Exams

Registration History

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

IA **CETERA ADVISORS LLC**
CRD# 10299
GREENWOOD VILLAGE, IL
10/2016 - 03/2024

IA **INVESTORS CAPITAL ADVISORY**
CRD# 30613
LYNNFIELD, MA
03/2013 - 10/2016

B **INVESTORS CAPITAL CORP.**
CRD# 30613
NEWPORT, RI
03/2013 - 10/2016

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	4
Termination	1

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 16 U.S. states and territories through his or her employer.

Employment 1 of 2

Firm Name: **CETERA ADVISORS LLC**

Main Office Address: **5299 DTC BLVD #800**
GREENWOOD VILLAGE, CO 80111

Firm CRD#: **10299**

	SRO	Category	Status	Date
B	FINRA	General Securities Principal	Approved	10/03/2016
B	FINRA	General Securities Representative	Approved	10/03/2016

	U.S. State/ Territory	Category	Status	Date
B	Alabama	Agent	Approved	10/03/2016
B	Arizona	Agent	Approved	09/24/2024
B	Connecticut	Agent	Approved	04/22/2024
B	Florida	Agent	Approved	10/06/2016
B	Kansas	Agent	Approved	10/03/2016
B	Maine	Agent	Approved	10/03/2016
B	Massachusetts	Agent	Approved	10/03/2016
B	New Mexico	Agent	Approved	10/03/2016
B	New York	Agent	Approved	10/03/2016
B	North Carolina	Agent	Approved	01/06/2025
B	Ohio	Agent	Approved	10/03/2016

Broker Qualifications

Employment 1 of 2, continued

	U.S. State/ Territory	Category	Status	Date
B	Oregon	Agent	Approved	10/03/2016
B	Rhode Island	Agent	Approved	10/03/2016
B	South Carolina	Agent	Approved	10/28/2025
B	Texas	Agent	Approved	10/03/2016
B	Virginia	Agent	Approved	04/25/2023

Branch Office Locations

CETERA ADVISORS LLC
130 BELLEVUE AVE STE 207
NEWPORT, RI 02840

Employment 2 of 2

Firm Name: **CETERA INVESTMENT ADVISERS LLC**

Main Office Address: **1450 AMERICAN LANE**
6TH FLOOR, SUITE 650
SCHAUMBURG, IL 60173-2096

Firm CRD#: **105644**

	U.S. State/ Territory	Category	Status	Date
IA	Rhode Island	Investment Adviser Representative	Approved	03/21/2024
IA	Texas	Investment Adviser Representative	Restricted Approval	03/21/2024

Branch Office Locations

130 BELLEVUE AVE STE 207
NEWPORT, RI 02840

Broker Qualifications

Employment 2 of 2, continued

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

Principal/Supervisory Exams

	Exam	Category	Date
B	General Securities Principal Examination	Series 24	08/23/2010

General Industry/Product Exams

	Exam	Category	Date
B	Securities Industry Essentials Examination	SIE	10/01/2018
B	General Securities Representative Examination	Series 7	01/22/1993

State Securities Law Exams

	Exam	Category	Date
B IA	Uniform Combined State Law Examination	Series 66	06/28/2007
B	Uniform Securities Agent State Law Examination	Series 63	02/25/1993

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	10/2016 - 03/2024	CETERA ADVISORS LLC	10299	GREENWOOD VILLAGE, IL
IA	03/2013 - 10/2016	INVESTORS CAPITAL ADVISORY	30613	NEWPORT, RI
B	03/2013 - 10/2016	INVESTORS CAPITAL CORP.	30613	NEWPORT, RI
B	11/2007 - 02/2013	WELLS FARGO ADVISORS FINANCIAL NETWORK, LLC	11025	NEWPORT, RI
IA	11/2007 - 02/2013	WELLS FARGO ADVISORS FINANCIAL NETWORK, LLC	11025	NEWPORT, RI
IA	11/2004 - 11/2007	UBS FINANCIAL SERVICES INC.	8174	PROVIDENCE, RI
B	03/2002 - 11/2007	UBS FINANCIAL SERVICES INC.	8174	PROVIDENCE, RI
B	01/1993 - 04/2002	A. G. EDWARDS & SONS, INC.	4	ST. LOUIS, MO

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
03/2024 - Present	CETERA INVESTMENT ADVISERS LLC	INVESTMENT ADVISOR REPRESENTATIVE	Y	SCHAUMBURG, IL, United States
01/2021 - Present	BELLEVUE PRIVATE WEALTH, LLC	FINANCIAL PROFESSIONAL	Y	NEWPORT, RI, United States
10/2016 - Present	CETERA ADVISORS LLC	REGISTERED REPRESENTATIVE	Y	DENVER, CO, United States
11/2007 - 01/2021	BELLEVUE FINANCIAL LLC	REGISTERED REP/IAR	Y	NEWPORT, RI, United States

Registration and Employment History

Employment History, continued

Employment	Employer Name	Position	Investment Related	Employer Location
03/2013 - 10/2016	INVESTORS CAPITAL CORPORATION	REGISTERED REPRESENTATIVE	Y	LYNNFIELD, MA, 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.

1) NAME OF OTHER BUSINESS: BELLEVUE PRIVATE WEALTH, LLC;
INVESTMENT RELATED: YES;
ADDRESS: SAME AS REGISTERED LOCATION;
NATURE OF BUSINESS: FINANCIAL SERVICES;
START DATE: 1/2021;
POSITION/TITLE/RELATIONSHIP: FINANCIAL PROFESSIONAL;
APX NUMBER OF HOURS PER WEEK: 40;
APX NUMBER OF TRADING HOURS PER WEEK: 32.5;
BRIEF DESCRIPTION OF DUTIES: DBA FOR FINANCIAL SERVICES;
2) NAME OF OTHER BUSINESS: FIXED INSURANCE WITH VARIOUS COMPANIES,
INVESTMENT RELATED: YES,
ADDRESS: SAME AS REGISTERED LOCATION,
NATURE OF BUSINESS: FIXED INSURANCE,
START DATE: 09/2023,
APX NUMBER OF HOURS PER WEEK: VARIES,
APX NUMBER OF HOURS DURING TRADING HOURS: VARIES,
POSITION/TITLE/RELATIONSHIP: INSURANCE AGENT ,
BRIEF DESCRIPTION OF DUTIES: SELLS LIFE INSURANCE;
3) NAME OF OTHER BUSINESS: RHODE ISLAND SALTWATER ANGLERS ASSOCIATION;
INVESTMENT RELATED: NO;
ADDRESS: 6 ARNOLD ROAD COVENTRY, RI 02816;
NATURE OF BUSINESS: NON PROFIT;
START DATE: 04/2024;
POSITION/TITLE/RELATIONSHIP: CHAIRPERSON;
APX NUMBER OF HOURS PER WEEK: 1;
APX NUMBER OF HOURS DURING TRADING HOURS: 1;
BRIEF DESCRIPTION OF DUTIES: RESPONSIBLE FOR ASSESSING GRANT REQUESTS, MAKING RECOMMENDATIONS TO THE RISAA BOARD FOR THEIR APPROVAL;

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	4	N/A
Termination	N/A	1	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:	Broker
Employing firm when activities occurred which led to the complaint:	INVESTORS CAPITAL CORP.
Allegations:	Claimants allege they were recommended and overconcentrated in suitable investments.
Product Type:	Real Estate Security
Alleged Damages:	$0.00
Alleged Damages Amount Explanation (if amount not exact):	Believed to be $5,000 or more
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-Los Angeles, CA
Docket/Case #:	23-00108
Filing date of arbitration/CFTC reparation or civil litigation:	07/06/2023

Customer Complaint Information

Date Complaint Received: 07/06/2023

Complaint Pending? No

Status: Settled

Status Date: 09/01/2023

Settlement Amount: $80,000.00

Individual Contribution Amount: $0.00

Broker Statement THIS MATTER WAS RELATED TO A REIT THAT FILED FOR CHAPTER 11 BANKRUPTCY PROTECTION. THIS MATTER WAS SETTLED BY THE FIRM WITH NO CONTRIBUTION FROM ME.

Disclosure 2 of 2

Reporting Source: Broker

Employing firm when activities occurred which led to the complaint: UBS FINANCIAL SERVICES INC.

Allegations: CUSTOMER'S ATTORNEY ALLEGES THAT FINANCIAL ADVISOR UNLAWFULLY SOLD 600 SHARES OF STAR GAS WITHOUT THE REQUIRED DISCRETIONARY POWER TO MAKE THE TRANSACTION. ALLEGED DAMAGES: ESTIMATED. TO BE IN EXCESS OF $5,000. TIME PERIOD: 2004.

Product Type: Equity - OTC

Alleged Damages:

Customer Complaint Information

Date Complaint Received: 04/25/2005

Complaint Pending? No

Status: Settled

Status Date: 05/06/2005

Settlement Amount: $4,800.00

Individual Contribution Amount: $0.00

Customer Dispute - Closed-No Action / Withdrawn / Dismissed / Denied

This type of disclosure event involves (1) a consumer-initiated, investment-related arbitration or civil suit containing allegations of sales practice violations against the individual broker that was dismissed, withdrawn, or denied; or (2) a consumer-initiated, investment-related written complaint containing allegations that the broker engaged in sales practice violations resulting in compensatory damages of at least $5,000, forgery, theft, or misappropriation, or conversion of funds or securities, which was closed without action, withdrawn, or denied.

Disclosure 1 of 2

Reporting Source:	Broker
Employing firm when activities occurred which led to the complaint:	WACHOVIA SECURITIES, LLC
Allegations:	CLIENT ALLEGES UNSUITABLE INVESTMENT. ALLEGES DAMAGES, NOT SPECIFIED, OVER $5000.00. (08/17/2008)
Product Type:	Other
Other Product Type(s):	MISCELLANEOUS
Alleged Damages:	$0.00

Customer Complaint Information

Date Complaint Received:	02/08/2009
Complaint Pending?	No
Status:	Denied
Status Date:	03/27/2009
Settlement Amount:	
Individual Contribution Amount:	
Broker Statement	DENIED

Disclosure 2 of 2

Reporting Source:	Broker
Employing firm when activities occurred which led to the complaint:	A.G. EDWARDS & SONS, INC.
Allegations:	CLIENT ALLEGED FAILURE TO FOLLOW INSTRUCTIONS TO RE-PURCHASE STOCK.
Product Type:	Equity - OTC

Alleged Damages: $100,000.00

Customer Complaint Information

Date Complaint Received:	12/29/1999
Complaint Pending?	No
Status:	Closed/No Action
Status Date:	01/02/2002
Settlement Amount:	$0.00
Individual Contribution Amount:	$0.00
Broker Statement	A.G. EDWARDS RESPONDED TO CLIENT AND DENIED CLAIM JUNE 2001. NO FURTHER CORRESPONDENCE HAS BEEN RECEIVED FROM THIS CLIENT, THEREFORE, THIS MATTER IS CONSIDERED TO BE CLOSED.

Employment Separation After Allegations

This type of disclosure event involves a situation where the broker voluntarily resigned, was discharged, or was permitted to resign after being accused of (1) violating investment-related statutes, regulations, rules or industry standards of conduct; (2) fraud or the wrongful taking of property; or (3) failure to supervise in connection with investment-related statutes, regulations, rules, or industry standards of conduct.

Disclosure 1 of 1

Reporting Source:	Firm
Employer Name:	WELLS FARGO ADVISORS FINANCIAL NETWORK, LLC.
Termination Type:	Discharged
Termination Date:	01/17/2013
Allegations:	EXERCISED DISCRETION IN CUSTOMER ACCOUNTS WITHOUT WRITTEN AUTHORIZATION FROM THE CUSTOMER TO DO SO.
Product Type:	Equity Listed (Common & Preferred Stock)

Reporting Source:	Broker
Employer Name:	WELLS FARGO ADVISORS FINANCIAL NETWORK, LLC
Termination Type:	Discharged
Termination Date:	01/17/2013
Allegations:	EXERCISED DISCRETION IN CUSTOMER ACCOUNTS WITHOUT WRITTEN AUTHORIZATION FROM THE CUSTOMER TO DO SO.
Product Type:	Equity Listed (Common & Preferred Stock)
Broker Statement	I WAS TOLD REASON FOR MY TERMINATION BY WFA WAS BECAUSE OF AN "UNRESOLVED ISSUE" ON MY ANNUAL AUDIT WHICH SHOWED A SMALL % OF TRANSACTIONS WERE CLOSE TOGETHER IN TIME AND SALES. SINCE I HAD SPOKEN TO THE CLIENTS BEFORE TRANSACTING I WAS NOT WILLING ADMIT TO USING DISCRETION. THERE WERE NO SPECIFIC TRADES IDENTIFIED BY WFA AS UNAUTHORIZED, NO CLIENT COMPLAINTS, OR TRANSACTIONS REVERSED AS A RESULT. MY FOUR PREVIOUS BRANCH AUDITS WERE CLEAN AND I WAS AWARDED AUDIT BONUSES.

End of Report

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