

## BrokerCheck Report

**JEFFREY ALAN LABRI**

CRD# 2581719

<u>Section Title</u>	<u>Page(s)</u>
Report Summary	1
Broker Qualifications	2 - 5
Registration and Employment History	7 - 8
Disclosure Events	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.

## 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).

**JEFFREY A. LABRI**

CRD# 2581719

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

**IA CETERA INVESTMENT ADVISERS LLC**  
 675 N BARKER RD  
 SUITE 310  
 BROOKFIELD, WI 53045  
 CRD# 105644  
 Registered with this firm since: 11/12/2020

**B CETERA ADVISORS LLC**  
 675 NORTH BARKER ROAD SUITE 310  
 BROOKFIELD, WI 53045  
 CRD# 10299  
 Registered with this firm since: 09/08/2022

**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
- 18 U.S. states and territories

**This broker has passed:**

- 0 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):**

**B FIRST ALLIED SECURITIES, INC.**  
 CRD# 32444  
 BROOKFIELD, WI  
 01/2007 - 09/2022

**IA FIRST ALLIED ADVISORY SERVICES, INC.**  
 CRD# 137888  
 SAN DIEGO, CA  
 07/2012 - 11/2020

**IA FIRST ALLIED SECURITIES, INC.**  
 CRD# 32444  
 SAN DIEGO, CA  
 01/2007 - 07/2012

**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
Criminal	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 18 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 Representative	Approved	09/08/2022
B	FINRA	Operations Professional	Approved	09/08/2022

	U.S. State/ Territory	Category	Status	Date
B	Arizona	Agent	Approved	09/08/2022
B	California	Agent	Approved	09/08/2022
B	Colorado	Agent	Approved	09/08/2022
B	Florida	Agent	Approved	09/08/2022
B	Georgia	Agent	Approved	03/25/2025
B	Illinois	Agent	Approved	09/08/2022
B	Kentucky	Agent	Approved	09/25/2025
B	Montana	Agent	Approved	09/08/2022
B	New Mexico	Agent	Approved	09/08/2022
B	New York	Agent	Approved	09/08/2022
B	North Carolina	Agent	Approved	09/25/2025



## Broker Qualifications

### Employment 1 of 2, continued

	U.S. State/ Territory	Category	Status	Date
B	Ohio	Agent	Approved	09/08/2022
B	Oregon	Agent	Approved	09/08/2022
B	South Carolina	Agent	Approved	09/08/2022
B	Tennessee	Agent	Approved	03/21/2025
B	Texas	Agent	Approved	09/08/2022
B	Washington	Agent	Approved	04/04/2024
B	Wisconsin	Agent	Approved	09/08/2022

### Branch Office Locations

#### CETERA ADVISORS LLC

675 NORTH BARKER ROAD SUITE 310  
BROOKFIELD, WI 53045

### 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	Texas	Investment Adviser Representative	Restricted Approval	11/12/2020
IA	Wisconsin	Investment Adviser Representative	Approved	11/12/2020

### Branch Office Locations

## Broker Qualifications



### Employment 2 of 2, continued

675 N BARKER RD  
SUITE 310  
BROOKFIELD, WI 53045

---



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

### Principal/Supervisory Exams

Exam	Category	Date
No information reported.		

### General Industry/Product Exams

Exam	Category	Date
<b>B</b> Operations Professional Examination	Series 99TO	01/02/2023
<b>B</b> Securities Industry Essentials Examination	SIE	10/01/2018
<b>B</b> Futures Managed Funds Examination	Series 31	12/10/2004
<b>B</b> General Securities Representative Examination	Series 7	03/06/1995

### State Securities Law Exams

Exam	Category	Date
<b>IA</b> Uniform Investment Adviser Law Examination	Series 65	03/15/1995
<b>B</b> Uniform Securities Agent State Law Examination	Series 63	03/10/1995

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 **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
<b>B</b> 01/2007 - 09/2022	FIRST ALLIED SECURITIES, INC.	32444	BROOKFIELD, WI
<b>IA</b> 07/2012 - 11/2020	FIRST ALLIED ADVISORY SERVICES, INC.	137888	BROOKFIELD, WI
<b>IA</b> 01/2007 - 07/2012	FIRST ALLIED SECURITIES, INC.	32444	BROOKFIELD, WI
<b>B</b> 07/2003 - 01/2007	WACHOVIA SECURITIES, LLC	19616	WAUKESHA, WI
<b>IA</b> 07/2003 - 01/2007	WACHOVIA SECURITIES, LLC	19616	WAUKESHA, WI
<b>IA</b> 07/1997 - 07/2003	PRUDENTIAL SECURITIES INCORPORATED	7471	MILWAUKEE, WI
<b>B</b> 03/1995 - 07/2003	PRUDENTIAL SECURITIES INCORPORATED	7471	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
09/2022 - Present	CETERA ADVISORS LLC	REGISTERED REP	Y	BROOKFIELD, WI, United States
11/2020 - Present	FIRST ALLIED ADVISORY SERVICES	INVESTMENT ADVISOR REPRESENTATIVE	Y	SCHAUMBURG, IL, United States
01/2007 - 09/2022	FIRST ALLIED SECURITIES, INC.	FINANCIAL CONSULTANT	N	SAN DIEGO, CA, United States
07/2012 - 11/2020	FIRST ALLIED ADVISORY SERVICES, INC.	INVESTMENT ADVISER REPRESENTATIVE	Y	CHESTERFIELD, MO, United States



## Registration and Employment History

### 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.) JEFF LA BRI; AGENT; INSURANCE; START: 11/1/2009
  - 2.) WATERTOWN OFFICE PLEX CONDO ASSN; PRESIDENT; START: 11/1/2009
  - 3.) LA BRI GROUP LLC; "DOING BUSINESS AS" (DBA)
  - 4.) BLACK SWAN MANAGEMENT, LLC; MANAGER; REAL ESTATE (RENT/INVEST/DEVELOP); START DATE: 8/31/2010
  - 5.) JDH LLC; OWNER; FIDUCIARY POSITION; START DATE 01/01/2002; 4 HOURS PER MONTH.
  - 6.) 675 BARKER LLC; MANAGER; HOLDING COMPANY; START DATE 01/01/2007; 4 HOURS PER MONTH.
  - 7.) JESA LLC; MANAGER; HOLDING COMPANY; START DATE 07/05/2017; ZERO HOURS PER WEEK.
  - 8.) LA BRI GROUP, LLC; OWNER/PRESIDENT/FINANCIAL ADVISOR; START DATE 01/01/2007; 160 HOURS A MONTH.
  - 9.) PREMIER MARINETTE LLC; MANAGING MEMBER; REAL ESTATE; START DATE: 03/31/2019; 4 HOURS PER MONTH.
  - 10.) CS WASECA, LLC; MANAGER; REAL ESTATE; START DATE: 11/13/2019; 4 HOURS PER MONTH.
  - 11.) PREMIER QUINCY IL, LLC; MANAGER; REAL ESTATE (RENTAL PROPERTY/PASSIVE INVESTMENT) START DATE 06/18/2020; 4 HOURS PER MONTH.
  - 12.) PREMIER NAPOLEON OH, LLC; MANAGER; REAL ESTATE; START DATE: 05/10/2022; 8 HOURS PER MONTH.
  - 13.) PREMIER SUPERIOR, LLC; MANAGER; REAL ESTATE (AGENT/BROKER/DEVELOPER); START DATE 05/10/2022; 8 HOURS PER MONTH.
  - 14) NAME OF OTHER BUSINESS: PREMIER NEWTON IA, LLC, PREMIER GOSPORT IN, LLC, PREMIER PARK CITY, TN, LLC,  
INVESTMENT RELATED: NO,  
ADDRESS: SAME AS REGISTERED LOCATION,  
NATURE OF BUSINESS: REAL ESTATE,  
START DATE: 12/2024,  
POSITION/TITLE/RELATIONSHIP: OWNER  
APX NUMBER OF HOURS PER WEEK: VARIES,  
APX NUMBER OF HOURS DURING TRADING HOURS: VARIES,  
BRIEF DESCRIPTION OF DUTIES: OWNER OF MULTI FAMILY APARTMENT COMPLEXES;
-

## 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
Criminal	0	1	0



## 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.

### Criminal - Final Disposition

This type of disclosure event involves a criminal charge against the broker that has resulted in a conviction, acquittal, dismissal, or plea. The criminal matter may pertain to any felony or certain misdemeanor offenses, including bribery, perjury, forgery, counterfeiting, extortion, fraud, and wrongful taking of property.

#### Disclosure 1 of 1

<b>Reporting Source:</b>	Broker
<b>Formal Charges were brought in:</b>	Circuit Court
<b>Name of Court:</b>	Circuit Court
<b>Location of Court:</b>	Waukesha county, WI
<b>Docket/Case #:</b>	2017CF001069
<b>Charge Date:</b>	08/02/2017
<b>Charge(s) 1 of 1</b>	
<b>Formal Charge(s)/Description:</b>	Threat of a judge.
<b>No of Counts:</b>	1
<b>Felony or Misdemeanor:</b>	Felony
<b>Plea for each charge:</b>	Has not entered a plea yet
<b>Disposition of charge:</b>	Dismissed
<b>Date of Amended Charge:</b>	10/26/2017
<b>Charge was Amended or reduced to:</b>	New charge is a misdemeanor B Disorderly conduct
<b>Amended No of Counts:</b>	1



<b>Amended Charge:</b>	Misdemeanor
<b>Amended Plea:</b>	Guilty
<b>Disposition of Amended Charge:</b>	Convicted
<b>Current Status:</b>	Final
<b>Status Date:</b>	10/26/2017
<b>Disposition Date:</b>	10/26/2017
<b>Sentence/Penalty:</b>	Probation, sent withheld 1 year
<b>Broker Statement</b>	<p>I never threatened a judge in any way, I stated I would enforce my legal rights with a lawsuit/legal action against the court which is not a valid legally chargeable threat. In order to avoid a lengthy trial and the associated costs, I instead chose to plead guilty to a misdemeanor Disorderly Conduct charge to quickly resolve the issue. I maintain my full innocence of never issuing any type of chargeable threat to a judge and know that I would have prevailed in any trial and had my name cleared.</p>

## End of Report



**This page is intentionally left blank.**