BrokerCheck Report

BRIAN THOMAS CORLEY

CRD# 2735235

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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.
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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 T. CORLEY

CRD# 2735235

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

IA **UBS FINANCIAL SERVICES INC.**
1255 Treat Blvd
Suite 1000
WALNUT CREEK, CA 94597
CRD# 8174
Registered with this firm since: 01/29/2021

B **UBS FINANCIAL SERVICES INC.**
1255 Treat Blvd
Suite 1000
WALNUT CREEK, CA 94597
CRD# 8174
Registered with this firm since: 01/29/2021

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:

- 10 Self-Regulatory Organizations
- 39 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 **FIRST REPUBLIC INVESTMENT MANAGEMENT, INC.**
CRD# 108559
SAN FRANCISCO, CA
12/2013 - 02/2021

B **M HOLDINGS SECURITIES, INC.**
CRD# 43285
SAN FRANCISCO, CA
03/2011 - 01/2021

B **FIRST REPUBLIC SECURITIES COMPANY, LLC**
CRD# 105108
WALNUT CREEK, CA
10/2014 - 01/2018

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
Regulatory Event	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 10 SROs and is licensed in 39 U.S. states and territories through his or her employer.

Employment 1 of 1

Firm Name: **UBS FINANCIAL SERVICES INC.**

Main Office Address: **1200 HARBOR BOULEVARD**
WEEHAWKEN, NJ 07086

Firm CRD#: **8174**

	SRO	Category	Status	Date
B	BOX Exchange LLC	General Securities Principal	Approved	01/29/2021
B	BOX Exchange LLC	General Securities Representative	Approved	01/29/2021
B	BOX Exchange LLC	Registered Options Principal	Approved	01/29/2021
B	Cboe Exchange, Inc.	General Securities Representative	Approved	01/29/2021
B	Cboe Exchange, Inc.	Registered Options Principal	Approved	01/29/2021
B	FINRA	General Securities Principal	Approved	01/29/2021
B	FINRA	General Securities Representative	Approved	01/29/2021
B	FINRA	Invest. Co and Variable Contracts	Approved	01/29/2021
B	FINRA	Municipal Securities Principal	Approved	01/29/2021
B	FINRA	Municipal Securities Representative	Approved	01/29/2021
B	FINRA	Registered Options Principal	Approved	01/29/2021
B	NYSE American LLC	General Securities Principal	Approved	01/29/2021
B	NYSE American LLC	General Securities Representative	Approved	01/29/2021
B	NYSE American LLC	Municipal Securities Principal	Approved	01/29/2021
B	NYSE American LLC	Municipal Securities Representative	Approved	01/29/2021

Broker Qualifications

Employment 1 of 1, continued

	SRO	Category	Status	Date
B	NYSE American LLC	Registered Options Principal	Approved	01/29/2021
B	NYSE Arca, Inc.	General Securities Principal	Approved	01/29/2021
B	NYSE Arca, Inc.	General Securities Representative	Approved	01/29/2021
B	NYSE Arca, Inc.	Registered Options Principal	Approved	01/29/2021
B	NYSE Texas, Inc.	General Securities Principal	Approved	01/29/2021
B	NYSE Texas, Inc.	General Securities Representative	Approved	01/29/2021
B	Nasdaq ISE, LLC	General Securities Principal	Approved	01/29/2021
B	Nasdaq ISE, LLC	General Securities Representative	Approved	01/29/2021
B	Nasdaq ISE, LLC	Registered Options Principal	Approved	01/29/2021
B	Nasdaq PHLX LLC	General Securities Principal	Approved	01/29/2021
B	Nasdaq PHLX LLC	General Securities Representative	Approved	01/29/2021
B	Nasdaq PHLX LLC	Registered Options Principal	Approved	01/29/2021
B	Nasdaq Stock Market	General Securities Principal	Approved	01/29/2021
B	Nasdaq Stock Market	General Securities Representative	Approved	01/29/2021
B	Nasdaq Stock Market	Registered Options Principal	Approved	01/29/2021
B	New York Stock Exchange	General Securities Principal	Approved	01/29/2021
B	New York Stock Exchange	General Securities Representative	Approved	01/29/2021
B	New York Stock Exchange	Municipal Securities Principal	Approved	01/29/2021
B	New York Stock Exchange	Municipal Securities Representative	Approved	01/29/2021

	U.S. State/ Territory	Category	Status	Date
B	Alabama	Agent	Approved	03/31/2021

Broker Qualifications

Employment 1 of 1, continued

	U.S. State/ Territory	Category	Status	Date
B	Alaska	Agent	Approved	02/04/2021
B	Arizona	Agent	Approved	01/29/2021
B	California	Agent	Approved	01/29/2021
IA	California	Investment Adviser Representative	Approved	01/29/2021
B	Colorado	Agent	Approved	01/29/2021
B	Connecticut	Agent	Approved	02/01/2021
B	Delaware	Agent	Approved	11/16/2023
B	Florida	Agent	Approved	02/16/2021
B	Georgia	Agent	Approved	03/19/2021
B	Hawaii	Agent	Approved	04/22/2021
B	Idaho	Agent	Approved	01/10/2023
B	Illinois	Agent	Approved	01/13/2023
B	Indiana	Agent	Approved	04/19/2021
B	Iowa	Agent	Approved	01/05/2023
B	Kentucky	Agent	Approved	12/17/2024
B	Maine	Agent	Approved	07/26/2024
B	Maryland	Agent	Approved	01/04/2023
B	Massachusetts	Agent	Approved	03/21/2024
B	Michigan	Agent	Approved	08/25/2021
B	Missouri	Agent	Approved	01/05/2023
B	Montana	Agent	Approved	02/23/2023

Broker Qualifications

Employment 1 of 1, continued

	U.S. State/ Territory	Category	Status	Date
B	Nevada	Agent	Approved	01/29/2021
B	New Jersey	Agent	Approved	01/05/2023
B	New York	Agent	Approved	01/29/2021
B	North Carolina	Agent	Approved	02/01/2021
B	Ohio	Agent	Approved	01/31/2021
B	Oklahoma	Agent	Approved	07/20/2022
B	Oregon	Agent	Approved	01/29/2021
B	Pennsylvania	Agent	Approved	03/18/2021
B	South Carolina	Agent	Approved	02/01/2021
B	South Dakota	Agent	Approved	03/12/2021
B	Tennessee	Agent	Approved	01/29/2021
B	Texas	Agent	Approved	08/26/2021
IA	Texas	Investment Adviser Representative	Restricted Approval	04/18/2022
B	Utah	Agent	Approved	12/06/2024
B	Virginia	Agent	Approved	01/05/2023
B	Washington	Agent	Approved	02/02/2021
B	West Virginia	Agent	Approved	03/23/2021
B	Wisconsin	Agent	Approved	04/11/2023
B	Wyoming	Agent	Approved	10/30/2023

Branch Office Locations

Broker Qualifications

Employment 1 of 1, continued

UBS FINANCIAL SERVICES INC.
1255 Treat Blvd
Suite 1000
WALNUT CREEK, CA 94597

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	Municipal Securities Principal Examination	Series 53	11/11/1998
B	General Securities Principal Examination	Series 24	08/27/1998
B	Registered Options Principal Examination	Series 4	07/17/1998

General Industry/Product Exams

	Exam	Category	Date
B	Investment Company Products/Variable Contracts Representative Examination	Series 6TO	01/02/2023
B	Municipal Securities Representative Examination	Series 52TO	01/02/2023
B	Securities Industry Essentials Examination	SIE	10/01/2018
B	General Securities Representative Examination	Series 7	05/17/1996

State Securities Law Exams

	Exam	Category	Date
IA	Uniform Investment Adviser Law Examination	Series 65	03/30/1999
B	Uniform Securities Agent State Law Examination	Series 63	05/24/1996

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	12/2013 - 02/2021	FIRST REPUBLIC INVESTMENT MANAGEMENT, INC.	108559	WALNUT CREEK, CA
B	03/2011 - 01/2021	M HOLDINGS SECURITIES, INC.	43285	SAN FRANCISCO, CA
B	10/2014 - 01/2018	FIRST REPUBLIC SECURITIES COMPANY, LLC	105108	WALNUT CREEK, CA
IA	03/2008 - 12/2013	ASTERA FINANCIAL GROUP, LLC	144850	CARMEL, CA
B	10/2009 - 03/2011	EMERSON EQUITY LLC	130032	CARMEL, CA
B	08/2002 - 03/2008	WELLS FARGO INVESTMENTS, LLC	10582	CARMEL, CA
IA	08/2002 - 03/2008	WELLS FARGO INVESTMENTS, LLC	10582	CARMEL, CA
B	05/2001 - 08/2002	PACIFIC COAST SECURITIES LLC	109681	ASTORIA, NY
B	03/1999 - 02/2001	GOLDEN TRIANGLE SECURITIES LLC	45641	CARMEL, CA
B	04/1997 - 03/1999	BA INVESTMENT SERVICES, INC.	12965	OAKLAND, CA
B	05/1996 - 10/1996	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
05/2017 - Present	First Republic Investment Management, Inc.	Wealth Manager	Y	San Francisco, CA, United States
05/2017 - Present	First Republic Securities Company, LLC	Wealth Manager	Y	San Francisco, CA, United States

Registration and Employment History

Employment History, continued

Employment	Employer Name	Position	Investment Related	Employer Location
03/2013 - Present	WINGSPAN INSURANCE GROUP, LLC	MANAGING MEMBER, CHIEF INVESTMENT OFFICER	Y	CARMEL, CA, United States
02/2011 - Present	M HOLDINGS SECURITIES, INC.	REGISTERED REPRESENTATIVE	Y	PORTLAND, OR, United States
10/2014 - 04/2017	FIRST REPUBLIC SECURITIES COMPANY, LLC	LICENSED PORTFOLIO MANAGER	Y	SAN FRANCISCO, CA, United States
06/2012 - 04/2017	FIRST REPUBLIC INVESTMENT MANAGEMENT, INC.	MANAGING DIRECTOR	Y	SAN FRANCISCO, 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.

(1) I am a registered representative of First Republic Securities Company, LLC, an SEC and FINRA registered broker-dealer. I am an associated person of First Republic Investment Management, Inc. (Firm CRD# 108559), an SEC registered investment adviser. The majority of my time is devoted to activities for First Republic Investment Management, Inc. Both First Republic Securities Company, LLC and First Republic Investment Management, Inc. are under 'common control' of First Republic Bank.
(2) First Republic Investment Management, Inc.; 111 Pine Street, San Francisco CA 94111; 07/2012; Managing Director, Portfolio Manager; Portfolio manager to individually managed investment portfolios; Investment Related; 120 hours/month; 120 hours/month during business hours; Commissions.
(3) Golden Gate University; 536 Mission Street, San Francisco, CA 94105; 06/30/2017; Advisory Board Member, Ageno School of Business; Work with the Dean and other faculty on the curriculum, assist in marketing the program and building up alumni support; Not Investment Related; 1 hour/month; 1 hour/month during business hours; No Compensation.
(4) First Republic Investment Management dba Eagle Private Insurance; 111 Pine Street, San Francisco CA 94111; 01/2018; Estate & Business Planning Specialist; Provide insurance and financial planning services for prospects and clients of First Republic Bank; Investment Related; 15 hours/month; 15 hours/month during business hours; Commissions, Referral Fees.
5) CSU Monterey Bay/ investment related?: yes/ 100 campus center, seaside, ca, 93955/Educational Establishment/Member of the Investment Committee/Member of a committee with management / supervisor functions/Sit on the investment committee/start date: 6/3/2014/ time reqd during working hours?: yes

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
Regulatory Event	0	2	0

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.

Regulatory - Final

This type of disclosure event may involve (1) a final, formal proceeding initiated by a regulatory authority (e.g., a state securities agency, self-regulatory organization, federal regulatory such as the Securities and Exchange Commission, foreign financial regulatory body) for a violation of investment-related rules or regulations; or (2) a revocation or suspension of a broker's authority to act as an attorney, accountant, or federal contractor.

Disclosure 1 of 2

Reporting Source:	Broker
Regulatory Action Initiated By:	New York State Department of Financial Services
Sanction(s) Sought:	Civil and Administrative Penalty(ies)/Fine(s)
Date Initiated:	07/27/2016
Docket/Case Number:	2016-0065-S
Employing firm when activity occurred which led to the regulatory action:	First Republic Securities Company, LLC
Product Type:	Insurance
Allegations:	New York Department of Financial Services found Brian Corley provided materially incomplete information as relates to his insurance relicensing application dated November 4, 2013 by failing to disclose a prior administrative action. The New York Department of Financial Services imposed a fine of $1,500.00 on Mr. Corley and CH Insurance Services, LLC, as well as Kathryn Harrison as proposed sublicensee.
Current Status:	Final
Resolution:	Stipulation and Consent

Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct? No

Resolution Date: 07/29/2016

Sanctions Ordered: Civil and Administrative Penalty(ies)/Fine(s)

Monetary Sanction 1 of 1

Monetary Related Sanction: Civil and Administrative Penalty(ies)/Fine(s)

Total Amount: $1,500.00

Portion Levied against individual: $0.00

Payment Plan: None

Is Payment Plan Current: Yes

Date Paid by individual:

Was any portion of penalty waived? No

Amount Waived:

Broker Statement The incorrect response to one question on the New York application was inadvertent and the result of an administrative error by an employee in the licensing and registration department. New York was the only State in which this administrative error was made and all other States and applications were submitted with the proper disclosures.

Disclosure 2 of 2

Reporting Source: Regulator

Regulatory Action Initiated By: NATIONAL ASSOCIATION OF SECURITIES DEALERS

Sanction(s) Sought: Civil and Administrative Penalt(ies) /Fine(s)

Other Sanction(s) Sought:

Date Initiated: 03/22/2001

Docket/Case Number: C01010002

Employing firm when activity occurred which led to the regulatory action:	
Product Type:	No Product
Other Product Type(s):	
Allegations:	NASD RULE 2110 - A MEMBER FIRM, ACTING THROUGH RESPONDENT CORLEY, ENGAGED IN PRINCIPAL TRADING IN CONTRAVENTION OF ITS MEMBERSHIP AGREEMENT.
Current Status:	Final
Resolution:	Acceptance, Waiver & Consent(AWC)
Resolution Date:	03/22/2001
Sanctions Ordered:	Monetary/Fine $2,500.00
Other Sanctions Ordered:	
Sanction Details:	FINED $2,500, JOINTLY AND SEVERALLY.

Reporting Source:	Broker
Regulatory Action Initiated By:	NASD REGULATION, INC.
Sanction(s) Sought:	Civil and Administrative Penalt(ies) /Fine(s)
Other Sanction(s) Sought:	
Date Initiated:	12/26/2000
Docket/Case Number:	AWC NO. 01010002
Employing firm when activity occurred which led to the regulatory action:	GOLDEN TRIANGLE SECURITIES LLC
Product Type:	No Product
Other Product Type(s):	
Allegations:	ALLEGATIONS INVOLVING VIOLATIONS OF A MEMBERSHIP AGREEMENT.
Current Status:	Final

Resolution:	Acceptance, Waiver & Consent(AWC)
Resolution Date:	03/20/2001
Sanctions Ordered:	Monetary/Fine $2,500.00
Other Sanctions Ordered:	
Sanction Details:	FINE WAS $2,500, WHICH WAS PAID ON APRIL 16, 2001.
Broker Statement	AS A RESULT OF A LETTER OF ACCEPTANCE, WAIVER AND CONSENT, MR. CORLEY WAS FOUND TO BE JOINTLY AND SEVERALLY LIABLE FOR VIOLATING MEMBERSHIP AGREEMENT.

End of Report

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