

BrokerCheck Report

DEBRA HELEN TAYLOR

CRD# 3007611

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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:
 - o 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
 - o 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.

DEBRA H. TAYLOR

CRD# 3007611

This broker is not currently registered.

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 not currently registered.

This broker has passed:

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

Registration History

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

- B CETERA ADVISOR NETWORKS LLC**
CRD# 13572
FRANKLIN LAKES, NJ
01/2017 - 08/2023
- B LPL FINANCIAL LLC**
CRD# 6413
FRANKLIN LAKES, NJ
03/2007 - 01/2017
- B H.D. VEST INVESTMENT SERVICES**
CRD# 13686
FRANKLIN LAKES, NJ
02/1998 - 03/2007

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? **No**

Investment Adviser Representative Information

The information below represents the individual's record as a broker. For details on this individual's record as an investment adviser representative, visit the SEC's Investment Adviser Public Disclosure website at

<https://www.adviserinfo.sec.gov>

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 broker is not currently registered.



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, 4 general industry/product exams, and 1 state securities law exam.

Principal/Supervisory Exams

Exam	Category	Date
B General Securities Principal Examination	Series 24	04/17/2007

General Industry/Product Exams

Exam	Category	Date
B Securities Industry Essentials Examination	SIE	10/01/2018
B General Securities Representative Examination	Series 7	02/14/2006
B Government Securities Representative Examination	Series 72	01/29/2003
B Investment Company Products/Variable Contracts Representative Examination	Series 6	02/04/1998

State Securities Law Exams

Exam	Category	Date
B Uniform Securities Agent State Law Examination	Series 63	01/28/2002

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 **1** professional designation(s).

Personal Financial Specialist

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 01/2017 - 08/2023	CETERA ADVISOR NETWORKS LLC	13572	FRANKLIN LAKES, NJ
B 03/2007 - 01/2017	LPL FINANCIAL LLC	6413	FRANKLIN LAKES, NJ
B 02/1998 - 03/2007	H.D. VEST INVESTMENT SERVICES	13686	FRANKLIN LAKES, NJ

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
01/2025 - Present	Carson Wealth	Managing Partner, Chief Tax Strategist	Y	Franklin Lakes, NY, United States
04/2017 - Present	TAYLOR BOOKKEEPING AND ADMINISTRATIVE SERVICES, LLC	OWNER	Y	FRANKLIN LAKES, NJ, United States
06/2015 - Present	CWM, LLC	INVESTMENT ADVISOR REPRESENTATIVE	Y	OMAHA, NE, United States
06/2015 - 01/2025	TAYLOR FINANCIAL GROUP	FOUNDER/WEALTH ADVISOR	Y	FRANKLIN LAKES, NY, United States
01/2017 - 08/2023	CETERA ADVISOR NETWORKS LLC	REGISTERED REP	Y	EL SEGUNDO, CA, United States
03/2007 - 01/2017	LPL FINANCIAL LLC	REGISTERED REPRESENTATIVE	Y	FRANKLIN LAKES, NJ, 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.

NAME OF OTHER BUSINESS: FIXED INSURANCE WITH VARIOUS COMPANIES



Registration and Employment History

Other Business Activities, continued

INVESTMENT RELATED: YES

NATURE OF BUSINESS: FIXED INSURANCE

START DATE: 01/2017

APX NUMBER OF HOURS PER WEEK: VARIES

APX NUMBER OF HOURS DURING TRADING HOURS: VARIES

TITLE: INSURANCE AGENT

DUTIES: SELLS LIFE, ANNUITIES AND LONG TERM CARE

NAME OF OTHER BUSINESS: HORSESMOUTH - ONLINE JOURNAL

INVESTMENT RELATED: YES

NATURE OF BUSINESS: ONLINE PUBLICATION FOR FINANCIAL ADVISORS; A BOOK WAS PUBLISHED IN 2016 THAT WAS A COMPILATION OF THESE ARTICLES.

START DATE: 06/07/2007

TITLE: Director of Practice Management

APX NUMBER OF HOURS PER MONTH: 0

PERCENTAGE OF HOURS DURING TRADING HOURS: 1

DUTIES: writer, contributor, speaker, presenter - Online Industry Publication

NAME OF OTHER BUSINESS: SPEAKING ENGAGEMENTS;

INVESTMENT RELATED: YES;

NATURE OF BUSINESS: SPEAKING ENGAGEMENTS, WORKSHOPS, ONE ON ONE COACHING AND RELATED SERVICES FOR FIRMS IN THE FINANCIAL INDUSTRY;

START DATE: 01/2023;

TITLE: SPEAKER/EXPERT;

APX NUMBER OF HOURS PER WEEK: 0-5;

APX NUMBER OF HOURS DURING TRADING HOURS: 0-5;

DUTIES: SPEAKING TO THE PUBLIC ON TAXES, ESTATE PLANNING, WEALTH TRANSFER AND PORTFOLIOS/WEALTH;

NAME OF OTHER BUSINESS: TAYLOR BOOKKEEPING AND ADMINISTRATIVE SERVICES, LLC;

INVESTMENT RELATED: YES;

NATURE OF BUSINESS: TAX PREPARATION, BOOKKEEPING AND ADMINISTRATIVE SERVICES;

START DATE: 04/2017;

TITLE: OWNER;

APX NUMBER OF HOURS PER WEEK: 1;

APX NUMBER OF HOURS DURING TRADING HOURS: 1;

DUTIES: TAX PREPARATION, BOOKKEEPING AND ADMINISTRATIVE SERVICES;

NAME OF OTHER BUSINESS: N/A

INVESTMENT RELATED: NO

NATURE OF BUSINESS: REAL ESTATE REFERRALS

START DATE: 4/2018

TITLE: CO-BROKER

LESS THAN ONE HOUR PER WEEK, MAY BE DURING TRADING HOURS: VARIES



Registration and Employment History

Other Business Activities, continued

DUTIES: CO-BROKER RESIDENTIAL REAL ESTATE TRANSACTIONS

NAME OF OTHER BUSINESS: HOLISTIPLAN

INVESTMENT RELATED: NO

NATURE OF BUSINESS: TAX SOFTWARE

START DATE: 1/2024

POSITION/TITLE/RELATIONSHIP: CONSULTANT

APX NUMBER OF HOURS PER WEEK: 5

APX NUMBER OF HOURS DURING TRADING HOURS: 5

DUTIES: SPEAKING, EDUCATION, WRITING, POSTING ON THEIR WEBSITE, EDUCATING OTHER ADVISORS ON THEIR TAX SOFTWARE.

NAME OF BUSINESS: Pink Suite Enterprises, LLC

NATURE: Speaking, seminars, coaching & writing

START: 2/1/2024

POSITION: Owner

APPX. HRS/MONTH: 20

% APPX HRS/MONTH DURING TRADING HOURS: 0

DUTIES: Conduct speaking engagements, seminars, coaching activities and write articles and other materials for firms including but not limited to Horseshmouth, Holistiplan, and Thrivent.

NAME OF BUSINESS: Home Owners Association - Judiciary Committee

NATURE: Home Owners Association

START: 2/21/2024

POSITION: Volunteer

APPX. HRS/MONTH: 4

% APPX HRS/MONTH DURING TRADING HOURS: 0

DUTIES: Review business items of HOA and determine how best to engage with HOA attorney to have HOA attorney handle.

End of Report



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