BrokerCheck Report

Arron Isaac Brisard

CRD# 3199772

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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.

Arron I. Brisard

CRD# 3199772

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

IA **AVANTAX ADVISORY SERVICES**
8394 SIX FORKS ROAD
STE 204
RALEIGH, NC 27615
CRD# 104556
Registered with this firm since: 10/27/2021

B **AVANTAX INVESTMENT SERVICES, INC.**
8394 SIX FORKS ROAD
STE 204
RALEIGH, NC 27615
CRD# 13686
Registered with this firm since: 10/27/2021

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:

- 1 Self-Regulatory Organization
- 16 U.S. states and territories

This broker has passed:

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

Registration History

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

B **LPL FINANCIAL LLC**
CRD# 6413
RALEIGH, NC
09/2007 - 10/2021

IA **IFG ADVISORY, LLC**
CRD# 168012
ATLANTA, GA
03/2015 - 10/2021

IA **LPL FINANCIAL LLC**
CRD# 6413
FORT MILL, SC
10/2007 - 02/2016

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? **No**

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: **AVANTAX ADVISORY SERVICES**

Main Office Address: **3200 OLYMPUS BLVD**
SUITE 100
DALLAS, TX 75019

Firm CRD#: **104556**

	U.S. State/ Territory	Category	Status	Date
IA	North Carolina	Investment Adviser Representative	Approved	10/27/2021

Branch Office Locations

3200 OLYMPUS BLVD
SUITE 100
DALLAS, TX 75019

8394 SIX FORKS ROAD
STE 204
RALEIGH, NC 27615

Employment 2 of 2

Firm Name: **AVANTAX INVESTMENT SERVICES, INC.**

Main Office Address: **3200 OLYMPUS BLVD**
SUITE 100
DALLAS, TX 75019

Firm CRD#: **13686**

	SRO	Category	Status	Date
B	FINRA	General Securities Representative	Approved	10/27/2021

Broker Qualifications

Employment 2 of 2, continued

	SRO	Category	Status	Date
B	FINRA	Invest. Co and Variable Contracts	Approved	10/27/2021

	U.S. State/ Territory	Category	Status	Date
B	Alabama	Agent	Approved	10/28/2021
B	California	Agent	Approved	10/27/2021
B	Colorado	Agent	Approved	10/27/2021
B	Florida	Agent	Approved	10/27/2021
B	Georgia	Agent	Approved	10/28/2021
B	Louisiana	Agent	Approved	10/29/2021
B	Maryland	Agent	Approved	10/27/2021
B	New Jersey	Agent	Approved	06/05/2023
B	New York	Agent	Approved	10/27/2021
B	North Carolina	Agent	Approved	10/28/2021
B	Ohio	Agent	Approved	11/20/2024
B	Pennsylvania	Agent	Approved	10/27/2021
B	South Carolina	Agent	Approved	10/28/2021
B	Vermont	Agent	Approved	10/27/2021
B	Virginia	Agent	Approved	10/27/2021
B	Wisconsin	Agent	Approved	10/27/2021

Branch Office Locations

AVANTAX INVESTMENT SERVICES, INC.

Broker Qualifications

Employment 2 of 2, continued

8394 SIX FORKS ROAD
STE 204
RALEIGH, NC 27615

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, 3 general industry/product exams, and 3 state securities law exams.

Principal/Supervisory Exams

Exam	Category	Date
No information reported.		

General Industry/Product Exams

	Exam	Category	Date
B	Securities Industry Essentials Examination	SIE	10/01/2018
B	General Securities Representative Examination	Series 7	09/03/2002
B	Investment Company Products/Variable Contracts Representative Examination	Series 6	05/17/1999

State Securities Law Exams

	Exam	Category	Date
IA	Uniform Investment Adviser Law Examination	Series 65	10/09/2007
B IA	Uniform Combined State Law Examination	Series 66	01/11/2003
B	Uniform Securities Agent State Law Examination	Series 63	05/19/1999

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
B	09/2007 - 10/2021	LPL FINANCIAL LLC	6413	RALEIGH, NC
IA	03/2015 - 10/2021	IFG ADVISORY, LLC	168012	RALEIGH, NC
IA	10/2007 - 02/2016	LPL FINANCIAL LLC	6413	RALEIGH, NC
B	07/2003 - 09/2007	ALLSTATE FINANCIAL SERVICES, LLC	18272	RALEIGH, NC
IA	01/2003 - 07/2003	CUNA BROKERAGE SERVICES, INC.	13941	DURHAM, NC
B	09/2002 - 07/2003	CUNA BROKERAGE SERVICES, INC.	13941	WAVERLY, IA
B	11/2000 - 07/2002	WACHOVIA SECURITIES, INC.	19616	ST. LOUIS, MO
B	05/1999 - 11/2000	JEFFERSON PILOT SECURITIES CORPORATION	3870	FORT WAYNE, IN

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
10/2021 - Present	AVANTAX ADVISORY SERVICES	INVESTMENT ADVISOR REPRESENTATIVE	Y	RALEIGH, NC, United States
10/2021 - Present	AVANTAX INSURANCE AGENCY, LLC	INSURANCE AGENT	Y	RALEIGH, NC, United States
10/2021 - Present	AVANTAX INVESTMENT SERVICES, INC.	REGISTERED REPRESENTATIVE	Y	RALEIGH, NC, United States
10/2021 - Present	LEGACY CAPITAL ADVISORS, LLC	PARTNER	Y	ATLANTA, GA, United States
02/2015 - 10/2021	IFG ADVISORY, LLC	INVESTMENT ADVISER REPRESENTATIVE	Y	RALEIGH, NC, United States

Registration and Employment History

Employment History, continued

Employment	Employer Name	Position	Investment Related	Employer Location
09/2007 - 10/2021	LPL FINANCIAL, LLC	REGISTERED REPRESENTATIVE	Y	RALEIGH, NC, 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) LEGACY CAPITAL ADVISORS LLC
POSITION: Partner NATURE: Used to market Avantax Business INVESTMENT RELATED: Yes NUMBER OF HOURS: 160 SECURITIES TRADING HOURS: 130 START DATE: 10/25/2021
ADDRESS: 4401 Northside Pkwy NW, Suite 900, Atlanta GA 30327, United States
DESCRIPTION: Advisory Practice, meeting with clients, wealth planning, financial planning, retirement planning and investment management.

2) AVANTAX INSURANCE AGENCY AND/OR AVANTAX INSURANCE SERVICES
POSITION: Insurance Agent NATURE: Selling insurance products offered thru Avantax INVESTMENT RELATED: Yes NUMBER OF HOURS: 10 SECURITIES TRADING HOURS: 1 START DATE: 10/22/2021
ADDRESS: 8394 Six Forks Road, Suite 204, Atlanta NC 27612, United States
DESCRIPTION: Analyze insurance needs and provide available options.

3) INDEXED ANNUITY
POSITION: Wealth Manager NATURE: I sell and service Indexed Annuities also known as Fixed Indexed Annuities thru Avantax INVESTMENT RELATED: Yes NUMBER OF HOURS: 1 SECURITIES TRADING HOURS: 1 START DATE: 10/10/2022
ADDRESS: 8394 Six Forks Road, Ste 204, Raleigh NC 27612, United States
DESCRIPTION: In conjunction with my role as a financial advisor I recommend, sell and service fixed indexed annuities aka. equity indexed annuities to client as a diversifier to a clients portfolio when suitable for the client.

End of Report

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