BrokerCheck Report

DYLAN GREGORY LEVEY

CRD# 4297808

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

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.

DYLAN G. LEVEY

CRD# 4297808

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

IA **AVANTAX ADVISORY SERVICES**
1957 Hoover Court
Suite 210
Hoover, AL 35226
CRD# 104556
Registered with this firm since: 08/03/2021

B **AVANTAX INVESTMENT SERVICES, INC.**
1957 Hoover Court
Suite 210
Hoover, AL 35226
CRD# 13686
Registered with this firm since: 08/02/2021

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

Registration History

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

B **BBVA SECURITIES INC.**
CRD# 27060
BIRMINGHAM, AL
05/2013 - 08/2021

IA **PNC MANAGED ACCOUNT SOLUTIONS, INC.**
CRD# 110476
HOUSTON, TX
10/2010 - 08/2021

B **BBVA COMPASS INVESTMENT SOLUTIONS, INC**
CRD# 17086
BIRMINGHAM, AL
05/2007 - 05/2013

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	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 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	Alabama	Investment Adviser Representative	Approved	08/03/2021
IA	Texas	Investment Adviser Representative	Restricted Approval	08/12/2025

Branch Office Locations

3200 OLYMPUS BLVD
SUITE 100
DALLAS, TX 75019

1957 Hoover Court
Suite 210
Hoover, AL 35226

Employment 2 of 2

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

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

Firm CRD#: **13686**

Broker Qualifications

Employment 2 of 2, continued

	SRO	Category	Status	Date
B	FINRA	General Securities Representative	Approved	08/02/2021

	U.S. State/ Territory	Category	Status	Date
B	Alabama	Agent	Approved	08/02/2021
B	California	Agent	Approved	08/02/2021
B	Colorado	Agent	Approved	08/02/2021
B	Florida	Agent	Approved	08/02/2021
B	Georgia	Agent	Approved	08/03/2021
B	Indiana	Agent	Approved	08/03/2021
B	Massachusetts	Agent	Approved	08/02/2021
B	Mississippi	Agent	Approved	08/02/2021
B	New York	Agent	Approved	01/15/2025
B	North Carolina	Agent	Approved	08/03/2021
B	Ohio	Agent	Approved	08/02/2021
B	Pennsylvania	Agent	Approved	08/02/2021
B	South Carolina	Agent	Approved	08/02/2021
B	Tennessee	Agent	Approved	08/02/2021
B	Texas	Agent	Approved	08/02/2021
B	Virginia	Agent	Approved	08/02/2021

Branch Office Locations

AVANTAX INVESTMENT SERVICES, INC.
1957 Hoover Court

Broker Qualifications

Employment 2 of 2, continued

Suite 210
Hoover, AL 35226

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

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	12/08/2000

State Securities Law Exams

	Exam	Category	Date
B IA	Uniform Combined State Law Examination	Series 66	06/27/2001

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	08/2021 - 08/2021	AVANTAX ADVISORY SERVICES	104556	BIRMINGHAM, AL
B	05/2013 - 08/2021	BBVA SECURITIES INC.	27060	BIRMINGHAM, AL
IA	10/2010 - 08/2021	PNC MANAGED ACCOUNT SOLUTIONS, INC.	110476	BIRMINGHAM, AL
B	05/2007 - 05/2013	BBVA COMPASS INVESTMENT SOLUTIONS, INC	17086	BIRMINGHAM, AL
IA	04/2010 - 10/2010	ST JOHNS WEALTH MANAGEMENT	105564	BIRMINGHAM, AL
IA	05/2007 - 03/2010	BBVA COMPASS INVESTMENT SOLUTIONS, INC.	17086	BIRMINGHAM, AL
IA	01/2004 - 02/2007	AMSOUTH INVESTMENT MANAGEMENT COMPANY LLC	111757	BIRMINGHAM, AL
B	02/2001 - 02/2007	AMSOUTH INVESTMENT SERVICES, INC.	15692	BIRMINGHAM, AL
B	12/2000 - 01/2001	AMERICAN EXPRESS FINANCIAL ADVISORS INC.	6363	MINNEAPOLIS, MN
B	12/2000 - 01/2001	IDS LIFE INSURANCE COMPANY	6321	MINNEAPOLIS, MN

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
12/2023 - Present	DIAMOND HEAD BUILDING LLC	PRESIDENT	N	HOOVER, AL, United States
08/2021 - Present	AVANTAX ADVISORY SERVICES	INVESTMENT ADVISER REPRESENTATIVE	Y	BIRMINGHAM, AL, United States

Registration and Employment History

Employment History, continued

Employment	Employer Name	Position	Investment Related	Employer Location
08/2021 - Present	AVANTAX INSURANCE AGENCY, LLC	INSURANCE AGENT	Y	BIRMINGHAM, AL, United States
08/2021 - Present	AVANTAX INVESTMENT SERVICES, INC.	REGISTERED REPRESENTATIVE	Y	BIRMINGHAM, AL, United States
08/2021 - Present	TOP MARKET FINANCIAL ADVISORS, LLC	PRESIDENT	Y	BIRMINGHAM, AL, United States
02/2016 - Present	Cross Country Consulting, LLC	MEMBER	N	HOOVER, AL, United States
05/2013 - 08/2021	BBVA SECURITIES INC.	MASS TRANSFER	Y	BIRMINGHAM, AL, United States
04/2007 - 08/2021	BBVA Compass Insurance Agency, Inc.	Agent	Y	Austin, TX, United States
04/2007 - 08/2021	COMPASS BANK	EMPLOYEE	Y	BIRMINGHAM, AL, United States
10/2010 - 07/2021	PNC MANAGED ACCOUNT SOLUTIONS, INC.	MASS TRANSFER	Y	BIRMINGHAM, AL, 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) EQUITY INDEX ANNUITIES
POSITION: FINANCIAL ADVISOR NATURE: Sales and Service of Fixed Indexed Annuities, also known as Equity Indexed Annuities or Indexed Annuities. INVESTMENT RELATED: No NUMBER OF HOURS: 2 SECURITIES TRADING HOURS: 2 START DATE: 12/10/2014
ADDRESS: 4956 Valleydale Road, STE 100, Birmingham AL 35242, United States
DESCRIPTION: Sales and Service of Fixed Indexed Annuities, also known as Equity Indexed Annuities or Indexed Annuities. Account reviews, rebalancing, distributions, additions if allowed.

2) DIAMOND HEAD BUILDING LLC
POSITION: PRESIDENT NATURE: PROFESSIONAL COMMERICAL BUILDING WITH VARIOUS SUITES FOR TENANTS. RENTAL PROPERTY INVESTMENT FOR PASSIVE INCOME. INVESTMENT RELATED: No NUMBER OF HOURS: 8 SECURITIES TRADING HOURS: 0 START DATE: 12/29/2023
ADDRESS: 3164 STARLAKE DRIVE, HOOVER AL 35226, United States
DESCRIPTION: I AM PURCHASING THE BUILDING TO BE ABLE TO MOVE MY BUSINESS INTO IT. I WILL BE COLLECTING RENT FROM OTHER TENANTS. THIS IS AN ADDITIONAL REAL ESTATE INVESTMENT TO DIVERSIFY MY HOLDINGS.

3)RENTAL PROPERTY; Owner; I own one single family rental house. I collect rent once a month and take care of any repairs. Have a Personal Umbrella Policy to cover any unforeseen liabilities. ; NIR; 0; 04/01/2021; 3164 STARLAKE DRIVE HOOVER AL 35226; I am the owner, Contact

Registration and Employment History

Other Business Activities, continued

person. Renters call me with any questions. I collect rent monthly.

4)CROSS COUNTRY CONSULTING; MEMBER; PROVIDE HIGHER EDUCATION ESTABLISHMENTS WITH ADVICE FOR WRITING GRANTS FOR GOVTFUNDING FOR HIGHER EDUCATION. DR. JOYCE LEVEY IS THE ONLY EMPLOYEE. AND THE ONLY PERSON GIVING ANY ADVISE REGARDING GRANTS AND IMPROVING WAYS TO INCREASE HIGHER EDUCATION GOVT MANDATES.**CCC IS CURRENTLY INACTIVE ***; NIR; 0; 02/09/2016; 3164 STARLAKE DRIVE HOOVER AL 35226; PRESIDENT. OPERATIONAL SUPORT. **CCC IS CURRENTLY INACTIVE ***

5)TOP MARKET FINANCIAL ADVISORS, LLC; PRESIDENT; RUN ALL OPERATIONAL ACTIVITIES REGARDING BUSINESS. MARKET AND PROMOTE AVANTAX BROKER DEALER. SERIVES CLIENT'S FINANCIAL NEEDS VIA INVESTMENT PRODUCTS AND INSURANCE SOLUTIONS. PROVIDE FINANCIAL RESOURCES TO CLIENTS TO MEET THEIR FINANCIAL NEEDS. ; IR; 130; 06/24/2021; 4956 VALLEYDALE ROAD BIRMINGHAM AL 35242; RUN ALL OPERATIONAL ACTIVITIES REGARDING BUSINESS. MARKET AND PROMOTE AVANTAX BROKER DEALER. SERIVES CLIENT'S FINANCIAL NEEDS VIA INVESTMENT PRODUCTS AND INSURANCE SOLUTIONS. PROVIDE FINANCIAL RESOURCES TO CLIENTS TO MEET THEIR FINANCIAL NEEDS. MEET WITH CLIENTS VIA PHONE, IN-PERSON, AT BUSINESS ECT.

6)Avantax Insurance Agency and/or Avantax Insurance Services; INSURANCE AGENT; PROVIDE INSURANCE PRODUCTS AND SOLUTIONS VIA AVANTAX INSURANCE SOLUTIONS.; IR; 40; 07/29/2021; 4956 VALLEYDALE ROAD BIRMINGHAM AL 35242; ASSESS CLIENT NEEDS FOR INSURANCE AND PROTECTION OF ASSETS AND FAMILY. MAKE PHONE CALLS AND PROCESS CLIENT SERVICE REQUESTS. REVIEW ACCOUNTS TO MAKE SURE THEY MEET CLIENT NEEDS.

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	2	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 1

Reporting Source:	Broker
Employing firm when activities occurred which led to the complaint:	BBVA SECURITIES INC.
Allegations:	Customer purchased UIT shares on March 25, 2015. Customer lodged an verbal complaint alleging that details about the product including applicable fees were not disclosed to her, that other matters were not properly represented to her, and that representative had assured her that he would monitor her account and contact her in the event her investments declined in value. Customer complaint was communicated on January 21, 2016.
Product Type:	Unit Investment Trust
Alleged Damages:	$5,000.00
Alleged Damages Amount Explanation (if amount not exact):	Customer did not make a specific damage claim, but sought the return of her original investment..
Is this an oral complaint?	Yes
Is this a written complaint?	No
Is this an arbitration/CFTC reparation or civil litigation?	No

Customer Complaint Information

Date Complaint Received:	01/21/2016

Complaint Pending?	No
Status:	Settled
Status Date:	03/09/2016
Settlement Amount:	$22,178.16
Individual Contribution Amount:	$0.00
Broker Statement	Settlement check mailed to customer on March 4, 2016.

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 1

Reporting Source:	Broker
Employing firm when activities occurred which led to the complaint:	BBVA COMPASS INVESTMENT SOLUTIONS, INC.
Allegations:	CUSTOMER PURCHASED SHARES OF A CLOSED-END MUNICIPAL UIT IN JULY, 2012. IN A COMPLAINT SUBMITTED TO THE SEC, CUSTOMER CLAIMS THAT HE TOLD REPRESENTATIVE THAT HE WANTED A SHORT-TERM LIQUID INVESTMENT. CUSTOMER ALSO CLAIMS THAT REPRESENTATIVE MISLED HIM BY TELLING HIM THAT HE WOULD EARN A GUARANTEED 3% RETURN AND THAT HE COULD ACCESS THE INVESTED FUNDS AT ANY TIME WITHOUT LOSS.
Product Type:	Unit Investment Trust
Alleged Damages:	$6,000.00
Is this an oral complaint?	No
Is this a written complaint?	Yes
Is this an arbitration/CFTC reparation or civil litigation?	No

Customer Complaint Information

Date Complaint Received:	11/27/2012
Complaint Pending?	No
Status:	Denied
Status Date:	12/05/2012
Settlement Amount:	
Individual Contribution Amount:	

End of Report

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