

BrokerCheck Report

MICHAEL EVAN BERKLEY

CRD# 4571279

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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.

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.

MICHAEL E. BERKLEY

CRD# 4571279

Currently employed by and registered with the following Firm(s):**IA ADVICE AND PLANNING SERVICES**

225 Wyman Street
Waltham, MA 02451
CRD# 20472
Registered with this firm since: 01/22/2015

B TIAA-CREF INDIVIDUAL & INSTITUTIONAL SERVICES, LLC

225 Wyman Street
Waltham, MA 02451
CRD# 20472
Registered with this firm since: 01/15/2015

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
- 1 U.S. state or territory

This broker has passed:

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

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**

Registration History**This broker was previously registered with the following securities firm(s):****IA ONEAMERICA SECURITIES, INC.**

CRD# 4173
INDIANAPOLIS, IN
08/2009 - 11/2014

B ONEAMERICA SECURITIES, INC.

CRD# 4173
INDIANAPOLIS, IN
08/2009 - 11/2014

B LINCOLN FINANCIAL SECURITIES CORPORATION

CRD# 3870
BRAINTREE, MA
05/2009 - 05/2009

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 1 U.S. state or territory through his or her employer.

Employment 1 of 1

Firm Name: **TIAA-CREF INDIVIDUAL & INSTITUTIONAL SERVICES, LLC**

Main Office Address: **730 THIRD AVENUE
NEW YORK, NY 10017-3206**

Firm CRD#: **20472**

SRO	Category	Status	Date
B FINRA	General Securities Principal	Approved	01/15/2015
B FINRA	General Securities Representative	Approved	01/15/2015
B FINRA	General Securities Sales Supervisor	Approved	01/15/2015
B FINRA	Municipal Fund	Approved	01/15/2015
B FINRA	Municipal Securities Principal	Approved	01/15/2015
B FINRA	Municipal Securities Representative	Approved	01/15/2015
B FINRA	Registered Options Principal	Approved	01/15/2015

U.S. State/ Territory	Category	Status	Date
B Massachusetts	Agent	Approved	01/15/2015
IA Massachusetts	Investment Adviser Representative	Approved	01/22/2015

Branch Office Locations

TIAA-CREF INDIVIDUAL & INSTITUTIONAL SERVICES, LLC

225 Wyman Street
Waltham, MA 02451

TIAA-CREF INDIVIDUAL & INSTITUTIONAL SERVICES, LLC

Broker Qualifications



Employment 1 of 1, continued

Sharon, MA

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 6 principal/supervisory exams, 3 general industry/product exams, and 1 state securities law exam.

Principal/Supervisory Exams

Exam	Category	Date
B General Securities Sales Supervisor - General Module Examination	Series 10	08/09/2008
B Municipal Securities Principal Examination	Series 53	08/02/2008
B Registered Options Principal Examination	Series 4	11/28/2006
B General Securities Sales Supervisor - Options Module Examination	Series 9	09/01/2006
B Municipal Fund Securities Principal Examination	Series 51	10/31/2005
B General Securities Principal Examination	Series 24	09/29/2005

General Industry/Product Exams

Exam	Category	Date
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	09/17/2002

State Securities Law Exams

Exam	Category	Date
B IA Uniform Combined State Law Examination	Series 66	03/04/2003

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 08/2009 - 11/2014	ONEAMERICA SECURITIES, INC.	4173	INDIANAPOLIS, IN
B 08/2009 - 11/2014	ONEAMERICA SECURITIES, INC.	4173	INDIANAPOLIS, IN
B 05/2009 - 05/2009	LINCOLN FINANCIAL SECURITIES CORPORATION	3870	BRAINTREE, MA
IA 04/2007 - 05/2009	US FINANCIAL ADVISORS, LLC	108763	BRAINTREE, MA
B 04/2007 - 05/2009	U.S. WEALTH ADVISORS, LLC.	126924	BRAINTREE, MA
B 04/2006 - 03/2007	AMERIPRISE FINANCIAL SERVICES, INC.	6363	BOSTON, MA
B 02/2005 - 04/2006	JOHN HANCOCK FUNDS, LLC	28262	BOSTON, MA
IA 05/2005 - 04/2006	SIGNATOR INVESTORS, INC.	468	BOSTON, MA
B 02/2005 - 04/2006	SIGNATOR INVESTORS, INC.	468	BOSTON, MA
B 12/2002 - 01/2005	IDS LIFE INSURANCE COMPANY	6321	MINNEAPOLIS, MN
B 09/2002 - 01/2005	AMERICAN EXPRESS FINANCIAL ADVISORS INC.	6363	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
01/2015 - Present	TIAA	Regional Supervisory Principal	Y	Cambridge, MA, United States
01/2015 - Present	TIAA-CREF INDIVIDUAL & INSTITUTIONAL SERVICES, LLC	REGISTERED REPRESENTATIVE	Y	Cambridge, MA, 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) FINRA DISTRICT OFFICE; 99 HIGH STREET, SUITE 900, BOSTON, MA 02110; START DATE JUNE 2009; 0 - 5 HRS PER MONTH;
DURING SECURITIES TRADING HOURS; ARBITRATOR; INDUSTRY ARBITRATOR THAT SITS ON A PANEL FOR DISPUTES BETWEEN
FIRMS AND THE PUBLIC

(2) NOTARY

POSITION: Public Notary NATURE: Notarize papers for individuals INVESTMENT RELATED: No NUMBER OF HOURS: 1 SECURITIES
TRADING HOURS: 0 START DATE: 06/17/2020

ADDRESS: Home Address, Sharon MA 02067, United States

DESCRIPTION: Notarizing documents

(3) SHARON YOUTH BASEBALL AND SOFTBALL ASSOCIATION

POSITION: Director NATURE: The Association is a non-profit corporation pursuant to Section 501(c)(3) of the Internal Revenue Code and is established to maintain an association of person interested in the Town of Sharon Youth Baseball and Softball Programs. The Sharon Youth Baseball and Softball Association is a program of service to youth. Its goal is to provide children with an enjoyable baseball and softball experience, which includes learning the basic skills of the games, teaching and instructing youth in the rules of the game, promoting teamwork, and developing skills necessary to play youth baseball and softball safely. INVESTMENT RELATED: No NUMBER OF HOURS: 2 SECURITIES
TRADING HOURS: 0 START DATE: 10/17/2024

ADDRESS: P.O. Box 181, Sharon MA 02067, United States

DESCRIPTION: Board Member

(4) SHARON HIGH SCHOOL ATHLETICS BOOSTERS

POSITION: President NATURE: The Sharon High School Athletics Boosters is a registered 501(c)(3) charity organization of parents, faculty, and community volunteers, dedicated to the support and advocacy of the athletic programs at Sharon High School (SHS). We provide supplemental funding for the needs of coaches and players that the Athletic User Fee does not cover. Our fundraising is primarily a result of voluntary efforts and donations from family, friends of the program, and members of the community. INVESTMENT RELATED: No NUMBER OF HOURS: 10
SECURITIES TRADING HOURS: 0 START DATE: 03/12/2025

ADDRESS: 181 Pond Street, Sharon MA 02067, United States

DESCRIPTION: Volunteer work and attend meetings

End of Report



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