

## BrokerCheck Report

**BARRY JAY DEKREEK**

CRD# 4583534

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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](http://brokercheck.finra.org)



For additional information about the contents of this report, please refer to the User Guidance or [www.finra.org/brokercheck](http://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](http://www.finra.org).

**BARRY J. DEKREEK**

CRD# 4583534

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

**IA CETERA INVESTMENT ADVISERS LLC**  
 1450 AMERICAN LANE  
 6TH FLOOR, SUITE 650  
 SCHAUMBURG, IL 60173  
 CRD# 105644  
 Registered with this firm since: 09/05/2025

**B CETERA WEALTH SERVICES, LLC**  
 4401 Northside Pkwy NW  
 Suite 900  
 Atlanta, GA 30327  
 CRD# 13572  
 Registered with this firm since: 09/05/2025

**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
- 7 U.S. states and territories

**This broker has passed:**

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

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

**IA AVANTAX ADVISORY SERVICES**  
 CRD# 104556  
 DALLAS, TX  
 06/2025 - 09/2025

**B AVANTAX INVESTMENT SERVICES, INC.**  
 CRD# 13686  
 Atlanta, GA  
 06/2025 - 09/2025

**IA LPL FINANCIAL LLC**  
 CRD# 6413  
 FORT MILL, SC  
 03/2018 - 07/2025

**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	1
Financial	1



## 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 7 U.S. states and territories through his or her employer.**

### Employment 1 of 2

Firm Name: **CETERA INVESTMENT ADVISERS LLC**

Main Office Address: **1450 AMERICAN LANE  
6TH FLOOR, SUITE 650  
SCHAUMBURG, IL 60173-2096**

Firm CRD#: **105644**

	U.S. State/ Territory	Category	Status	Date
IA	Georgia	Investment Adviser Representative	Approved	09/05/2025

### Branch Office Locations

1450 AMERICAN LANE  
6TH FLOOR, SUITE 650  
SCHAUMBURG, IL 60173-2096

ATLANTA, GA

### Employment 2 of 2

Firm Name: **CETERA WEALTH SERVICES, LLC**

Main Office Address: **2301 ROSECRANS AVE #5100  
EL SEGUNDO, CA 90245**

Firm CRD#: **13572**

	SRO	Category	Status	Date
B	FINRA	General Securities Representative	Approved	09/05/2025

Broker Qualifications



Employment 2 of 2, continued

	U.S. State/ Territory	Category	Status	Date
B	Alabama	Agent	Approved	09/05/2025
B	California	Agent	Approved	09/05/2025
B	Colorado	Agent	Approved	09/05/2025
B	Florida	Agent	Approved	09/05/2025
B	Georgia	Agent	Approved	09/05/2025
B	New Jersey	Agent	Approved	09/05/2025
B	North Carolina	Agent	Approved	09/05/2025

Branch Office Locations

CETERA WEALTH SERVICES, LLC  
4401 Northside Pkwy NW  
Suite 900  
Atlanta, GA 30327

CETERA WEALTH SERVICES, LLC  
Atlanta, GA

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## 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 2 state securities law exams.**

### Principal/Supervisory Exams

Exam	Category	Date
No information reported.		

### General Industry/Product Exams

Exam	Category	Date
<b>B</b> Securities Industry Essentials Examination	SIE	10/01/2018
<b>B</b> General Securities Representative Examination	Series 7	11/01/2002

### State Securities Law Exams

Exam	Category	Date
<b>B</b> <b>IA</b> Uniform Combined State Law Examination	Series 66	01/13/2004
<b>B</b> Uniform Securities Agent State Law Examination	Series 63	01/13/2003

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/](http://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	06/2025 - 09/2025	AVANTAX ADVISORY SERVICES	104556	Atlanta, GA
B	06/2025 - 09/2025	AVANTAX INVESTMENT SERVICES, INC.	13686	Atlanta, GA
IA	03/2018 - 07/2025	LPL FINANCIAL LLC	6413	ATLANTA, GA
B	12/2013 - 07/2025	LPL FINANCIAL LLC	6413	ATLANTA, GA
IA	12/2013 - 01/2018	MERIT FINANCIAL ADVISORS	142457	ALPHARETTA, GA
B	02/2013 - 12/2013	RAYMOND JAMES & ASSOCIATES, INC.	705	ATLANTA, GA
IA	02/2013 - 12/2013	RAYMOND JAMES & ASSOCIATES, INC.	705	ATLANTA, GA
IA	08/2008 - 02/2013	MORGAN KEEGAN & COMPANY, INC.	4161	ATLANTA, GA
B	08/2008 - 02/2013	MORGAN KEEGAN & COMPANY, INC.	4161	ATLANTA, GA
B	01/2008 - 08/2008	WACHOVIA SECURITIES, LLC	19616	SANDY SPRINGS, GA
IA	01/2008 - 08/2008	WACHOVIA SECURITIES, LLC	19616	SANDY SPRINGS, GA
B	11/2002 - 01/2008	A. G. EDWARDS & SONS, INC.	4	ATLANTA, GA
IA	01/2004 - 01/2008	A. G. EDWARDS & SONS, INC.	4	ATLANTA, GA

### 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
09/2025 - Present	CETERA INVESTMENT ADVISERS LLC	INVESTMENT ADVISOR REPRESENTATIVE	Y	SCHAUMBURG, IL, United States
09/2025 - Present	CETERA WEALTH SERVICES, LLC	REGISTERED REPRESENTATIVE	Y	EL SEGUNDO, CA, United States





## Registration and Employment History

### Employment History, continued

Employment	Employer Name	Position REPRESENTATIVE	Investment Related	Employer Location States
06/2025 - Present	Legacy Capital Advisors, LLC	Financial Advisor	Y	Atlanta, GA, United States
04/2024 - Present	Oceanview Ventures LLC	Member	N	Atlanta, GA, United States
06/2025 - 09/2025	Avantax Advisory Services	Investment Advisor Representative	Y	Atlanta, GA, United States
06/2025 - 09/2025	Avantax Insurance Agency, LLC	Insurance Agent	Y	Atlanta, GA, United States
06/2025 - 09/2025	Avantax Investment Services Inc.	Registered Representative	Y	Atlanta, GA, United States
12/2013 - 06/2025	LPL FINANCIAL, LLC	REGISTERED REPRESENTATIVE	Y	ALPHARETTA, GA, United States
12/2013 - 01/2018	MERIT FINANCIAL ADVISORS	INVESTMENT ADVISER REPRESENTATIVE	Y	ALPHARETTA, GA, 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: Financial Advisor NATURE: Legacy Capital offers investment planning, financial planning, retirement planning and tax planning services INVESTMENT RELATED: Yes NUMBER OF HOURS: 120 SECURITIES TRADING HOURS: 120 START DATE: 05/16/2025

ADDRESS: 4401 Northside Pkwy, Suite 900, Atlanta GA 30327, United States

DESCRIPTION: I provide investment advice and products to my clients. I offer wholistic financial planning, retirement planning, college planning, and insurance.

#### 2) OCEANVIEW VENTURES LLC

POSITION: Member NATURE: I will move over funds needed to pay office and business expenses from doing Avantax business to this entity.

INVESTMENT RELATED: No NUMBER OF HOURS: 1 SECURITIES TRADING HOURS: 1 START DATE: 04/15/2024

ADDRESS: 265 Lackland Ct, Atlanta GA 30350, United States

DESCRIPTION: my top 5 duties related to this entity are to move funds over to pay Avantax business expenses, pay rent, pay licensing and technology fees, pay registration fees, and pay any advertising or marketing expenses

## 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.
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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	1	N/A
Financial	0	1	N/A



## Disclosure Event Details

When evaluating this information, please keep in mind that a disclosure 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

<b>Reporting Source:</b>	Firm
<b>Employing firm when activities occurred which led to the complaint:</b>	WELLS FARGO ADVISORS, LLC
<b>Allegations:</b>	<p>COMPLAINT ALLEGATIONS: CLIENT ALLEGES THAT FA CONVINCED CLIENT TO INVEST IN LLC WITHOUT DISCLOSING FA'S OWN INVESTMENT IN THE LLC AND WITHOUT DISCLOSING MATERIAL FACTS ABOUT THE RISK OF THE INVESTMENT. (08/01/2007)</p> <p>LITIGATION ALLEGATIONS: PLAINTIFF, A RESIDENT OF GEORGIA, ALLEGES IN 2007 FA MISREPRESENTED AN INVESTMENT IN A REAL ESTATE DEVELOPMENT COMPANY. PLAINTIFF IS REQUESTING AN AWARD OF COMPENSATORY DAMAGES IN AN AMOUNT TO BE PROVEN AT TRIAL, BUT NOT LESS THAN \$400,000. **** ARBITRATION ALLEGATIONS: CLAIMANT ALLEGES MISREPRESENTATION RELATED TO A REAL ESTATE INVESTMENT THAT OCCURRED IN AUGUST 2007. CLAIMANT REQUESTS DAMAGES OF AN UNSPECIFIED AMOUNT, BUT NOT LESS THAN \$400,000.</p>
<b>Product Type:</b>	No Product
<b>Alleged Damages:</b>	\$0.00
<b>Alleged Damages Amount Explanation (if amount not exact):</b>	CLAIMANT REQUESTS DAMAGES OF AN UNSPECIFIED AMOUNT, BUT NOT LESS THAN \$400,000.
<b>Is this an oral complaint?</b>	No
<b>Is this a written complaint?</b>	Yes



**Is this an arbitration/CFTC reparation or civil litigation?** No

### Customer Complaint Information

**Date Complaint Received:** 03/23/2011

**Complaint Pending?** No

**Status:** Evolved into Civil litigation (the individual is a named party)

**Status Date:** 09/06/2011

**Settlement Amount:**

**Individual Contribution Amount:**

### Arbitration Information

**Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.):** FINRA

**Docket/Case #:** [11-04661](#)

**Date Notice/Process Served:** 12/29/2011

**Arbitration Pending?** No

**Disposition:** Settled

**Disposition Date:** 05/07/2013

**Monetary Compensation Amount:** \$145,000.00

**Individual Contribution Amount:** \$18,000.00

### Civil Litigation Information

**Type of Court:** BEFORE THE SUPERIOR COURT OF FULTON COUNTY, STATE OF GEORGIA

**Name of Court:** BEFORE THE SUPERIOR COURT OF FULTON COUNTY, STATE OF GEORGIA

**Location of Court:** FULTON COUNTY, GEORGIA

**Docket/Case #:** 2011CV 205288

**Date Notice/Process Served:** 09/06/2011

**Litigation Pending?** No



**Disposition:** Withdrawn

**Disposition Date:** 10/03/2011

**Firm Statement** CLAIMANT VOLUNTARILY DISMISSED THE COMPLAINT WITHOUT PREJUDICE. \*\*\*ARBITRATION SERVED. \*\*\*WITHOUT ADMITTING ANY LIABILITY, THE FIRM SETTLED THE MATTER FOR \$145,000.00. THE FA--BARRY JAY DEKREEK WILL CONTRIBUTE \$18,000.00 TOWARDS SETTLEMENT PAYMENT.

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**Reporting Source:** Broker

**Employing firm when activities occurred which led to the complaint:** WELLS FARGO ADVISORS, LLC.

**Allegations:** COMPLAINT ALLEGATIONS: CLIENT ALLEGES THAT FA CONVINCED CLIENT TO INVEST IN LLC WITHOUT DISCLOSING FA'S OWN INVESTMENT IN THE LLC AND WITHOUT DISCLOSING MATERIAL FACTS ABOUT THE RISK OF THE INVESTMENT. (08/01/2007) LITIGATION ALLEGATIONS: PLAINTIFF, A RESIDENT OF GEORGIA, ALLEGES IN 2007 FA MISREPRESENTED AN INVESTMENT IN A REAL ESTATE DEVELOPMENT COMPANY. PLAINTIFF IS REQUESTING AN AWARD OF COMPENSATORY DAMAGES IN AN AMOUNT TO BE PROVEN AT TRIAL, BUT NOT LESS THAN \$400,000.

**Product Type:** No Product

**Alleged Damages:** \$0.00

**Alleged Damages Amount Explanation (if amount not exact):** CLAIMANT REQUESTS DAMAGES OF AN UNSPECIFIED AMOUNT, BUT NOT LESS THAN \$400,000.

**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:** 03/23/2011

**Complaint Pending?** No

**Status:** Evolved into Civil litigation (the individual is a named party)

**Status Date:** 09/06/2011

**Settlement Amount:**

**Individual Contribution  
Amount:**

**Arbitration Information**

**Arbitration/CFTC reparation  
claim filed with (FINRA, AAA,  
CFTC, etc.):** FINRA

**Docket/Case #:** [11-04661](#)

**Date Notice/Process Served:** 12/29/2011

**Arbitration Pending?** No

**Disposition:** Settled

**Disposition Date:** 05/07/2013

**Monetary Compensation  
Amount:** \$145,000.00

**Individual Contribution  
Amount:** \$18,000.00

**Civil Litigation Information**

**Type of Court:** Military Court

**Name of Court:** BEFORE THE SUPERIOR COURT OF FULTON COUNTY, STATE OF GEORGIA

**Location of Court:** FULTON COUNTY, GEORGIA

**Docket/Case #:** 2011CV 205288

**Date Notice/Process Served:** 09/06/2011

**Litigation Pending?** No

**Disposition:** Withdrawn

**Disposition Date:** 10/03/2011

**Broker Statement** CLAIMANT VOLUNTARILY DISMISSED THE COMPLAINT WITH PREJUDICE.  
\*\*\*ARBITRATION SERVED.  
6/5/2013 - FA WILL CONTRIBUTE A TOTAL OF \$18,000 TOWARD  
SETTLEMENT. HE WILL PAY \$8,000 INITIALLY AND PAY WELLS FARGO OR  
CLAIMANT THE REMAINING \$10,000 ON A PAYMENT PLAN YET TO BE  
DETERMINED.



**Financial - Final**

This type of disclosure event involves a bankruptcy, compromise with one or more creditors, or Securities Investor Protection Corporation liquidation involving the broker or an organization/brokerage firm the broker controlled that occurred within the last 10 years.

**Disclosure 1 of 1**

**Reporting Source:** Broker

**Action Type:** Compromise

**Action Date:** 05/16/2017

**Organization Investment-Related?**

**Action Pending?** No

**Disposition:** Satisfied/Released

**Disposition Date:** 05/16/2017

**If a compromise with creditor, provide:**

**Name of Creditor:** PNC Bank

**Original Amount Owed:** \$9,819.20

**Terms Reached with Creditor:** Compromised/Settled for \$3,274.00

**Broker Statement**

This account was related to my Real Estate Investments from 2005-2011. All of my properties went through a short sale process due to the 2008 recession and Real Estate crisis. I was advised to include this account in the overall default.



## End of Report



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