

BrokerCheck Report

Bryan Andrew Richey

CRD# 5255547

<u>Section Title</u>	<u>Page(s)</u>
Report Summary	1
Broker Qualifications	2 - 3
Registration and Employment History	5 - 6
Disclosure Events	7



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.

Bryan A. Richey

CRD# 5255547

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
- 3 General Industry/Product Exams
- 3 State Securities Law Exams

Registration History

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

- B NYLIFE SECURITIES LLC**
CRD# 5167
KNOXVILLE, TN
09/2018 - 03/2019
- B PRUCO SECURITIES, LLC.**
CRD# 5685
Apopka, FL
07/2014 - 12/2014
- B METLIFE SECURITIES INC.**
CRD# 14251
ORLANDO, FL
12/2006 - 07/2014

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
Regulatory Event	1
Criminal	2
Judgment/Lien	1

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

Principal/Supervisory Exams

Exam	Category	Date
B General Securities Principal Examination	Series 24	08/24/2009

General Industry/Product Exams

Exam	Category	Date
B Securities Industry Essentials Examination	SIE	10/01/2018
B General Securities Representative Examination	Series 7	09/18/2018
B Investment Company Products/Variable Contracts Representative Examination	Series 6	12/06/2006

State Securities Law Exams

Exam	Category	Date
B IA Uniform Combined State Law Examination	Series 66	10/15/2018
IA Uniform Investment Adviser Law Examination	Series 65	10/17/2007
B Uniform Securities Agent State Law Examination	Series 63	08/08/2007

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 09/2018 - 03/2019	NYLIFE SECURITIES LLC	5167	KNOXVILLE, TN
B 07/2014 - 12/2014	PRUCO SECURITIES, LLC.	5685	Apopka, FL
B 12/2006 - 07/2014	METLIFE SECURITIES INC.	14251	ORLANDO, FL
B 12/2006 - 07/2007	METROPOLITAN LIFE INSURANCE COMPANY	4095	ORLANDO, FL

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
11/2018 - Present	EAGLE STRATEGIES LLC	REGISTERED INVESTMENT ADVISOR	Y	KNOXVILLE, TN, United States
09/2018 - Present	NYLIFE Securities LLC	Registered Representative	Y	Knoxville, TN, United States
02/2018 - Present	New York Life Insurance Company	Agent	Y	Knoxville, TN, United States
10/2017 - 07/2018	BAM Outdoors Corp	Marketing	N	Maryville, TN, United States
05/2016 - 01/2018	unemployed	unemployed	N	Apopka, FL, United States
07/2014 - 05/2016	Whitetail Insurance	Owner	N	Apopka, FL, 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.) : Bryan Richey Group, 622 Branchwood Ln., Maryville, TN37801
Category: Insurance



Registration and Employment History

Other Business Activities, continued

Investment Related: Yes

Title: Agent

Duties: Offer and service fixed insurance product such as accident, health, disability, fixed and indexed annuities, HSAs, P&C, long-term care, and traditional life insurance.

Start Date: 01/25/2021

Hours per Month: 160

Hours per Month during trading hours: 160

Update Form BR: Yes

Website Address: N/A

2.)Whitetail Grounds LLC 257 N. Calderwood St. #338, Alcoa, TN 37701

Category: Legal Entity/Retail

Investment Related: No

Title: Owner

Duties: Legal entity through which deer attractant products are manufactured and sold.

Start Date: 10/13/2017

Hours per Month: 5

Hours per Month during trading hours: 1

Update Form BR: No

Website Address: N/A

3.)Realty Executive Associates, 1213 W. Lamar Alexander Pkwy, Maryville, TN 37801

Category: Real Estate Sales

Investment Related: No

Title: Agent

Duties: Sale of real estate properties.

Start Date: 02/28/2019

Hours per Month: 5

Hours per Month during trading hours: 1

Update Form BR: No

Website Address: N/A

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.
 -
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
Regulatory Event	0	1	0
Criminal	0	2	0
Judgment/Lien	1	N/A	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.

Regulatory - Final

This type of disclosure event may involve (1) a final, formal proceeding initiated by a regulatory authority (e.g., a state securities agency, self-regulatory organization, federal regulatory such as the Securities and Exchange Commission, foreign financial regulatory body) for a violation of investment-related rules or regulations; or (2) a revocation or suspension of a broker's authority to act as an attorney, accountant, or federal contractor.

Disclosure 1 of 1

Reporting Source:	Regulator
Regulatory Action Initiated By:	FINRA
Sanction(s) Sought:	Suspension
Date Initiated:	11/10/2021
Docket/Case Number:	2021071000201
Employing firm when activity occurred which led to the regulatory action:	N/A
Product Type:	No Product
Allegations:	Respondent Richey failed to respond to FINRA requests for information.
Current Status:	Final
Resolution:	Letter
Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct?	No



Resolution Date: 02/14/2022

Sanctions Ordered: Bar (Permanent)

If the regulator is the SEC, CFTC, or an SRO, did the action result in a finding of a willful violation or failure to supervise? No

(1) willfully violated any provision of the Securities Act of 1933, the Securities Exchange Act of 1934, the Investment Advisers Act of 1940, the Investment Company Act of 1940, the Commodity Exchange Act, or any rule or regulation under any of such Acts, or any of the rules of the Municipal Securities Rulemaking Board, or to have been unable to comply with any provision of such Act, rule or regulation?

(2) willfully aided, abetted, counseled, commanded, induced, or procured the violation by any person of any provision of the Securities Act of 1933, the Securities Exchange Act of 1934, the Investment Advisers Act of 1940, the Investment Company Act of 1940, the Commodity Exchange Act, or any rule or regulation under any of such Acts, or any of the rules of the Municipal Securities Rulemaking Board? or



(3) failed reasonably to supervise another person subject to your supervision, with a view to preventing the violation by such person of any provision of the Securities Act of 1933, the Securities Exchange Act of 1934, the Investment Advisers Act of 1940, the Investment Company Act of 1940, the Commodity Exchange Act, or any rule or regulation under any such Acts, or any of the rules of the Municipal Securities Rulemaking Board?

Sanction 1 of 2

Sanction Type: Bar (Permanent)
Capacities Affected: All capacities
Duration: indefinite
Start Date: 02/14/2022
End Date:

Sanction 2 of 2

Sanction Type: Suspension
Capacities Affected: All Capacities
Duration: n/a
Start Date: 12/06/2021
End Date: 02/13/2022

Regulator Statement

Pursuant to FINRA Rule 9552(h) and in accordance with FINRA's Notice of Suspension and Suspension from Association letters dated November 10, 2021 and December 6, 2021, respectively, on February 14, 2022, Richey is barred from association with any FINRA member in all capacities. Richey failed to request termination of his suspension within three months of the date of the Notice of Suspension; therefore, he is automatically barred from association with any FINRA member in all capacities.



Criminal - Final Disposition

This type of disclosure event involves a criminal charge against the broker that has resulted in a conviction, acquittal, dismissal, or plea. The criminal matter may pertain to any felony or certain misdemeanor offenses, including bribery, perjury, forgery, counterfeiting, extortion, fraud, and wrongful taking of property.

Disclosure 1 of 2

Reporting Source:	Broker
Formal Charges were brought in:	State Court
Name of Court:	Lake County Circuit Court
Location of Court:	Tavares Florida
Docket/Case #:	2001CF1701
Charge Date:	08/23/2000
Charge(s) 1 of 1	
Formal Charge(s)/Description:	False Application of Driver License
No of Counts:	1
Felony or Misdemeanor:	Felony
Plea for each charge:	Not Guilty
Disposition of charge:	Pre-trial Intervention
Current Status:	Final
Status Date:	03/26/2002
Disposition Date:	03/26/2002
Sentence/Penalty:	03/26/2002 pre-trial intervention, fines and court costs assessed, case was nolle prosequi as of 4/4/03
Broker Statement	ON AUGUST 23, 2000 I WENT TO THE DMV TO OBTAIN A DRIVERS LICENSE IN THE NAME OF MY FRIEND SO THAT THE I.D. WOULD ALLOW ME TO CONSUME ALCOHOL. MY FRIENDS BROTHER TOLD HIS DAD AND HIS DAD HAD NICK GET THE I.D. FROM ME SO THAT I COULD TURN IT IN. THEN THE STATE PICKED UP THE CASE. UPON SUCCESSFULLY COMPLETEING ALL PTI CONDITIONS THE CHARGE WAS DROPPED.

Disclosure 2 of 2



Reporting Source:	Broker
Formal Charges were brought in:	State Court
Name of Court:	Orange County District 9
Location of Court:	Orlando Florida
Docket/Case #:	2001-CF-0173-10-A-O
Charge Date:	12/26/2001
Charge(s) 1 of 2	
Formal Charge(s)/Description:	Aggravated Assault with a Deadly Weapon
No of Counts:	1
Felony or Misdemeanor:	Felony
Plea for each charge:	Not Guilty
Disposition of charge:	Dismissed
Charge(s) 2 of 2	
Formal Charge(s)/Description:	Improper Exhibition of Weapon or Firearm
No of Counts:	1
Felony or Misdemeanor:	Misdemeanor
Plea for each charge:	Guilty
Disposition of charge:	Deferred Adjudication
Current Status:	Final
Status Date:	09/26/2002
Disposition Date:	09/26/2002
Sentence/Penalty:	paid fines and court costs and sentenced to 1 year probation
Broker Statement	MY BROTHER FOUND HIMSELF IN A DISPUTE OVER A WOMAN, WITH SEVERAL GUYS. THE SITUATION ESCALATED WHEN THEY STARTED KICKING MY BROTHERS CAR AND TRYING TO PULL HIM OUT OF IT. HE CALLED ME AND I WENT TO HIS AID. WHEN I ARRIVED THEY WERE YELLING AT MY BROTHER AND ME AND SAYING THAT THEY WERE GOING TO KILL MY BROTHER. I FELT THAT BOTH OF OUR LIVES WERE IN



JEOPARDY SO I GRABBED MY GUN OUT OF MY TRUCK WHICH DEFUSED THE SITUATION. AFTER THE STATE CALLED FOR DISPOSITION IN THE CASE THEY FOUND THAT I ACTED IN SELF DEFENSE AND THE CHARGE WAS REDUCED FROM A FELONY TO A MISDEMEANOR. THE RESTITUTION CAME BECAUSE MY BROTHER KICKED ONE OF THE GUYS CAR AND THE STATE AND THE STATE AGREED NOT TO FILE CHAGES ON HIM IF PAID.



Judgment / Lien

This type of disclosure event involves an unsatisfied and outstanding judgments or liens against the broker.

Disclosure 1 of 1

Reporting Source:	Broker
Judgment/Lien Holder:	Martha Rodriguez
Judgment/Lien Amount:	\$48,948.15
Judgment/Lien Type:	Civil
Date Filed with Court:	09/09/2020
Date Individual Learned:	01/20/2021
Type of Court:	State Court
Name of Court:	Orlando, Orange County Circuit Court
Location of Court:	Orlando, Florida
Docket/Case #:	2019-CA-007619-O
Judgment/Lien Outstanding?	Yes

End of Report



This page is intentionally left blank.