

BrokerCheck Report
JOHN W. BRIMER
 CRD# 5552784

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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.

**JOHN W. BRIMER**

CRD# 5552784

Currently employed by and registered with the following Firm(s):**IA AVANTAX ADVISORY SERVICES**

4025 WOODLAND PARK BLVD
SUITE 250
ARLINGTON, TX 76013
CRD# 104556

Registered with this firm since: 10/25/2019

B AVANTAX INVESTMENT SERVICES, INC.

4025 WOODLAND PARK BLVD
SUITE 250
ARLINGTON, TX 76013
CRD# 13686

Registered with this firm since: 10/25/2019

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
- 11 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):****IA 1ST GLOBAL ADVISORS INC**

CRD# 111133
DALLAS, TX
12/2008 - 10/2019

B 1ST GLOBAL CAPITAL CORP.

CRD# 30349
ARLINGTON, TX
10/2008 - 10/2019

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



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 11 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	Texas	Investment Adviser Representative	Approved	10/25/2019

Branch Office Locations

4025 WOODLAND PARK BLVD
SUITE 250
ARLINGTON, TX 76013

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	10/25/2019

Broker Qualifications



Employment 2 of 2, continued

	U.S. State/ Territory	Category	Status	Date
B	Arizona	Agent	Approved	10/25/2019
B	Colorado	Agent	Approved	10/25/2019
B	Florida	Agent	Approved	10/25/2023
B	Kentucky	Agent	Approved	10/25/2019
B	Louisiana	Agent	Approved	10/25/2019
B	Michigan	Agent	Approved	10/25/2019
B	Missouri	Agent	Approved	10/25/2019
B	New Mexico	Agent	Approved	10/22/2021
B	New York	Agent	Approved	10/25/2019
B	North Carolina	Agent	Approved	10/25/2019
B	Texas	Agent	Approved	10/25/2019

Branch Office Locations

AVANTAX INVESTMENT SERVICES, INC.
 4025 WOODLAND PARK BLVD
 SUITE 250
 ARLINGTON, TX 76013



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	10/28/2008

State Securities Law Exams

Exam	Category	Date
B IA Uniform Combined State Law Examination	Series 66	12/02/2008

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 12/2008 - 10/2019	1ST GLOBAL ADVISORS INC	111133	ARLINGTON, TX
B 10/2008 - 10/2019	1ST GLOBAL CAPITAL CORP.	30349	ARLINGTON, TX

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
10/2023 - Present	Sunny Day Financial	Advisor	Y	Arlington, TX, United States
10/2019 - Present	AVANTAX ADVISORY SERVICES	INVESTMENT ADVISER REPRESENTATIVE	Y	ARLINGTON, TX, United States
10/2019 - Present	AVANTAX INVESTMENT SERVICES, INC.	REGISTERED REPRESENTATIVE	Y	ARLINGTON, TX, United States
09/2009 - Present	AVANTAX INSURANCE SERVICES, INC.	INSURANCE AGENT	Y	ARLINGTON, TX, United States
09/2009 - Present	Avantax Insurance Agency and/or Avantax Insurance Services	Agent	Y	Arlington, TX, United States
10/2019 - 10/2023	WEALTHCARE FINANCIAL GROUP, LLC	FINANCIAL ADVISOR	Y	ARLINGTON, TX, United States
08/2008 - 10/2019	1ST GLOBAL ADVISORS, INC.	INVESTMENT ADVISER REPRESENTATIVE	Y	ARLINGTON, TX, United States
08/2008 - 10/2019	1ST GLOBAL CAPITAL CORP.	REGISTERED REPRESENTATIVE	Y	ARLINGTON, TX, United States
02/2004 - 10/2019	BRIMER, PERRY & ASSOC	PARTNER	N	ARLINGTON, TX, United States



Registration and Employment History

Employment History, continued

Employment	Employer Name	Position	Investment Related	Employer Location
05/1992 - 10/2019	JOHN W. BRIMER, CPA PC	PRESIDENT, CA	N	ARLINGTON, TX, 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) JOHN W. BRIMER, PC

POSITION: President NATURE: Participation in drag racing at sanctioned race tracks around the United States. Sanctioning bodies are NHRA and IHRA. Winning or placing in events results in some prize money. The amount depends on the place finished. Amounts range from \$100 to \$15,000. I participate in approximately 14 events per year. I use this activity as an advertising vehicle for primarily my CPA practice, but more people now know that I am an investment advisor.

INVESTMENT RELATED: Yes NUMBER OF HOURS: 8 SECURITIES TRADING HOURS: 8 START DATE: 05/31/1970

ADDRESS: 4025 Woodland Park Blvd, Suite 250, Arlington TX 76013, United States

DESCRIPTION: I am the owner and driver of the race vehicle, transport rig, and all support equipment.

2) JOHN W. BRIMER, CPA PC

POSITION: PRESIDENT NATURE: Public accounting firm providing accounting and income tax services to business and individuals

INVESTMENT RELATED: Yes NUMBER OF HOURS: 160 SECURITIES TRADING HOURS: 160 START DATE: 04/30/1992

ADDRESS: 4025 Woodland Park Blvd, Suite 250, Arlington TX 76013, United States

DESCRIPTION: CPA responsible for all output

3) CHRISTIAN MOTORSPORTS INTERNATIONAL, INC

POSITION: BOARD MEMBER, TREASURER, CFO NATURE: NON PROFIT RELIGIOUS SERVICES INVESTMENT RELATED: Yes NUMBER OF HOURS: 0 SECURITIES TRADING HOURS: 0 START DATE: 07/20/2016

ADDRESS: 1250 E Baseline Rd, Ste 101, Tempe AZ 85283, United States

DESCRIPTION: Christian Motorsports International, Inc, is registered as a CA religious nonprofit corporation. The organization provides religious services to various forms of motorsports groups, such as NHRA. A director serves to establish corporate policy, set parameters for executive staff authority, provide accountability and encouragement, and assure conformity to ministry purpose and ethical operational practices.

4) AVAIL SOLUTIONS, INC

POSITION: DIRECTOR NATURE: MENTAL HEALTH CRISIS HOTLINE INVESTMENT RELATED: No NUMBER OF HOURS: 1 SECURITIES TRADING HOURS: 0 START DATE: 10/31/1999

ADDRESS: 3310 E. 5th St, Tyler TX 75701, United States

DESCRIPTION: Member of board and stockholder. No signature responsibilities

5) ABBOTEC, INC

POSITION: Director NATURE: Voting Board Member INVESTMENT RELATED: No NUMBER OF HOURS: 1 SECURITIES TRADING HOURS: 1 START DATE: 11/01/2019



Registration and Employment History

Other Business Activities, continued

ADDRESS: 101 Canyon Court, Weatherford TX 76087, United States

DESCRIPTION: Attend annual board meeting

6) ABBOTEC

POSITION: Want to buy 100% of the outstanding S-Corp stock NATURE: Certified aerospace parts manufacturer. I will be buying 100% of the stock from the existing owner. This is not a public transaction and no stock will be issued or offered to the public. This is not a public company.

INVESTMENT RELATED: Yes NUMBER OF HOURS: 80 SECURITIES TRADING HOURS: 80 START DATE: 05/01/2023

ADDRESS: 101 Canyon Court, Weatherford TX 76087, United States

DESCRIPTION: I will be Chairman of the Board. Also Chief Operating Officer.

7) SUNNY DAY FINANCIAL

POSITION: Advisor NATURE: Sunny Day Financial is a dba with Avantax as the broker dealer. INVESTMENT RELATED: No NUMBER OF HOURS: 10 SECURITIES TRADING HOURS: 10 START DATE: 10/11/2023

ADDRESS: 4025 Woodland Park Blvd, Suite 250, Arlington TX 76013, United States

DESCRIPTION: Advisor

8) AVANTAX INSURANCE AGENCY AND/OR AVANTAX INSURANCE SERVICES

POSITION: Agent NATURE: Avantax Insurance Entities for selling Avantax approved Insurance products. INVESTMENT RELATED: Yes

NUMBER OF HOURS: 1 SECURITIES TRADING HOURS: 1 START DATE: 09/29/2009

ADDRESS: 4025 Woodland Park Blvd, Suite 250, Arlington TX 76013, United States

DESCRIPTION: Offer and sale of insurance products through Avantax Insurance Entities that are approved through Avantax featured partners.

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
Regulatory Event	0	1	0



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:	Broker
Regulatory Action Initiated By:	TX STATE BOARD OF PUBLIC ACCOUNTANCY - SANCTIONED 16 HRS OF CPE IN 2002 UNDER COMPLAINT 0202-0018L
Sanction(s) Sought:	Reprimand
Other Sanction(s) Sought:	16 CPA HOURS OF CPE; 8 HOURS IN THE AREA OF TEXAS FRANCHISE TAX AND 8 HOURS IN THE AREA OF S CORPORATION TAX.
Date Initiated:	02/28/2002
Docket/Case Number:	TSBPA COMPLAINT 0202-0018L
Employing firm when activity occurred which led to the regulatory action:	JOHN BRIMER CPA
Product Type:	Other
Other Product Type(s):	FRANCHISE TAX RETURN
Allegations:	CLIENT COMPLAINT RE: FRANCHISE TAX RETURN. PREPARED CLIENT'S TAX RETURN. CLIENT RETURNED WITH ADDITIONAL DOCUMENTATION. I PREPARED A NEW TAX RETURN USING THE ADDITIONAL DOCUMENTATION AND GAVE COPIES OF BOTH RETURNS TO THE CLIENT. THE CLIENT FILED THE INCORRECT (FIRST PREPARED) TAX RETURN IN ERROR AND HAD TO PAY MORE TAXES. HE FILED A COMPLAINT WITH THE STATE. I WAS CITED FOR VIOLATION OF THE COMPETENCE RULE BY THE STATE BOARD OF



ACCOUNTANCY. THIS IS NOT INVESTMENT-RELATED.

Current Status:

Final

Resolution:

Order

Resolution Date:

11/14/2002

Sanctions Ordered:

Other Sanctions Ordered:

16 CPA HOURS OF CPE; 8 HOURS IN THE AREA OF TEXAS FRANCHISE TAX AND 8 HOURS IN THE AREA OF S CORPORATION TAX.

Sanction Details:

PUBLIC REPRIMAND AND 16 HOURS OF CPE TO BE COMPLETED WITHIN SIX MONTHS OF ORDER. CE WAS COMPLETED IN TIMEFRAME GIVEN.

End of Report



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