

BrokerCheck Report

BRIAN GREGORY PARRIS

CRD# 6374541

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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.

BRIAN G. PARRIS

CRD# 6374541

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

IA CETERA INVESTMENT ADVISERS LLC
 6200 ROCKSIDE RD
 CLEVELAND, OH 44131
 CRD# 105644
 Registered with this firm since: 06/29/2023

IA VANTAGE FINANCIAL GROUP, INC.
 6200 ROCKSIDE ROAD
 CLEVELAND, OH 44131
 CRD# 105950
 Registered with this firm since: 04/11/2017

B CETERA WEALTH SERVICES, LLC
 6200 ROCKSIDE RD
 CLEVELAND, OH 44131
 CRD# 13572
 Registered with this firm since: 09/20/2014

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
- 21 U.S. states and territories

This broker has passed:

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

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

IA CETERA ADVISOR NETWORKS LLC
 CRD# 13572
 EL SEGUNDO, CA
 11/2014 - 06/2023

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**



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 21 U.S. states and territories through his or her employer.

Employment 1 of 3

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	Ohio	Investment Adviser Representative	Approved	06/29/2023
IA	Texas	Investment Adviser Representative	Restricted Approval	01/06/2026

Branch Office Locations

6200 ROCKSIDE RD
CLEVELAND, OH 44131

Employment 2 of 3

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	Invest. Co and Variable Contracts	Approved	09/20/2014
B	FINRA	General Securities Representative	Approved	12/13/2016

Broker Qualifications



Employment 2 of 3, continued

	U.S. State/ Territory	Category	Status	Date
B	Alaska	Agent	Approved	10/16/2025
B	Colorado	Agent	Approved	03/01/2024
B	Connecticut	Agent	Approved	06/28/2021
B	Delaware	Agent	Approved	03/01/2024
B	Florida	Agent	Approved	10/14/2022
B	Georgia	Agent	Approved	05/07/2025
B	Idaho	Agent	Approved	03/07/2024
B	Illinois	Agent	Approved	06/28/2021
B	Maryland	Agent	Approved	03/01/2024
B	Massachusetts	Agent	Approved	06/28/2021
B	Michigan	Agent	Approved	08/16/2022
B	Missouri	Agent	Approved	03/01/2024
B	New Jersey	Agent	Approved	03/10/2025
B	New York	Agent	Approved	03/01/2024
B	Ohio	Agent	Approved	09/22/2014
B	Oklahoma	Agent	Approved	03/01/2024
B	Pennsylvania	Agent	Approved	11/15/2022
B	South Carolina	Agent	Approved	09/27/2023
B	Tennessee	Agent	Approved	12/23/2025
B	Texas	Agent	Approved	01/06/2026
B	Virginia	Agent	Approved	06/03/2022



Broker Qualifications

Employment 2 of 3, continued

Branch Office Locations

CETERA WEALTH SERVICES, LLC
6200 ROCKSIDE RD
CLEVELAND, OH 44131

Employment 3 of 3

Firm Name: VANTAGE FINANCIAL GROUP, INC.
Main Office Address: 6200 ROCKSIDE ROAD
CLEVELAND, OH 44131
Firm CRD#: 105950

U.S. State/ Territory	Category	Status	Date
IA Ohio	Investment Adviser Representative	Approved	04/11/2017

Branch Office Locations

6200 ROCKSIDE ROAD
CLEVELAND, OH 44131



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, 3 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	12/13/2016
B Investment Company Products/Variable Contracts Representative Examination	Series 6	09/20/2014

State Securities Law Exams

Exam	Category	Date
B IA Uniform Combined State Law Examination	Series 66	06/26/2021

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 11/2014 - 06/2023	CETERA ADVISOR NETWORKS LLC	13572	EL SEGUNDO, CA

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
06/2023 - Present	CETERA INVESTMENT ADVISERS LLC	INVESTMENT ADVISOR REPRESENTATIVE	Y	SCHAUMBURG, IL, United States
04/2017 - Present	VANTAGE FINANCIAL GROUP INC	INVESTMENT ADVISER REPRESENTATIVE	Y	CLEVELAND, OH, United States
08/2014 - Present	CETERA WEALTH SERVICES, LLC	REGISTERED REPRESENTATIVE	Y	EL SEGUNDO, CA, United States
07/2014 - Present	VANTAGE FINANCIAL GROUP INC	AGENT	Y	INDEPENDENCE, OH, 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. NAME OF OTHER BUSINESS: FIXED INSURANCE WITH VARIOUS COMPANIES

INVESTMENT RELATED: YES

ADDRESS: SAME AS REGISTERED LOCATION

NATURE OF BUSINESS: FIXED INSURANCE

START DATE: 08/2014

APX NUMBER OF HOURS PER WEEK: VARIES

APX NUMBER OF HOURS DURING TRADING HOURS: VARIES

POSITION/TITLE/RELATIONSHIP: INSURANCE AGENT



Registration and Employment History

Other Business Activities, continued

BRIEF DESCRIPTION OF DUTIES: SELLS LIFE, HEALTH, DISABILITY AND ANNUITIES

2. NAME OF OTHER BUSINESS: VANTAGE FINANCIAL GROUP, INC.

INVESTMENT RELATED: YES

ADDRESS: SAME AS REGISTERED LOCATION

NATURE OF BUSINESS: FINANCIAL SERVICES

START DATE: 07/2014

APX NUMBER OF HOURS PER WEEK: 40

APX NUMBER OF HOURS DURING TRADING HOURS: 40

BRIEF DESCRIPTION OF DUTIES: PROVIDE FINANCIAL SERVICES

3. NAME OF OTHER BUSINESS: VANTAGE TAX SERVICES

INVESTMENT RELATED: YES

ADDRESS: SAME AS REGISTERED LOCATION

NATURE OF BUSINESS: TAX PREP

START DATE: 10/2015

POSITION/TITLE/RELATIONSHIP: REFERRER

APX NUMBER OF HOURS PER WEEK: VARIES

APX NUMBER OF HOURS DURING TRADING HOURS: VARIES

BRIEF DESCRIPTION OF DUTIES: INTAKE OF CLIENT TAX DOCS FOR THIRD PARTY TAX PREP AND SUBMISSION

4. NAME OF OTHER BUSINESS: VANTAGE FINANCIAL GROUP INC.

INVESTMENT RELATED: YES

ADDRESS: SAME AS REGISTERED LOCATION

NATURE OF BUSINESS: ADVISORY BUSINESS

POSITION/TITLE/RELATIONSHIP: ADVISORY REPRESENTATIVE

START DATE: 04/2017

APX NUMBER OF HOURS PER WEEK: 40

APX NUMBER OF HOURS DURING TRADING HOURS: 32.5

BRIEF DESCRIPTION OF DUTIES: PORTFOLIO MANAGEMENT, FINANCIAL PLANNING AND CONSULTING

End of Report



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