

BrokerCheck Report

Brian Allan Thomson

CRD# 2777927

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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 A. Thomson

CRD# 2777927

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

IA BEACON CAPITAL MANAGEMENT, INC.
Logan, UT
CRD# 120641
Registered with this firm since: 11/10/2022

B SAMMONS FINANCIAL NETWORK, LLC
8300 MILLS CIVIC PARKWAY
WEST DES MOINES, IA 50266
CRD# 158538
Registered with this firm since: 11/02/2022

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:

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

Registration History

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

- IA BERTHEL FISHER & COMPANY FINANCIAL SERVICES, INC.**
CRD# 13609
CEDAR RAPIDS, IA
02/2022 - 10/2022
- IA BFC PLANNING, INC.**
CRD# 119682
CEDAR RAPIDS, IA
02/2022 - 10/2022
- B BERTHEL, FISHER & COMPANY FINANCIAL SERVICES, INC.**
CRD# 13609
CEDAR RAPIDS, IA
02/2022 - 10/2022

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

Employment 1 of 2

Firm Name: **BEACON CAPITAL MANAGEMENT, INC.**
 Main Office Address: **7777 WASHINGTON VILLAGE DRIVE
 SUITE 280
 DAYTON, OH 45459**
 Firm CRD#: **120641**

	U.S. State/ Territory	Category	Status	Date
IA	Utah	Investment Adviser Representative	Approved	11/10/2022

Branch Office Locations

7777 WASHINGTON VILLAGE DRIVE
 SUITE 280
 DAYTON, OH 45459

Logan, UT

Employment 2 of 2

Firm Name: **SAMMONS FINANCIAL NETWORK, LLC**
 Main Office Address: **8300 MILLS CIVIC PARKWAY
 WEST DES MOINES, IA 50266**
 Firm CRD#: **158538**

	SRO	Category	Status	Date
B	FINRA	General Securities Principal	Approved	11/02/2022
B	FINRA	General Securities Representative	Approved	11/02/2022



Broker Qualifications

Employment 2 of 2, continued

SRO	Category	Status	Date
B FINRA	Municipal Securities Principal	Approved	11/02/2022
B FINRA	Municipal Securities Representative	Approved	11/02/2022

U.S. State/ Territory	Category	Status	Date
B Utah	Agent	Approved	11/02/2022

Branch Office Locations

SAMMONS FINANCIAL NETWORK, LLC
 8300 MILLS CIVIC PARKWAY
 WEST DES MOINES, IA 50266



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 2 principal/supervisory exams, 3 general industry/product exams, and 2 state securities law exams.

Principal/Supervisory Exams

Exam	Category	Date
B Municipal Securities Principal Examination	Series 53	10/03/2022
B General Securities Principal Examination	Series 24	02/11/2011

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	06/22/2010

State Securities Law Exams

Exam	Category	Date
B IA Uniform Combined State Law Examination	Series 66	10/14/2019
B Uniform Securities Agent State Law Examination	Series 63	07/30/1996

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 02/2022 - 10/2022	BERTHEL FISHER & COMPANY FINANCIAL SERVICES, INC.	13609	CEDAR RAPIDS, IA
IA 02/2022 - 10/2022	BFC PLANNING, INC.	119682	CEDAR RAPIDS, IA
B 02/2022 - 10/2022	BERTHEL, FISHER & COMPANY FINANCIAL SERVICES, INC.	13609	CEDAR RAPIDS, IA
B 02/2022 - 10/2022	SECURITIES MANAGEMENT & RESEARCH, INC.	759	CEDAR RAPIDS, IA
B 08/2021 - 04/2022	LPL FINANCIAL LLC	6413	FORT MILL, SC
IA 08/2021 - 04/2022	LPL FINANCIAL LLC	6413	Logan, UT
B 03/2021 - 07/2021	LPL FINANCIAL LLC	6413	FORT MILL, SC
IA 03/2021 - 07/2021	LPL FINANCIAL LLC	6413	DENVER, CO
IA 10/2019 - 04/2020	CETERA ADVISORS LLC	10299	DENVER, CO
B 12/2016 - 04/2020	CETERA ADVISORS LLC	10299	DENVER, CO
B 12/2016 - 11/2017	CETERA ADVISOR NETWORKS LLC	13572	DENVER, CO
B 12/2016 - 11/2017	CETERA FINANCIAL SPECIALISTS LLC	10358	DENVER, CO
B 12/2016 - 11/2017	CETERA INVESTMENT SERVICES LLC	15340	DENVER, CO
B 12/2016 - 11/2017	FIRST ALLIED SECURITIES, INC.	32444	DENVER, CO
B 12/2016 - 11/2017	SUMMIT BROKERAGE SERVICES, INC.	34643	DENVER, CO
B 12/2016 - 11/2017	GIRARD SECURITIES, INC.	18697	DENVER, CO
B 05/2014 - 12/2014	IVY FUNDS DISTRIBUTOR, INC.	16496	OVERLAND PARK, KS
B 05/2014 - 12/2014	WADDELL & REED	866	OVERLAND PARK, KS
B 08/2012 - 04/2014	PACIFIC SELECT DISTRIBUTORS, INC.	4452	NEWPORT BEACH, CA
B 02/2012 - 07/2012	FINANCIAL NETWORK INVESTMENT CORPORATION	13572	EL SEGUNDO, CA



Registration and Employment History

Registration History, continued

The broker previously was registered with the following firms:

Registration Dates	Firm Name	CRD#	Branch Location
B 02/2012 - 07/2012	MULTI-FINANCIAL SECURITIES CORPORATION	10299	EL SEGUNDO, CA
B 02/2012 - 07/2012	PRIMEVEST FINANCIAL SERVICES, INC.	15340	EL SEGUNDO, CA
B 06/2010 - 09/2011	AMERIPRISE FINANCIAL SERVICES, INC.	6363	MINNEAPOLIS, MN
B 11/2000 - 04/2002	MORGAN STANLEY DW INC.	7556	PURCHASE, NY
B 07/2000 - 11/2000	MORGAN STANLEY DEAN WITTER ONLINE INC.	34925	SAN FRANCISCO, CA
B 09/1996 - 04/2000	FIDELITY BROKERAGE SERVICES, INC.	7784	SMITHFIELD, RI

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
10/2022 - Present	Midland National Life Insurance Company	Senior Compliance Consultant	Y	West Des Moines, IA, United States
10/2022 - Present	Sammons Financial Network	Advertising Review Principal	Y	West Des Moines, IA, United States
02/2022 - 10/2022	BERTHEL, FISHER & COMPANY FINANCIAL SERVICES, INC.	COMPLIANCE PRINCIPAL	Y	LOGAN, UT, United States
02/2022 - 10/2022	BFC PLANNING, INC.	COMPLIANCE PRINCIPAL	Y	LOGAN, UT, United States
02/2022 - 10/2022	SECURITIES MANAGEMENT & RESEARCH, INC.	COMPLIANCE PRINCIPAL	Y	LOGAN, UT, United States
08/2021 - 01/2022	LPL FINANCIAL LLC	Registered Representative / Home Office Employee	Y	Logan, UT, United States



Registration and Employment History

Employment History, continued

Employment	Employer Name	Position	Investment Related	Employer Location
02/2021 - 06/2021	LPL FINANCIAL LLC	REGISTERED REPRESENTATIVE/BANK OFFICE	Y	DENVER, CO, United States
05/2020 - 01/2021	UNEMPLOYED	UNEMPLOYED	N	DENVER, CO, United States
12/2016 - 04/2020	CETERA ADVISORS LLC	SUPERVISION SPECIALIST	Y	DENVER, CO, United States
12/2016 - 11/2017	CETERA ADVISOR NETWORKS LLC	ADVERTISING COMPLIANCE ANALYST	Y	EL SEGUNDO, CA, United States
12/2016 - 11/2017	CETERA FINANCIAL SPECIALISTS LLC	ADVERTISING COMPLIANCE ANALYST	Y	SCHAUMBURG, IL, United States
12/2016 - 11/2017	CETERA INVESTMENT SERVICES LLC	ADVERTISING COMPLIANCE ANALYST	Y	SAINT CLOUD, MN, United States
12/2016 - 11/2017	FIRST ALLIED SECURITIES, INC.	ADVERTISING COMPLIANCE ANALYST	Y	SAN DIEGO, CA, United States
12/2016 - 11/2017	GIRARD SECURITIES, INC.	ADVERTISING COMPLIANCE ANALYST	Y	SAN DIEGO, CA, United States
12/2016 - 11/2017	SUMMIT BROKERAGE SERVICES, INC.	ADVERTISING COMPLIANCE ANALYST	Y	BOCA RATON, FL, United States
01/2015 - 11/2016	UNEMPLOYED	UNEMPLOYED	N	LOGAN, UT, 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.

No information reported.

End of Report



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