



IAPD Report

BRIAN PHILIP BECKER

CRD# 2737680

<u>Section Title</u>	<u>Page(s)</u>
Report Summary	1
Qualifications	2 - 4
Registration and Employment History	5

i Please be aware that fraudsters may link to Investment Adviser Public Disclosure from phishing and similar scam websites, trying to steal your personal information or your money. Make sure you know who you're dealing with when investing, and contact FINRA with any concerns.
For more information read our [investor alert](#) on imposters.



IAPD Information About Representatives

IAPD offers information on all current-and many former representatives. Investors are strongly encouraged to use IAPD to check the background of representatives before deciding to conduct, or continue to conduct, business with them.

What is included in a IAPD report?

IAPD reports for individual representatives include information such as employment history, professional qualifications, disciplinary actions, criminal convictions, civil judgments and arbitration awards.

It is important to note that the information contained in an IAPD 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 representative, or concluded through a negotiated settlement with no admission or finding of wrongdoing.

Where did this information come from?

The information contained in IAPD comes from the Investment Adviser Registration Depository (IARD) and FINRA's Central Registration Depository, or CRD, (see more on CRD below) and is a combination of:

- information the states require representatives and firms to submit as part of the registration and licensing process, and
- information that state regulators report regarding disciplinary actions or allegations against representatives.

How current is this information?

Generally, representatives are required to update their professional and disciplinary information in IARD within 30 days.

Need help interpreting this report?

For help understanding how to read this report, please consult NASAA's IAPD Tips page <http://www.nasaa.org/IAPD/IARReports.cfm>

What if I want to check the background of an Individual Broker or Brokerage Firm?

To check the background of an Individual Broker or Brokerage firm, you can search for the firm or individual in IAPD. If your search is successful, click on the link provided to view the available licensing and registration information in FINRA's BrokerCheck website.

Are there other resources I can use to check the background of investment professionals?

It is recommended that you learn as much as possible about an individual representative or Investment Adviser firm before deciding to work with them. Your state securities regulator can help you research individuals and certain firms doing business in your state. The contact information for state securities regulators can be found on the website of the North American Securities Administrators Association <http://www.nasaa.org>



Report Summary

BRIAN PHILIP BECKER (CRD# 2737680)

The report summary provides an overview of the representative's professional background and conduct. The information contained in this report has been provided by the representative, investment adviser and/or securities firms, and/or securities regulators as part of the states' investment adviser registration and licensing process. The information contained in this report was last updated by the representative, a previous employing firm, or a securities regulator on **08/10/2022**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	PROSPERA FINANCIAL SERVICES, INC.	CRD# 10740	04/30/2018
IA	PROSPERA FINANCIAL SERVICES, INC.	CRD# 10740	12/16/2019

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **23** jurisdiction(s).

Is this representative currently Inactive or Suspended with any regulator? **No**

Note: Not all jurisdictions require IAR registration or may have an exemption from registration.

Additional information including this individual's qualification examinations and professional designations is available in the Detailed Report.

REGISTRATION HISTORY

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

	FIRM	CRD#	LOCATION	REGISTRATION DATES
B	M HOLDINGS SECURITIES, INC.	43285	MANDAVILLE, LA	10/28/2009 - 05/01/2018
B	BECKER & SUFFERN, LTD.	39905	MANDEVILLE, LA	06/14/1996 - 11/20/2009

For additional registration and employment history details as reported by the individual, refer to the Registration and Employment History section of the Detailed Report.

DISCLOSURE INFORMATION

Disclosure events include certain criminal charges and convictions, formal investigations and disciplinary actions initiated by regulators, customer disputes and arbitrations, and financial disclosures such as bankruptcies and unpaid judgments or liens.

Are there events disclosed about this representative?

No



Qualifications

REGISTRATIONS

This section provides the SRO, states and U.S. territories in which the representative is currently registered and licensed, the category of each registration, and the date on which the registration becomes effective. This section also provides, for each firm with which the representative is currently employed, the address of each location where the representative works. This individual is currently registered with **23** jurisdiction(s) and 1 SRO(s) through his or her employer(s).

Employment 1 of 1

Firm Name: **PROSPERA FINANCIAL SERVICES, INC.**
Main Address: 5429 LBJ FREEWAY
SUITE 750
DALLAS, TX 75240
Firm ID#: 10740

Regulator	Registration	Status	Date
B FINRA	General Securities Representative	Approved	04/30/2018
B FINRA	Operations Professional	Approved	04/30/2018
B Alabama	Agent	Approved	05/01/2018
B Arkansas	Agent	Approved	04/30/2018
B California	Agent	Approved	04/30/2018
B Colorado	Agent	Approved	04/30/2018
B Connecticut	Agent	Approved	08/10/2022
B Florida	Agent	Approved	04/30/2018
B Georgia	Agent	Approved	04/30/2018
B Illinois	Agent	Approved	04/30/2018
B Iowa	Agent	Approved	07/19/2021
B Kentucky	Agent	Approved	04/30/2018
B Louisiana	Agent	Approved	04/30/2018



Qualifications

Regulator	Registration	Status	Date
IA Louisiana	Investment Adviser Representative	Approved	12/16/2019
B Mississippi	Agent	Approved	04/30/2018
B Nebraska	Agent	Approved	07/24/2020
B New York	Agent	Approved	10/23/2018
B North Carolina	Agent	Approved	02/24/2021
B Ohio	Agent	Approved	02/24/2021
B Oklahoma	Agent	Approved	10/25/2018
B Tennessee	Agent	Approved	04/30/2018
B Texas	Agent	Approved	04/30/2018
IA Texas	Investment Adviser Representative	Approved	12/16/2019
B Virginia	Agent	Approved	04/30/2018
B Washington	Agent	Approved	04/30/2018
B Wisconsin	Agent	Approved	07/24/2020
B Wyoming	Agent	Approved	04/30/2018

Branch Office Locations

PROSPERA FINANCIAL SERVICES, INC.
 1245 West Causeway Approach
 Mandeville, LA 70471



Qualifications

PASSED INDUSTRY EXAMS

This section includes all industry exams that the representative has passed. Under limited circumstances, a representative may attain registration after receiving an exam waiver based on a combination of exams the representative has passed and qualifying work experience. Likewise a new exam requirement may be grandfathered based on a representative's specific qualifying work experience. Exam waivers and grandfathering are not included below.

This individual has passed 0 principal/supervisory exams, 3 general industry/product exams, and 2 state securities law exams.

Principal/Supervisory Exams

Exam	Category	Date
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No information reported.

General Industry/Product Exams

Exam	Category	Date
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Operations Professional Examination (S99TO)	Series 99TO	01/02/2023
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Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
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General Securities Representative Examination (S7)	Series 7	06/13/1996
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State Securities Law Exams

Exam	Category	Date
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Uniform Combined State Law Examination (S66)	Series 66	12/16/2019
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Uniform Securities Agent State Law Examination (S63)	Series 63	10/15/1996
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PROFESSIONAL DESIGNATIONS

This section details that the representative has reported **0** professional designation(s).

No information reported.



Registration & Employment History

PREVIOUSLY REGISTERED WITH THE FOLLOWING FIRMS

This representative held registrations with the following firms:

	Registration Dates	Firm Name	ID#	Branch Location
B	10/28/2009 - 05/01/2018	M HOLDINGS SECURITIES, INC.	CRD# 43285	MANDAVILLE, LA
B	06/14/1996 - 11/20/2009	BECKER & SUFFERN, LTD.	CRD# 39905	MANDEVILLE, LA

EMPLOYMENT HISTORY

Below is the representative's employment history for up to the last 10 years.

Employment Dates	Employer Name	Position	Investment Related	Employer Location
04/2018 - Present	Prospera Financial Services Inc.	Registered Representative	Y	Dallas, TX, United States
10/2009 - 04/2018	M HOLDINGS SECURITIES, INC.	REGISTERED REPRESENTATIVE	Y	PORTLAND, OR, United States
04/1996 - 04/2018	BECKER & SUFFERN, LTD.	OTHER - ASSOCIATE	N	METAIRIE, LA, United States

OTHER BUSINESS ACTIVITIES

This section includes information, if any, as provided by the representative regarding other business activities the representative 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) BSM Consulting (formerly BUSINESS & PROFESSIONAL CONSULTING SVS) 1245 WEST CAUSEWAY, MANDEVILLE, LA 70471 SINCE 4/96 MARKETER
- 2) Mr. Becker is a member of BSM (Becker Suffern McLanahan) located at 1245 West Causeway, Mandeville, LA 70471, phone number (985) 674-9120; This is not investment-related; This is an expense sharing entity where Mr. Becker will spend an hour a week; Business will not be conducted during market hours; Me. Becker will have check writing authority; He will be compensated \$120,000 which will be 21-40% of his annual income.
- 3) Mr. Becker started on 6/1/09 at BPM-TPM Holdings which is an expense sharing entity as a partner; Located at 1245 West Causeway, Mandeville, LA 70471; this is not investment-related; He will spend an hour week but will not conduct during market hours; He also has check writing authority; He will be compensated \$120,000 which will be 1-20% of his annual income.
- 4) Mr. Becker is President/Producer at BSM located at 1245 West Causeway, Mandeville, LA 70471; This is not investment-related but it is insurance-relate; He will be spending 15 hours a week during market hours to conduct business; He will be compensated \$50,000 which will be 21-40% of his annual income.
- 5) Mr. Becker is a member of the advisory board for American College Center for Ethics Advisory Board located at 270 S. Bryn Mawr, PA 19010, Phone number (610) 526-1356; This is not investment-related; He will be spending 12 hrs a year but activity will NOT be conducted during market hours; He will not be compensated.
- 6) Mr. Becker is a member of BDS Properties LLC located at 1245 West Causeway, Mandeville, LA 70471. This is not investment-related but it is insurance-relate; Spending 1-9% of his weekly time none during market hours. Compensation id 10-40% if his annual income.



End of Report

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