



IAPD Report

FLOYD ELLIS MILLER

CRD# 1103971

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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.



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

FLOYD ELLIS MILLER (CRD# 1103971)

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 **01/16/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	OSAIC WEALTH, INC.	CRD# 23131	11/03/2023
IA	OSAIC WEALTH, INC.	CRD# 23131	11/03/2023

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	FSC SECURITIES CORPORATION	7461	ABILENE, TX	02/27/2009 - 11/03/2023
IA	FSC SECURITIES CORPORATION	7461	ABILENE, TX	02/27/2009 - 11/03/2023
B	ADVANTAGE CAPITAL CORPORATION	146	ABILENE, TX	01/03/1989 - 02/27/2009

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? **Yes**

The following types of events are disclosed about this representative:

Type	Count
Customer Dispute	1



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: **OSAIC WEALTH, INC.**
Main Address: 18700 N. HAYDEN ROAD
SUITE 255
SCOTTSDALE, AZ 85255
Firm ID#: 23131

	Regulator	Registration	Status	Date
B	FINRA	General Securities Principal	Approved	11/03/2023
B	FINRA	General Securities Representative	Approved	11/03/2023
B	FINRA	Government Securities Principal	Approved	11/03/2023
B	FINRA	Government Securities Representative	Approved	11/03/2023
B	FINRA	Municipal Fund	Approved	11/03/2023
B	FINRA	Municipal Securities Principal	Approved	11/03/2023
B	FINRA	Municipal Securities Representative	Approved	11/03/2023
B	Arizona	Agent	Approved	11/03/2023
B	California	Agent	Approved	11/03/2023
B	Colorado	Agent	Approved	11/03/2023
IA	Colorado	Investment Adviser Representative	Approved	11/03/2023
B	Florida	Agent	Approved	11/03/2023
B	Idaho	Agent	Approved	11/03/2023



Qualifications

	Regulator	Registration	Status	Date
B	Indiana	Agent	Approved	11/03/2023
B	Iowa	Agent	Approved	11/03/2023
B	Kansas	Agent	Approved	11/03/2023
B	Maine	Agent	Approved	11/03/2023
B	Michigan	Agent	Approved	11/03/2023
B	Nebraska	Agent	Approved	11/03/2023
B	Nevada	Agent	Approved	11/03/2023
B	New Mexico	Agent	Approved	11/03/2023
B	North Carolina	Agent	Approved	11/03/2023
B	North Dakota	Agent	Approved	11/03/2023
B	Ohio	Agent	Approved	11/03/2023
B	Oklahoma	Agent	Approved	11/03/2023
B	Pennsylvania	Agent	Approved	11/03/2023
B	South Carolina	Agent	Approved	11/03/2023
B	Texas	Agent	Approved	11/03/2023
IA	Texas	Investment Adviser Representative	Approved	11/03/2023
B	Virginia	Agent	Approved	11/03/2023
B	Washington	Agent	Approved	11/03/2023
B	Wisconsin	Agent	Approved	01/16/2026



Qualifications

Regulator	Registration	Status	Date
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Branch Office Locations

OSAIC WEALTH, INC.
3300 SOUTH 14TH STREET
SUITE 100
ABILENE, TX 79605



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 3 principal/supervisory exams, 4 general industry/product exams, and 1 state securities law exam.

Principal/Supervisory Exams

Exam	Category	Date
Municipal Securities Principal Examination (S53)	Series 53	07/07/2006
Municipal Fund Securities Principal Examination (S51)	Series 51	01/24/2006
General Securities Principal Examination (S24)	Series 24	10/27/1997

General Industry/Product Exams

Exam	Category	Date
Municipal Securities Representative Examination (S52TO)	Series 52TO	09/25/2025
Government Securities Representative Examination (S72)	Series 72	01/02/2023
Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
General Securities Representative Examination (S7)	Series 7	04/16/1983

State Securities Law Exams

Exam	Category	Date
Uniform Securities Agent State Law Examination (S63)	Series 63	05/20/1983

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	02/27/2009 - 11/03/2023	FSC SECURITIES CORPORATION	CRD# 7461	ABILENE, TX
IA	02/27/2009 - 11/03/2023	FSC SECURITIES CORPORATION	CRD# 7461	ABILENE, TX
B	01/03/1989 - 02/27/2009	ADVANTAGE CAPITAL CORPORATION	CRD# 146	ABILENE, TX
IA	01/03/1989 - 02/27/2009	ADVANTAGE CAPITAL CORPORATION	CRD# 146	ABILENE, TX
B	02/09/1988 - 01/10/1989	FIRST AMERICAN NATIONAL SECURITIES, INC.	CRD# 10111	
B	10/26/1984 - 02/08/1988	ADVANTAGE CAPITAL CORPORATION	CRD# 146	
B	10/26/1984 - 07/15/1985	NORTH AMERICAN MANAGEMENT, INC.	CRD# 624	
B	04/20/1983 - 09/28/1984	EDWARD D. JONES & CO., L.P.	CRD# 250	

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
11/2023 - Present	OSAIC WEALTH, INC.	REGISTERED REP	Y	ABILENE, TX, United States
02/2009 - 11/2023	FSC SECURITIES CORPORATION	FINANCIAL ADVISOR	Y	ABILENE, TX, 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) FLOYD MILLER INVESTMENTS, YES, 3300 SOUTH 14TH SUITE 100 ABILENE, TEXAS 79605, OWNER, 1981, 80, 4, PROSPECT AND SELL INSURANCE PRODUCTS.
- 2) AMERICAN FINANCIAL EDUCATION ALLIANCE
 POSITION: President of the Abilene Chapter NATURE: It is a 501 C 3 non profit corporation INVESTMENT RELATED: Yes
 NUMBER OF HOURS: 20 SECURITIES TRADING HOURS: 10 START DATE: 08/01/2018
 ADDRESS: 3300 South 14th Suite 100, Abilene TX 79605, United States
 DESCRIPTION: Conduct educational workshops through the non-profit. Workshops are held in Public Libraries and Community



Registration & Employment History



OTHER BUSINESS ACTIVITIES

Colleges. No selling at these workshops

3) FLOYD MILLER INVESTMENTS DBA IS FOR MY WEB-SITE ONLY

POSITION: Owner - NATURE: Other - this dba is for web site only INVESTMENT RELATED: Yes NUMBER OF HOURS: 5

SECURITIES TRADING HOURS: 20 START DATE: 01/01/2013

ADDRESS: P O Box 5751, Abilene TX 79608, United States

DESCRIPTION: maintaining the website and updated as needed

4) DEVELOPMENT CORPORATION OF ABILENE

POSITION: Board member NATURE: Its mission to to retain companies that are in Abilene and recruit companies to move to Abilene. INVESTMENT RELATED: No NUMBER OF HOURS: 8 SECURITIES TRADING HOURS: 5 START DATE: 04/01/2020

ADDRESS: 174 Cypress, Abilene TX 79601, United States

DESCRIPTION: I along with 4 other board members are responsible for recommending to the City Council who should be hired as the resident/CEO. Also responsible for vetting companies that maybe a good fit for the Abilene Community.

5) WEST TEXAS TRIBUNE INC

POSITION: Publisher/CEO NATURE: It is a corporation a 501-C3. It is a newspaper . It is what I have done for years but is now a nonprofit. INVESTMENT RELATED: No NUMBER OF HOURS: 30 SECURITIES TRADING HOURS: 5 START DATE: 05/02/2022

ADDRESS: 3300 South 14th Suite 100, Abilene TX 79605, United States

DESCRIPTION: Interviews

6) ABILENE BLACK CHAMBER OF COMMERCE

POSITION: Board Member NATURE: Business promotion in the City of Abilene with an emphasis on African Americans.

INVESTMENT RELATED: No NUMBER OF HOURS: 2 SECURITIES TRADING HOURS: 0 START DATE: 09/15/2022

ADDRESS: 401 Cypress Street Suite 420, Abilene TX 79601, United States

DESCRIPTION: Attend board meeting via zoom. Meet once a quarter for business networking programs.

7) INSURANCE SALES

POSITION: Sales NATURE: Sole Proprietorship INVESTMENT RELATED: Yes NUMBER OF HOURS: 8 SECURITIES TRADING HOURS: 8 START DATE: 08/01/1983

ADDRESS: 3300 South 14th Suite 100, Abilene TX 79605, United States

DESCRIPTION: Provide information for life and medicare products



Disclosure Summary

Disclosure Information

What you should know about reported disclosure events:

(1) Certain thresholds must be met before an event is reported to IARD, for example:

- A law enforcement agency must file formal charges before an Investment Adviser Representative is required to report a particular criminal event.;
- A customer dispute must involve allegations that an Investment Adviser Representative engaged in activity that violates certain rules or conduct governing the industry and that the activity resulted in damages of at least \$5,000.

(2) Disclosure events in IAPD reports come from different sources:

As mentioned in the "About IAPD" section on page 1 of this report, information contained in IAPD comes from Investment Adviser Representatives, 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 IAPD report. The different versions will be separated by a solid line with the reporting source labeled.

(3) There are different statuses and dispositions for disclosure events:

- A disclosure event may have a status of *pending*, *on appeal*, or *final*.
 - A "pending" disclosure event involves allegations that have not been proven or formally adjudicated.
 - A disclosure event that is "on appeal" involves allegations that have been adjudicated but are currently being appealed.
 - A "final" disclosure event has been concluded and its resolution is not subject to change.
- A final disclosure 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 represents a disposition wherein the parties involved in a dispute reach an agreement to resolve the matter. Please note that Investment Adviser Representatives and firms may choose to settle customer disputes or regulatory matters for business or other reasons.
 - A "resolved" matter usually includes a disposition wherein no payment is made to the customer or there is no finding of wrongdoing on the part of the Investment Adviser Representative. Such matters generally involve customer disputes.

(4) You may wish to contact the Investment Adviser Representatives to obtain further information regarding any of the disclosure events contained in this IAPD report.



DISCLOSURE EVENT DETAILS

When evaluating this information, please keep in mind that some items may involve pending actions or allegations that may be contested and have not been resolved or proven. The event may, in the end, be withdrawn, dismissed, resolved in favor of the Investment Adviser Representative, or concluded through a negotiated settlement with no admission or finding of wrongdoing.

This report provides the information exactly as it was reported to the Investment Adviser Registration Depository. Some of the specific data fields contained in the report may be blank if the information was not provided.

The following types of events are disclosed about this representative:

Type	Count
Customer Dispute	1

Customer Dispute

This section provides information regarding a customer dispute that was reported to the Investment Adviser Registration Depository (IARD) by the Investment Adviser Representative (IAR), an investment adviser and/or securities firm, and/or a securities regulator. The event may include a consumer-initiated, investment-related complaint, arbitration proceeding or civil suit that contains allegations of sales practice violations against the individual.

The customer dispute may be pending or may have resulted in a civil judgment, arbitration award, monetary settlement, closure without action, withdrawal, dismissal, denial, or other outcome.

Disclosure 1 of 1

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	ADVANTAGE CAPITAL CORPORATION
Allegations:	CLIENT ALLEGES MISLEADING PERFORMANCE INFORMATION, POOR ACCOUNT PERFORMANCE AND FAILURE TO DISCLOSE SALES/SURRENDER CHARGES ASSOCIATED WITH MUTUAL FUNDS.
Product Type:	Mutual Fund(s)
Alleged Damages:	\$14,690.62

Customer Complaint Information

Date Complaint Received:	12/03/2000
Complaint Pending?	No
Status:	Denied
Status Date:	01/26/2001

Settlement Amount:

Individual Contribution Amount:



End of Report

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