IAPD Report

BRADLEY EUGENE NEAL

CRD# 1416896

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

BRADLEY EUGENE NEAL (CRD# 1416896)

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 **04/22/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	LPL FINANCIAL LLC	CRD# 6413	02/13/1997
IA	LPL FINANCIAL LLC	CRD# 6413	04/12/1998

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **34** 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	POLITE & CO., INC.	18182	EDWARDSVILLE, IL	03/23/1987 - 08/07/1997
B	C. R. DAVIS & COMPANY	1593	EDWARDSVILLE, IL	10/14/1985 - 12/19/1986

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
Regulatory Event	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 **34** jurisdiction(s) and 1 SRO(s) through his or her employer(s).

Employment 1 of 1

Firm Name: **LPL FINANCIAL LLC**

Main Address: 1055 LPL WAY
FORT MILL, SC 29715

Firm ID#: 6413

	Regulator	Registration	Status	Date
B	FINRA	Invest. Co and Variable Contracts	Approved	02/13/1997
B	FINRA	General Securities Representative	Approved	02/27/1997
B	FINRA	General Securities Principal	Approved	05/09/1997
B	Alabama	Agent	Approved	02/04/2021
B	Arizona	Agent	Approved	02/28/2002
B	California	Agent	Approved	03/10/1997
B	Colorado	Agent	Approved	03/25/1997
B	Florida	Agent	Approved	07/17/1997
B	Georgia	Agent	Approved	02/19/1997
B	Idaho	Agent	Approved	07/11/2002
B	Illinois	Agent	Approved	02/19/1997
IA	Illinois	Investment Adviser Representative	Approved	04/12/1998
B	Indiana	Agent	Approved	02/27/1997

Qualifications

	Regulator	Registration	Status	Date
B	Iowa	Agent	Approved	09/15/2006
B	Kansas	Agent	Approved	02/01/2002
B	Kentucky	Agent	Approved	02/14/1997
B	Louisiana	Agent	Approved	01/07/2020
B	Maryland	Agent	Approved	01/19/2000
B	Michigan	Agent	Approved	02/25/2003
B	Minnesota	Agent	Approved	02/19/1997
B	Mississippi	Agent	Approved	04/26/2016
B	Missouri	Agent	Approved	02/14/1997
B	Montana	Agent	Approved	02/26/2019
B	Nebraska	Agent	Approved	09/22/2006
B	Nevada	Agent	Approved	07/05/2023
B	New Hampshire	Agent	Approved	02/24/1997
B	New Mexico	Agent	Approved	02/20/1997
B	New York	Agent	Approved	12/03/2010
B	North Carolina	Agent	Approved	01/20/2000
B	Ohio	Agent	Approved	02/26/2003
B	Oregon	Agent	Approved	02/23/1999
B	South Carolina	Agent	Approved	06/16/2022

Qualifications

	Regulator	Registration	Status	Date
B	South Dakota	Agent	Approved	04/23/2026
B	Tennessee	Agent	Approved	02/19/1997
B	Texas	Agent	Approved	02/20/1997
IA	Texas	Investment Adviser Representative	Restricted Approval	12/16/2010
B	Virginia	Agent	Approved	02/18/2014
B	Washington	Agent	Approved	02/27/1997
B	Wisconsin	Agent	Approved	11/13/2002

Branch Office Locations

LPL FINANCIAL LLC
303 SOUTH KICKAPOO
LINCOLN, IL 62656

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 1 principal/supervisory exam, 4 general industry/product exams, and 2 state securities law exams.

Principal/Supervisory Exams

	Exam	Category	Date
B	General Securities Principal Examination (S24)	Series 24	05/08/1997

General Industry/Product Exams

	Exam	Category	Date
B	Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
B	General Securities Representative Examination (S7)	Series 7	02/26/1997
B	National Commodity Futures Examination (S3)	Series 3	02/07/1989
B	Investment Company Products/Variable Contracts Representative Examination (S6)	Series 6	10/12/1985

State Securities Law Exams

	Exam	Category	Date
IA	Uniform Investment Adviser Law Examination (S65)	Series 65	03/27/1998
B	Uniform Securities Agent State Law Examination (S63)	Series 63	01/16/1992

PROFESSIONAL DESIGNATIONS

This section details that the representative has reported **1** professional designation(s).

Certified Financial Planner

This representative holds or did hold **1** professional designation(s) that may have been used to qualify as an Investment Advisor representative. Please check with the appropriate designation authority for verification that the designation is still in effect. The contact information for these professional designation authorities can be found on the website for the North American Securities

Administrators Association at http://www.nasaa.org

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	03/23/1987 - 08/07/1997	POLITE & CO., INC.	CRD# 18182	EDWARDSVILLE, IL
B	10/14/1985 - 12/19/1986	C. R. DAVIS & COMPANY	CRD# 1593	

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
02/1997 - Present	LPL FINANCIAL LLC	REGISTERED REPRESENTATIVE	Y	LINCOLN, IL, United States
08/1984 - Present	BRADLEY NEAL & ASSOC.	OTHER - LIFE INSURANCE AGENT	N	LINCOLN, IL, United States
08/1984 - Present	SELF EMPLOYED	OTHER - LIFE/HEALTH INSURANCE BROKER	N	NEW HOLLAND, IL, 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. 2/9/2015 - Red Oak Financial, Inc. - DBA: Red Oak Financial - Investment Related - At Reported Business Location(s) - DBA for LPL Business (entity for LPL business) - Started 01/01/2014 - 172 Hours Per Month/129 During Securities Trading.

2. 6/17/2019 - Red Oak Financial - Investment Related - At Reported Business Location(s) - Non-Variable Insurance - Agent - Started 06/01/1984 - 15 Hours Per Month/5 Hours During Securities Trading.

3. 12/29/2020 - No Business Name - Not Investment Related - At Reported Business Location(s) - Other-Notary Public - Started 07/17/2020 - 1 Hour Per Month During Securities Trading.

4. 11/07/2024 - Non-Variable Insurance - Agent - Investment Related - At Reported Business Location(s) - Start Date 10/01/2024 - 4 Hours Per Month/ 2 Hours During Trading

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
Regulatory Event	1

Regulatory Event

This disclosure event may include a final, formal proceeding initiated by a regulatory authority (e.g., a state securities agency, a federal regulator such as the Securities and Exchange Commission or the Commodities Futures Trading Commission, or a foreign financial regulatory body) for a violation of investment-related rules or regulations. This disclosure event may also include a revocation or suspension of an Investment Adviser Representative's authority to act as an attorney, accountant or federal contractor.

Disclosure 1 of 1

Reporting Source:	Regulator
Regulatory Action Initiated By:	INDIANA
Sanction(s) Sought:	
Other Sanction(s) Sought:	
Date Initiated:	07/31/1996
Docket/Case Number:	96-0192 CD
Employing firm when activity occurred which led to the regulatory action:	POLITE & CO., INC.
Product Type:	
Other Product Type(s):	
Allegations:	THE STATE OF INDIANA, SECURITIES DIVISION, HAS FILED AN ADMINISTRATIVE COMPLAINT AND ISSUED A CEASE AND DESIST ORDER AGAINST POLITE & COMPANY, INC., PHILLIP POLITE, AND BRADLEY NEAL FOR VIOLATIONS OF THE INDIANA SECURITIES ACT. POLITE & COMPANY, INC. ALONG WITH BRADLEY NEAL ARE BOTH CHARGED WITH FAILING TO REGISTER IN INDIANA WHEN BRADLEY NEAL SOLD SECURITIES TO INDIANA RESIDENTS. BRADLEY NEAL IS CHARGED WITH OMISSION OF A MATERIAL FACT, SINCE HE IS NOT, AND WAS NOT REGISTERED IN INDIANA. POLITE & COMPANY, INC. IS CHARGED WITH FAILURE TO SUPERVISE ITS AGENT BRADLEY NEAL. EACH VIOLATION CARRIES A MAXIMUM PENALTY OF UP TO $5,000.00. ON SEPTEMBER 30, 1996, THE INDIANA SECURITIES COMMISSIONER APPROVED THE CONSENT

	AGREEMENT BETWEEN POLITE & COMPANY, PHILLIP POLITE AND BRADLEY E. NEAL AND THE DIVISION. THE DIVISION ALLEGED THAT POLITE & COMPANY AND BRADLEY NEAL MADE SALES PRIOR TO REGISTRATION. THE DIVISION ALLEGED THAT POLITE & COMPANY FAILED TO SUPERVISE ITS AGENT, BRADLEY NEAL. POLITE & COMPANY AGREED TO PAY A CIVIL PENALTY OF $4,000 OF WHICH $700 REPRESENTS BACK REGISTRATION FEES, WITHOUT ADMITTING OR DENYING A VIOLATION OF THE INDIANA SECURITIES ACT.
Current Status:	Final
Resolution:	Consent
Resolution Date:	09/30/1996
Sanctions Ordered:	Cease and Desist/Injunction
Other Sanctions Ordered:	
Sanction Details:	Not Provided
Regulator Statement	CONTACT: JEFF GERSHON, (317)232-6681

Reporting Source:	Firm
Regulatory Action Initiated By:	STATE OF INDIANA SEC. OF STATE SEC. DIVISION
Sanction(s) Sought:	
Other Sanction(s) Sought:	
Date Initiated:	07/31/1996
Docket/Case Number:	96-0192 CD
Employing firm when activity occurred which led to the regulatory action:	POLITE & CO., INC.
Product Type:	
Other Product Type(s):	
Allegations:	HAD CLIENT IN STATE BUT NOT REGISTERED
Current Status:	Final
Resolution:	Consent
Resolution Date:	09/30/1996
Sanctions Ordered:	Cease and Desist/Injunction
Other Sanctions Ordered:	
Sanction Details:	$4000 FINE
Firm Statement	Not Provided

Reporting Source:	Individual

Regulatory Action Initiated By:	INDIANA SECURITIES DIVISION
Sanction(s) Sought:	Cease and Desist
Other Sanction(s) Sought:	
Date Initiated:	07/31/1996
Docket/Case Number:	96-0192 CD
Employing firm when activity occurred which led to the regulatory action:	POLITE & CO., INC.
Product Type:	Mutual Fund(s)
Other Product Type(s):	
Allegations:	BROKER-DEALER POLITE AND CO. WAS NOT REGISTERED IN THE STATE OF INDIANA WHEN SERVICING TWO INDIANA RESIDENTS. I WAS AN AGENT OF POLITE AND CO. SERVING THESE RESIDENTS.
Current Status:	Final
Resolution:	Consent
Resolution Date:	09/30/1996
Sanctions Ordered:	Cease and Desist/Injunction Monetary/Fine $4,000.00
Other Sanctions Ordered:	
Sanction Details:	AMICABLE SETTLEMENT IN WHICH POLITE AND CO. PAID A CIVIL FINE OF $4000 AND REGISTERED AS BROKER-DEALER IN INDIANA WITH ME AS AN AGENT, WITHOUT ADMITTING OR DENYING ANY VIOLATION OCCURRED.
Broker Statement	POLITE AND CO. HAD BEEN WRONGLY ADVISED THAT THEY DID NOT NEED TO REGISTER IN NEIGHBORING STATES UNDER THE PRINCIPLE OF OCCASIONAL BUSINESS RULES. POLITE AND CO. DID NOT REGISTER AS BROKER-DEALER IN INDIANA UNTIL THIS PRODEEDING. AS OF SEPT, 1996 POLITE AND CO. IS REGISTERD IN INDIANA AND I WAS SUBSEQUENTLY REGISTERED THERE AS AN AGENT TO DO BUSINESS WITH NO RESTRICTION IN SEPT, 1996.

End of Report

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