IAPD Report

JOHN JOSEPH MILLER

CRD# 1525366

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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

JOHN JOSEPH MILLER (CRD# 1525366)

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 **12/17/2025**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	UBS FINANCIAL SERVICES INC.	CRD# 8174	08/12/2006
IA	UBS FINANCIAL SERVICES INC.	CRD# 8174	09/12/2006

QUALIFICATIONS

This representative is currently registered in **10** SRO(s) and **21** 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	PIPER JAFFRAY & CO.	665	MINNEAPOLIS, MN	05/11/1999 - 08/12/2006
B	DOUGHERTY SUMMIT SECURITIES LLC	7477	MINNEAPOLIS, MN	09/30/1997 - 05/13/1999
B	DOUGHERTY DAWKINS LLC	7442	MINNEAPOLIS, MN	04/07/1989 - 09/30/1997

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	3

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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 **21** jurisdiction(s) and 1**0** SRO(s) through his or her employer(s).

Employment 1 of 1

Firm Name: **UBS FINANCIAL SERVICES INC.**

Main Address: 1200 HARBOR BOULEVARD
WEEHAWKEN, NJ 07086

Firm ID#: 8174

	Regulator	Registration	Status	Date
B	BOX Exchange LLC	General Securities Representative	Approved	05/16/2012
B	Cboe Exchange, Inc.	General Securities Representative	Approved	08/12/2006
B	FINRA	Corporate Securities Represent	Approved	08/12/2006
B	FINRA	Direct Participation Programs	Approved	08/12/2006
B	FINRA	General Securities Representative	Approved	08/12/2006
B	FINRA	Invest. Co and Variable Contracts	Approved	08/12/2006
B	FINRA	Municipal Securities Representative	Approved	08/12/2006
B	NYSE American LLC	General Securities Representative	Approved	08/12/2006
B	NYSE American LLC	Municipal Securities Representative	Approved	03/19/2008
B	NYSE Arca, Inc.	General Securities Representative	Approved	08/12/2006
B	NYSE Texas, Inc.	General Securities Representative	Approved	07/20/2022
B	Nasdaq ISE, LLC	General Securities Representative	Approved	01/28/2008
B	Nasdaq PHLX LLC	General Securities Representative	Approved	08/12/2006

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Qualifications

	Regulator	Registration	Status	Date
B	Nasdaq Stock Market	Corporate Securities Represent	Approved	08/12/2006
B	Nasdaq Stock Market	General Securities Representative	Approved	08/12/2006
B	New York Stock Exchange	General Securities Representative	Approved	08/12/2006
B	New York Stock Exchange	Municipal Securities Representative	Approved	08/12/2006
B	New York Stock Exchange	Corporate Securities Represent	Approved	06/26/2010
B	Arizona	Agent	Approved	08/12/2006
B	Arkansas	Agent	Approved	08/12/2006
B	California	Agent	Approved	08/12/2006
B	Colorado	Agent	Approved	06/23/2017
B	District of Columbia	Agent	Approved	08/12/2006
B	Florida	Agent	Approved	08/14/2006
B	Georgia	Agent	Approved	10/24/2016
B	Illinois	Agent	Approved	08/12/2006
IA	Iowa	Investment Adviser Representative	Approved	05/30/2023
B	Louisiana	Agent	Approved	04/09/2021
B	Maine	Agent	Approved	04/09/2025
B	Maryland	Agent	Approved	02/03/2017
B	Minnesota	Agent	Approved	08/12/2006
IA	Minnesota	Investment Adviser Representative	Approved	12/09/2013

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Qualifications

	Regulator	Registration	Status	Date
B	Nevada	Agent	Approved	08/12/2006
B	New Hampshire	Agent	Approved	02/11/2019
B	New York	Agent	Approved	08/12/2006
B	North Carolina	Agent	Approved	08/01/2018
B	Rhode Island	Agent	Approved	12/02/2013
B	South Dakota	Agent	Approved	01/07/2021
IA	Texas	Investment Adviser Representative	Restricted Approval	09/12/2006
B	Washington	Agent	Approved	09/26/2023

Branch Office Locations

UBS FINANCIAL SERVICES INC.
80 SOUTH 8TH STREET
SUITE 2900
MINNEAPOLIS, MN 55402

UBS FINANCIAL SERVICES INC.
Eagan, MN

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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, 6 general industry/product exams, and 2 state securities law exams.

Principal/Supervisory Exams

Exam	Category	Date
No information reported.		

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	05/18/1999
B Corporate Securities Limited Representative Examination (S62)	Series 62	04/20/1990
B Municipal Securities Representative Examination (S52)	Series 52	08/05/1987
B Direct Participation Programs Representative Examination (S22)	Series 22	09/16/1986
B Investment Company Products/Variable Contracts Representative Examination (S6)	Series 6	06/25/1986

State Securities Law Exams

Exam	Category	Date
IA Uniform Investment Adviser Law Examination (S65)	Series 65	11/05/1997
B Uniform Securities Agent State Law Examination (S63)	Series 63	06/25/1986

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PROFESSIONAL DESIGNATIONS

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

No information reported.

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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	05/11/1999 - 08/12/2006	PIPER JAFFRAY & CO.	CRD# 665	MINNEAPOLIS, MN
B	09/30/1997 - 05/13/1999	DOUGHERTY SUMMIT SECURITIES LLC	CRD# 7477	MINNEAPOLIS, MN
B	04/07/1989 - 09/30/1997	DOUGHERTY DAWKINS LLC	CRD# 7442	MINNEAPOLIS, MN
B	06/01/1987 - 04/19/1989	MARCOTTE HUME & ASSOCIATES INCORPORATED	CRD# 16881	
B	06/26/1986 - 06/11/1987	WADDELL & REED, INC.	CRD# 866	

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
04/1999 - Present	UBS FINANCIAL SERVICES INC.	FINANCIAL ADVISOR	Y	MINNEAPOLIS, MN, 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.

Cast and Hook Fishing, Inc. / 1323 146th Ave.New RichmondWI54017 / The goal of Cast & Hook Fishing is to provide a better quality of life for 1st Responders and Veterans in our community that are struggling with PTSD. We do so by providing them with healthy options to cope with mental health and job-related stressors. The objective of this project is to decrease the negative effects of PTSD within our participants by providing them with healthy options to decompress and manage stress rather than turning to unhealthy strategies and addictive substances which are detrimental to their health and wellness. We will accomplish this by providing our participants with free beach, wilderness, adventure and recreational therapy. According to FHE Health, research suggests outdoor treatment can have a positive impact on depression, chronic pain and PTSD through physical activity and by leveraging the benefits of nature. / assist the organization in governance and policy / 5/22/2022

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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.

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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	3

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 3

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: UBS FINANCIAL SERVICES INC.

Allegations: CLIENT ALLEGES THEY WERE TOLD THAT AUCTION RATE SECURITIES HAD ALL THE SECURITY AND LIQUIDITY OF CD'S. CLIENT FURTHER STATES THEY WERE ASSURED THAT THESE STRUCTURED INSTRUMENTS WERE TOTALLY SAFE AND THAT THEY COULD SELL THEM ANYTIME THEY CHOSE. DAMAGES ESTIMATED TO BE IN EXCESS OF $5,000.

Product Type: Other

Other Product Type(s): AUCTION RATE SECURITIES

Alleged Damages: $5,000.00

Customer Complaint Information

Date Complaint Received: 03/10/2008

Complaint Pending? No

Status: Closed/No Action

Status Date: 12/19/2008

Settlement Amount: $0.00

Individual Contribution Amount: $0.00

Broker Statement AS OF NOVEMBER 2008 ALL CLIENT MONEY WAS SUBSEQUENTLY RETURNED. THE CLIENT EARNED INTEREST AND SUFFERED NO

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FINANCIAL LOSS. MATTER WAS RESOLVED THROUGH THE FIRM'S OFFER VIA PROSPECTUS TO REPURCHASE THE ARS POSITION AT PAR.
THE COMPLAINT AROSE BECAUSE OF UNPRECEDENTED MARKET EVENTS THAT CAUSED THE BREAKDOWN OF LIQUIDITY IN THE MARKET FOR AUCTION RATE SECURITIES.
THE FINANCIAL ADVISOR ALSO DENIES THE ALLEGATIONS AS BASELESS AND WITHOUT MERIT.

Disclosure 2 of 3

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: PIPER JAFFRAY & CO.

Allegations: CLIENT ALLEGES THAT SHARES OF SEARS AND KMART WERE SOLD IN HIS AND HIS WIFE'S TRUST ACCOUNTS WITHOUT THEIR PERMISSION. CLIENTS WOULD LIKE THEIR ACCOUNTS RESTORED. SHARES WERE ACTUALLY TENDERED UPON THE KMART MERGER WITH SEARS. TENDER WAS NOT INSTRUCTED BY CLIENT. NO SPECIFIC DAMAGES ALLEGED.

Product Type: Equity Listed (Common & Preferred Stock)

Alleged Damages:

Customer Complaint Information

Date Complaint Received: 04/27/2005

Complaint Pending? No

Status: Denied

Status Date: 11/07/2005

Settlement Amount:

Individual Contribution Amount:

Broker Statement CLIENT HAD CALLED ME ON TUESDAY, APRIL 5 WONDERING WHY HIS SEARS WAS SOLD. I LET HIM KNOW THAT HIS SEARS WAS SOLD ON THE TENDER OFFER FROM K-MART. CLIENT CALLED BACK YESTERDAY WEDNESDAY, APRIL 6, WONDERING WHY HIS SEARS WAS REDEEMED WITHOUT HIS PERMISSION AND ASKED ME TO REVERSE THE TRANSACTION. HE SAID THAT HE HAD DONE SOME CHECKING ON THE INTERNET AND WOULD HAVE BEEN ABLE TO GET STOCK IN THE NEW COMPANY. HE SAID THERE MUST BE SOME WAY FOR US TO REVERSE THE TENDER SO THAT HE HAS SHARES AND DOES NOT NEED TO PAY TAXES. I LET THE CLIENT KNOW THAT I WOULD CHECK AND SEE IF ANYTHING COULD BE DONE. HE SAID TO GET TO WORK ON IT AND GET IT FIXED SO THAT WE DON'T HAVE TO GET THE ATTORNEYS INVOLVED. WE HAD DISCUSSED THE TENDER OFFER FOR HIS STOCK IN EARLY MARCH (MY DAILY LOG SHOWS CONTACTS ON 3/7, 3/9 AND 3/11 THOUGH I AM SURE ON WHICH CALL WE DISCUSSED THE TENDER). THE SEARS STOCK WAS TRADING FOR $52/SHARE AND THE TENDER OFFER WAS FOR $50 CASH OR .5 SHARES OF THE NEW STOCK. CLIENT TOLD ME HE WOULD RATHER KEEP HIS SEARS STOCK THAN ACCEPT THE TENDER OFFER. HE DID NOT TELL ME TO TENDER HIS SHARES FOR STOCK. CLIENT IS NOW CLAIMING THAT HE DID NOT RECEIVE NOTIFICATION OF THE TENDER FROM PIPER JAFFRAY. CORPORATE ACTIONS DEPT DID CONFIRM THAT THE TENDER OFFER WAS MAILED BY ADP TO CLIENT AT HIS CALIFORNIA ADDRESS. THE

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REPORT FROM ADP SHOWS A DATE OF 3/4(FRIDAY). CORPORATE ACTIONS DEPT SAID THAT THE MAILING WOULD HAVE GONE OUT 2-3 DAYS LATER. CLIENT IS CLAIMING HE DID NOT KNOW HIS OPTIONS. I DID ASK CLIENT HOW HE KNEW OF THE TENDER OFFER IF HE DID NOT RECEIVE THE TENDER INFORMATION IN THE MAIL. HE SAID THAT HE HAD BEEN READING ABOUT IT IN THE PAPER AND ON THE INTERNET.

Disclosure 3 of 3

Reporting Source: Regulator

Employing firm when activities occurred which led to the complaint: DOUGHERTY, DAWKINS, STRAND & BIGELOW, INCORPORATED

Allegations: MISREPRESENTATION; BRCH OF FIDUCIARY DT; OMISSION OF FACTS; SUITABILITY

Product Type:

Alleged Damages:

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: NASD - CASE #97-03158

Date Notice/Process Served: 08/22/1997

Arbitration Pending? No

Disposition: Settled

Disposition Date: 01/28/1998

Disposition Detail: PENDING
Not Provide

Reporting Source: Firm

Employing firm when activities occurred which led to the complaint: DOUGHERTY, DAWKINS, STRAND & BIGELOW, INCORPORATED

Allegations: BREACH OF FIDUCIARY DUTY, MISREPRESENTATION, OMISSION OF FACTS, UNSUITABILITY.

Product Type:

Alleged Damages:

Customer Complaint Information

Date Complaint Received:

Complaint Pending? No

Status: Arbitration/Reparation

Status Date: 01/28/1998

Settlement Amount:

Individual Contribution Amount:

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Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.:	NASD; 97-03158
Date Notice/Process Served:	08/22/1997
Arbitration Pending?	No
Disposition:	Settled
Disposition Date:	01/28/1998
Monetary Compensation Amount:	$11,000.00
Individual Contribution Amount:	$0.00
Firm Statement	DOUGHERTY SUMMIT SECURITIES LLC DENIED ANY WRONGDOING, BUT SETTLED WITH THE [CUSTOMERS] FOR $11,000 IN ORDER TO AVOID LEGAL FEES. MR. MILLER WAS NOT ASKED TO PAY ANY OF THE SETTLEMENT AMOUNT AND WAS NOT INCLUDED IN THE SETTLEMENT DISCUSSIONS. NOT PROVIDED

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	DOUGHERTY, DAWKINS, STRAND & BIGELOW, INCORPORATED
Allegations:	BREACH OF FIDUCIARY OF DUTY, MISREPRESENTATION, OMISSION OF FACTS, UNSUITABILITY.
Product Type:	
Alleged Damages:	

Customer Complaint Information

Date Complaint Received:	
Complaint Pending?	No
Status:	Arbitration/Reparation
Status Date:	01/28/1998
Settlement Amount:	
Individual Contribution Amount:	

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.:	NASD; 97-03158
Date Notice/Process Served:	08/22/1997
Arbitration Pending?	No
Disposition:	Settled

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Disposition Date:	01/28/1998
Monetary Compensation Amount:	$11,000.00
Individual Contribution Amount:	$0.00
Broker Statement	DOUGHERTY SUMMIT SECURITIES LLC DENIED ANY WRONGDOING, BUT SETTLED WITH THE [CUSTOMER(S)] FOR $11,000 IN ORDER TO AVOID LEGAL FEES. MR. MILLER WAS NOT ASKED TO PAY ANY OF THE SETTLEMENT AMOUNT AND WAS NOT INCLUDED IN THE SETTLEMENT DISCUSSIONS. NOT PROVIDED

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End of Report

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