



IAPD Report

JAMES ROBERT MCMILLER

CRD# 1590381

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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

JAMES ROBERT MCMILLER (CRD# 1590381)

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 **03/01/2024**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
IA	FOURSTAR WEALTH ADVISORS, LLC	CRD# 169613	03/01/2024

QUALIFICATIONS

This representative is currently registered in **0** SRO(s) and **2** 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
IA	ADVISORS ON CALL	315319	Hartland, WI	08/11/2022 - 02/29/2024
IA	CLARAPHI ADVISORY NETWORK, LLC	165868	HARTLAND, WI	01/27/2020 - 12/31/2023
IA	KINGSBURY CAPITAL INVESTMENT ADVISORS LLC	145658	Hartland, WI	11/05/2018 - 02/05/2020

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
Customer Dispute	2



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

Employment 1 of 1

Firm Name: **FOURSTAR WEALTH ADVISORS, LLC**

Main Address: 1 N. LASALLE STREET
SUITE 2225
CHICAGO, IL 60602

Firm ID#: 169613

Regulator	Registration	Status	Date
IA Texas	Investment Adviser Representative	Approved	03/01/2024
IA Wisconsin	Investment Adviser Representative	Approved	03/01/2024

Branch Office Locations

FOURSTAR WEALTH ADVISORS, LLC

386 MANCHESTER LANE
HARTLAND, WI 53023



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, 2 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	12/01/2014
B Investment Company Products/Variable Contracts Representative Examination (S6)	Series 6	12/09/1986

State Securities Law Exams

Exam	Category	Date
IA Uniform Investment Adviser Law Examination (S65)	Series 65	04/30/2015
B Uniform Securities Agent State Law Examination (S63)	Series 63	07/31/1987

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
IA	08/11/2022 - 02/29/2024	ADVISORS ON CALL	CRD# 315319	Hartland, WI
IA	01/27/2020 - 12/31/2023	CLARAPHI ADVISORY NETWORK, LLC	CRD# 165868	HARTLAND, WI
IA	11/05/2018 - 02/05/2020	KINGSBURY CAPITAL INVESTMENT ADVISORS LLC	CRD# 145658	Hartland, WI
IA	05/04/2015 - 11/23/2018	TRAC ASSET MANAGEMENT LLC	CRD# 170662	HARTLAND, WI
B	11/18/2009 - 12/01/2014	NEWBRIDGE SECURITIES CORPORATION	CRD# 104065	BOCA RATON, FL
B	09/19/2006 - 08/12/2009	UNITED PLANNERS' FINANCIAL SERVICES OF AMERICA A LIMITED PARTNER	CRD# 20804	HARTLAND, WI
B	09/30/2004 - 10/12/2006	WOODBURY FINANCIAL SERVICES, INC.	CRD# 421	HARTLAND, WI
B	05/19/1992 - 10/01/2004	SUNAMERICA SECURITIES, INC.	CRD# 20068	PHOENIX, AZ
B	01/06/1992 - 05/19/1992	ANCHOR NATIONAL FINANCIAL SERVICES, INC.	CRD# 5774	
B	06/14/1990 - 01/06/1992	PROTECTIVE EQUITY SERVICES, INC.	CRD# 15708	BIRMINGHAM, AL
B	06/09/1987 - 03/26/1990	AAL DISTRIBUTORS INC.	CRD# 18387	MINNEAPOLIS, MN

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
03/2024 - Present	FOURSTAR WEALTH ADVISORS, LL	INVESTMENT ADVISER REPRESENTATIVE	Y	CHICAGO, IL, United States
08/2022 - 02/2024	ADVISORS ON CALL, LLC	Investment Adviser Representative	Y	Hartland, WI, United States



Registration & Employment History

EMPLOYMENT HISTORY

Employment Dates	Employer Name	Position	Investment Related	Employer Location
01/2020 - 12/2023	CLARAPHI ADVISORY NETWORK, LLC	INVESTMENT ADVISOR REPRESENTATIVE	Y	HARTLAND, WI, United States
11/2018 - 01/2020	Kingsbury Capital Investment Advisors, LLC	INVESTMENT ADVISOR REPRESENTATIVE	Y	Evanston, IL, United States
01/2015 - 10/2018	Trac Asset Management LLC	INVESTMENT ADVISOR REPRESENTATIVE	Y	Oakbrook Terrace, 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) Kennedy Mining (2) no (3) Pensacola FL (4) Crypto Currency mining and development of facilities (5) Partner (6) Consultant (7) xx (8) 20hrs/mth (9) 1hr/mth (10)consultant



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
Customer Dispute	2

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:	WISCONSIN DIVISION OF SECURITIES
Sanction(s) Sought:	Revocation
Other Sanction(s) Sought:	
Date Initiated:	10/23/2008
Docket/Case Number:	NONE
Employing firm when activity occurred which led to the regulatory action:	UNITED PLANNERS FINANCIAL SERVICES OF AMERICA
Product Type:	No Product
Other Product Type(s):	
Allegations:	DELINQUENT FOR WI STATE TAXES
Current Status:	Final
Resolution:	Other
Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct?	No
Resolution Date:	10/23/2008



Sanctions Ordered:	Revocation/Expulsion/Denial
Other Sanctions Ordered:	
Sanction Details:	WISCONSIN DEPT. OF REVENUE CERTIFIED MCMILLER AS DELINQUENT FOR STATE TAXES. STATUTE REQUIRES REVOCATION AFTER 30 DAYS NOTICE. NOTICE ISSUED SEPTEMBER 23, 2008. MCMILLER FAILED TO RESOLVE HIS DELINQUENCY BY THE DUE DATE OF 10/23/08.
Regulator Statement	<p>THIS IS NOT A DISCIPLINARY EVENT FOR VIOLATIONS OF ANY SECURITIES LAW. AGENT MAY REAPPLY AFTER RESOLUTION OF TAX DELIQUENCY. ***</p> <p>WISCONSIN DEPT OF REVENUE ISSUED OCCUPATIONAL LICENSE CLEARANCE CERTIFICATE DATED 10/29/2008 WHICH STATES THE AGENT IS NO LIABLE FOR DELINQUENT TAXES.***</p> <hr/>
Reporting Source:	Individual
Regulatory Action Initiated By:	WISCONSIN DIVISION OF SECURITIES
Sanction(s) Sought:	Revocation
Other Sanction(s) Sought:	
Date Initiated:	10/23/2008
Docket/Case Number:	NONE
Employing firm when activity occurred which led to the regulatory action:	UNITED PLANNERS FINANCIAL SERVICES OF AMERICA
Product Type:	No Product
Other Product Type(s):	
Allegations:	DELINQUENT FOR WI STATE TAXES
Current Status:	Final
Resolution:	Other
Resolution Date:	10/23/2008
Sanctions Ordered:	Revocation/Expulsion/Denial
Other Sanctions Ordered:	
Sanction Details:	WISCONSIN DEPT. OF REVENUE CERTIFIED MCMILLER AS DELINQUENT FOR STATE TAXES. STATUTE REQUIRES REVOCATION AFTER 30 DAYS NOTICE. NOTICE ISSUED SEPTEMBER 23, 2008. MCMILLER FAILED TO RESOLVE HIS DELINQUENCY BY THE DUE DATE OF 10/23/08.
Broker Statement	THIS IS NOT A DISCIPLINARY EVENT FOR VIOLATIONS OF ANY SECURITIES LAW. AGENT MAY REAPPLY AFTER RESOLUTION OF TAX DELIQUENCY.



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 2

Reporting Source:	Firm
Employing firm when activities occurred which led to the complaint:	WOODBURY FINANCIAL SERVICES, INC.
Allegations:	CUSTOMER ALLEGES MISREPRESENTATION OF COSTS ASSOCIATED WITH A VARIABLE LIFE INSURANCE POLICY AND MUTUAL FUND ACCOUNT.
Product Type:	Insurance
Alleged Damages:	\$0.00
Is this an oral complaint?	No
Is this a written complaint?	Yes
Is this an arbitration/CFTC reparation or civil litigation?	No

Customer Complaint Information

Date Complaint Received:	05/13/2008
Complaint Pending?	No
Status:	Evolved into Arbitration/CFTC reparation (the individual is a named party)
Status Date:	10/18/2010
Settlement Amount:	

Individual Contribution Amount:

Arbitration Information

Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.):	FINRA
Docket/Case #:	10-04525
Date Notice/Process Served:	10/18/2010
Arbitration Pending?	No
Disposition:	Settled
Disposition Date:	02/07/2012
Monetary Compensation Amount:	\$40,000.00
Individual Contribution Amount:	\$5,000.00
Firm Statement	THIS FILING IS BEING MADE BECAUSE WOODBURY WAS UNABLE TO



DETERMINE THAT THE ALLEGED DAMAGES WOULD BE \$5,000. COMPLAINT CLOSED/NO ACTION 06/24/09.

Reporting Source: Individual

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

Allegations: CUSTOMER ALLEGES MISREPRESENTATION OF COSTS ASSOCIATED WITH A VARIABLE LIFE INSURANCE POLICY AND MUTUAL FUND ACCOUNT.

Product Type: Insurance

Alleged Damages: \$0.00

Is this an oral complaint? No

Is this a written complaint? Yes

Is this an arbitration/CFTC reparation or civil litigation? No

Customer Complaint Information

Date Complaint Received: 05/13/2008

Complaint Pending? No

Status: Evolved into Arbitration/CFTC reparation (the individual is a named party)

Status Date: 10/18/2010

Settlement Amount:

Individual Contribution Amount:

Arbitration Information

Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.): FINRA

Docket/Case #: 10-04525

Date Notice/Process Served: 10/18/2010

Arbitration Pending? No

Disposition: Settled

Disposition Date: 02/07/2012

Monetary Compensation Amount: \$40,000.00

Individual Contribution Amount: \$5,000.00

Broker Statement

THIS WAS AN ARBITRATION THAT HAS BEEN SETTLED. THE REP ONLY SETTLED FOR \$5,000 TO AVOID THE COST OF PROTRACTED LITIGATION NOT ON ANY MERITS OF THE CASE AND STRONGLY DENIED ALL ALLEGATIONS.

Disclosure 2 of 2



Reporting Source:	Firm
Employing firm when activities occurred which led to the complaint:	WOODBURY FINANCIAL SERVICES
Allegations:	ALLEGED MISREPRESENTATION & UNSUITABILITY OF VARIABLE ANNUITY SALES
Product Type:	Annuity(ies) - Variable
Alleged Damages:	\$11,912.93

Customer Complaint Information

Date Complaint Received:	06/12/2007
Complaint Pending?	No
Status:	Settled
Status Date:	07/29/2008
Settlement Amount:	\$12,406.86
Individual Contribution Amount:	\$12,406.86

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	WOODBURY FINANCIAL SERVICES
Allegations:	ALLEGED MISREPRESENTAION & SUITABILITY OF VARIABLE ANNUITY SALES
Product Type:	Annuity-Variable
Alleged Damages:	\$11,912.93
Is this an oral complaint?	No
Is this a written complaint?	Yes
Is this an arbitration/CFTC reparation or civil litigation?	No

Customer Complaint Information

Date Complaint Received:	07/03/2007
Complaint Pending?	No
Status:	Settled
Status Date:	07/29/2008
Settlement Amount:	\$12,406.86
Individual Contribution Amount:	\$0.00

Broker Statement	I strongly deny all allegations and made no misrepresentations to the complainant. The firm made the sole decision to settle this matter to avoid the costs of litigation without my involvement as I was no longer registered with the firm at the time. I did not participate in or contribute to any settlement amount the firm paid.
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End of Report

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