



IAPD Report

KEITH EDWARD MILLER

CRD# 2081359

<u>Section Title</u>	<u>Page(s)</u>
Report Summary	1
Qualifications	2 - 4
Registration and Employment History	5 - 7
Disclosure Information	8



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

KEITH EDWARD MILLER (CRD# 2081359)

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 **01/02/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	VESTECH SECURITIES, INC.	CRD# 41409	09/13/2017
IA	VESTECH ASSET MANAGEMENT INC.	CRD# 285685	10/03/2017

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **9** 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	FIRST ALLIED ADVISORY SERVICES, INC.	137888	KINGS MOUNTAIN, NC	07/02/2012 - 05/22/2017
B	FIRST ALLIED SECURITIES, INC.	32444	KINGS MOUNTAIN, NC	08/01/2007 - 05/22/2017
IA	FIRST ALLIED SECURITIES, INC.	32444	KINGS MOUNTAIN, NC	08/08/2007 - 07/02/2012

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
Termination	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 9 jurisdiction(s) and 1 SRO(s) through his or her employer(s).

Employment 1 of 2

Firm Name: **VESTECH ASSET MANAGEMENT INC.**
Main Address: 11477 OLDE CABIN ROAD
SUITE 310
SAINT LOUIS, MO 63141
Firm ID#: 285685

	Regulator	Registration	Status	Date
IA	Missouri	Investment Adviser Representative	Approved	05/05/2025
IA	North Carolina	Investment Adviser Representative	Approved	10/03/2017

Branch Office Locations

VESTECH ASSET MANAGEMENT INC.
Kings Mountain, NC

Employment 2 of 2

Firm Name: **VESTECH SECURITIES, INC.**
Main Address: 11477 OLDE CABIN RD.
SUITE 310
ST. LOUIS, MO 63141
Firm ID#: 41409

	Regulator	Registration	Status	Date
B	FINRA	General Securities Principal	Approved	09/13/2017
B	FINRA	General Securities Representative	Approved	09/13/2017
B	FINRA	Invest. Co and Variable Contracts	Approved	09/13/2017
B	Alabama	Agent	Approved	10/31/2017
B	Arkansas	Agent	Approved	10/04/2024



Qualifications

Regulator	Registration	Status	Date
B California	Agent	Approved	09/13/2017
B Colorado	Agent	Approved	01/04/2023
B Kansas	Agent	Approved	01/04/2023
B Minnesota	Agent	Approved	11/13/2017
B Missouri	Agent	Approved	12/20/2022
B North Carolina	Agent	Approved	09/22/2017
B Pennsylvania	Agent	Approved	09/15/2017

Branch Office Locations

VESTECH SECURITIES, INC.
Kings Mountain, NC




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
 General Securities Principal Examination (S24)	Series 24	11/21/2005

General Industry/Product Exams

Exam	Category	Date
 Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
 Municipal Advisor Representative Qualification Exam (S50)	Series 50	01/04/2018
 General Securities Representative Examination (S7)	Series 7	06/30/1998
 Investment Company Products/Variable Contracts Representative Examination (S6)	Series 6	09/19/1990

State Securities Law Exams

Exam	Category	Date
 Uniform Investment Adviser Law Examination (S65)	Series 65	05/03/2025
 Uniform Securities Agent State Law Examination (S63)	Series 63	10/02/1990

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	07/02/2012 - 05/22/2017	FIRST ALLIED ADVISORY SERVICES, INC.	CRD# 137888	KINGS MOUNTAIN, NC
B	08/01/2007 - 05/22/2017	FIRST ALLIED SECURITIES, INC.	CRD# 32444	KINGS MOUNTAIN, NC
IA	08/08/2007 - 07/02/2012	FIRST ALLIED SECURITIES, INC.	CRD# 32444	KINGS MOUNTAIN, NC
IA	03/16/2005 - 08/01/2007	STERNE AGEE INVESTMENT ADVISORS, INC.	CRD# 130888	BIRMINGHAM, AL
B	08/08/2005 - 07/31/2007	STERNE AGEE FINANCIAL SERVICES, INC.	CRD# 18456	KINGS MOUNTAIN, NC
B	09/06/2005 - 10/13/2005	STERNE, AGEE & LEACH, INC.	CRD# 791	BIRMINGHAM, AL
IA	11/05/2004 - 08/08/2005	STERNE AGEE & LEACH, INC. CAPITAL MANAGEMENT	CRD# 791	CHARLOTTE, NC
B	10/25/2004 - 08/08/2005	STERNE, AGEE & LEACH, INC.	CRD# 791	BIRMINGHAM, AL
B	10/22/2001 - 10/27/2004	RYAN BECK & CO.	CRD# 3248	FLORHAM PARK, NJ
B	02/09/2001 - 10/24/2001	JOSEPHTHAL & CO., INC.	CRD# 3227	NEW YORK, NY
B	07/22/1998 - 02/16/2001	MARION BASS SECURITIES CORPORATION	CRD# 7961	CHARLOTTE, NC
B	05/07/1996 - 07/17/1998	1717 CAPITAL MANAGEMENT COMPANY	CRD# 4082	NEWARK, DE
B	09/20/1990 - 05/20/1996	EQ FINANCIAL CONSULTANTS, INC.	CRD# 6627	NEW YORK, NY
B	09/20/1990 - 05/20/1996	THE EQUITABLE LIFE ASSURANCE SOCIETY OF THE UNITED STATES	CRD# 4039	NEW YORK, NY

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
08/2017 - Present	Vestech Securities, Inc.	Registered Representative	Y	St Louis, MO, United States



Registration & Employment History

EMPLOYMENT HISTORY

Employment Dates	Employer Name	Position	Investment Related	Employer Location
07/2012 - 05/2017	FIRST ALLIED ADVISORY SERVICES, INC.	MASS TRANSFER - INVESTMENT ADVISOR REPRESENTATIVE	Y	CHESTERFIELD, MO, United States
08/2007 - 05/2017	FIRST ALLIED SECURITIES, INC	REGISTERED REPRESENTATIVE	Y	SAN DIEGO, CA, 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.) AIM REINVESTMENTS, LLC ; INVESTMENT RELATED; 318 SCOTLAND DRIVE, KINGS MOUNTAIN, NC 28086; A SINGLE MEMBER LLC THAT EXISTS FOR TAX LIABILITY PURPOSES; DIRECT OWNER; START DATE:10/1/2008; 0 HOURS A MONTH AS BUSINESS IS ONLY FOR TAX AND LIABILITY PURPOSES ONLY.
- 2.)AIM GROUP; INVESTMENT RELATED; 318 SCOTLAND DRIVE, KINGS MOUNTAIN, NC 28086; DBA FOR FINANCIAL REPRESENTATIVE AND ADVISORY BUSINESS; DIRECT OWNER; ; START DATE: 06/03/2009; 160 HOURS A MONTH.
- 3.) Cost Segregation Services, Inc. ("CSSI"); NON- INVESTMENT RELATED; 318 SCOTLAND DRIVE, KINGS MOUNTAIN, NC 28086; COST SEGREGATION STUDIES, ACCELERATED DEPRECIATION ANALYSIS; REPRESENTATIVE; START DATE:08//2022; 10 HOURS A MONTH DURING TRADING HOURS

Name of the other business: Vestech Securities, Inc.
Investment-related: yes
Address of the other business:
Nature of the other business: 318 SCOTLAND DRIVE, KINGS MOUNTAIN, NC 28086
Position; title, or relationship with the other business: Financial Representative
Start date of your relationship: 09/2017
Approximate number of hours/month you devote to the other business: 160
Number of hours you devote to the other business during securities trading hours: 160
Briefly describe your duties relating to the other business: Financial Representative

Name of the other business: King Mountain Housing Authority ("KMHA")
Investment-related: No
Address of the other business: 201 McGill Court, Kings Mountain, NC, 28086
Nature of the other business: KMHA owns and operates 249 affordable housing apartments and is regulated by HUD, US Housing and Urban Development.
Position; title, or relationship with the other business: Board Member
Start date of your relationship: 01/2024
Approximate end date: 08/10/2025
Approximate number of hours/month you devote to the other business: 5
Number of hours you devote to the other business during securities trading hours: 0
Briefly describe your duties relating to the other business: Serve as a member of the governing board.

Name of the other business: Cleveland County Board of Equalization & Review
Investment-related: No
Address of the other business: 311 E Marion Street, Shelby, NC, 28150
Nature of the other business: Appeals board that hears appeals to tax assessments.



Registration & Employment History



OTHER BUSINESS ACTIVITIES

Position; title, or relationship with the other business: Board Member
Start date of your relationship: 04/15/2025 with hearings set to begin on 05/05/2025
Approximate end date: 05/30/2025
Approximate number of hours/month you devote to the other business: 15
Number of hours you devote to the other business during securities trading hours: 15
Briefly describe your duties relating to the other business: Attend meetings, preside at hearings, vote on findings.

Name of the other business: Kings Mountain Redevelopment Commission
Investment-related: No
Address of the other business: 201 McGill Court, Kings Mountain, NC, 28086
Nature of the other business: The housing authority board will be replaced by the Kings Mountain Redevelopment Commission that will oversee the Housing Authority operations.
Position; title, or relationship with the other business: Board Member, Vice Chairman
Start date of your relationship: 09/04/2024
Approximate number of hours/month you devote to the other business: 2
Number of hours you devote to the other business during securities trading hours: 0
Briefly describe your duties relating to the other business: Part of the board that will oversee the Housing Authority operations



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
Termination	2

Termination

This disclosure event involves a situation where the Investment Adviser Representative voluntarily resigned, was discharged or was permitted to resign after allegations were made that accused the Investment Adviser Representative of violating investment-related statutes, regulations, rules or industry standards of conduct; fraud or the wrongful taking of property; or failure to supervise in connection with investment-related statutes, regulations, rules or industry standards of conduct.

Disclosure 1 of 2

Reporting Source: Firm

Firm Name: FIRST ALLIED SECURITIES INC

Termination Type: Discharged

Termination Date: 05/17/2017

Allegations: Registered Representative violated firm policies relating to the approval of communications with the public and outside business activities.

Product Type: No Product

Reporting Source: Individual

Firm Name: FIRST ALLIED ADVISORY SERVICES, INC.

Termination Type: Discharged

Termination Date: 05/17/2017

Allegations: Registered Representative violated firm policies relating to the approval of communications with the public and outside business activities.

Product Type: No Product

Broker Statement Mr. Miller thought he was approved generally for church related activity. He didn't submit the letters in question to the firm prior to sending them out, but that action was inadvertent, not intentional. On January 24, 2017, Mr. Miller sent 6 letters to individuals that are not and were not clients. Shortly thereafter, he submitted the letters to the firm in his correspondence submission to the firm which was due by February 5, 2017

Disclosure 2 of 2



Reporting Source: Firm
Firm Name: FIRST ALLIED SECURITIES INC
Termination Type: Discharged
Termination Date: 05/17/2017
Allegations: Registered Representative violated firm policies relating to the approval of communications with the public and outside business activities.
Product Type: No Product

Reporting Source: Individual
Firm Name: FIRST ALLIED SECURITIES, INC
Termination Type: Discharged
Termination Date: 05/17/2017
Allegations: Registered Representative violated firm policies relating to the approval of communications with the public and outside business activities.
Product Type: No Product

Broker Statement Mr. Miller thought he was approved generally for church related activity. He didn't submit the letters in question to the firm prior to sending them out, but that action was inadvertent, not intentional. On January 24, 2017, Mr. Miller sent 6 letters to individuals that are not and were not clients. Shortly thereafter, he submitted the letters to the firm in his correspondence submission to the firm which was due by February 5, 2017.



End of Report

This page is intentionally left blank.