IAPD Report

BRADLEY SCOTT MILLS

CRD# 2126025

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

User Guidance

www.adviserinfo.sec.gov

Report Summary

BRADLEY SCOTT MILLS (CRD# 2126025)

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 **05/29/2025**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	LPL FINANCIAL LLC	CRD# 6413	10/02/2023
IA	LPL FINANCIAL LLC	CRD# 6413	10/02/2023

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **12** 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	HOLMEN, WI	10/04/2019 - 10/05/2023
IA	FSC SECURITIES CORPORATION	7461	HOLMEN, WI	10/04/2019 - 10/05/2023
B	RAYMOND JAMES & ASSOCIATES, INC.	705	SCOTTSDALE, AZ	05/10/2016 - 10/07/2019

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
Criminal	2
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 **12** 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	General Securities Representative	Approved	10/02/2023
B	Arizona	Agent	Approved	10/02/2023
B	California	Agent	Approved	10/02/2023
B	Colorado	Agent	Approved	08/20/2024
B	Florida	Agent	Approved	10/02/2023
B	Illinois	Agent	Approved	10/02/2023
B	Minnesota	Agent	Approved	10/09/2023
B	New York	Agent	Approved	10/02/2023
B	North Carolina	Agent	Approved	10/06/2023
B	Pennsylvania	Agent	Approved	10/02/2023
B	Texas	Agent	Approved	10/02/2023
IA	Texas	Investment Adviser Representative	Restricted Approval	10/02/2023
B	Washington	Agent	Approved	10/02/2023

Qualifications

	Regulator	Registration	Status	Date
B	Wisconsin	Agent	Approved	10/02/2023
IA	Wisconsin	Investment Adviser Representative	Approved	10/02/2023

Branch Office Locations

LPL FINANCIAL LLC
W7485 COUNTY ROAD Z
ONALASKA, WI 54650

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, 3 general industry/product exams, and 3 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	Futures Managed Funds Examination (S31)	Series 31	01/22/2009
B	General Securities Representative Examination (S7)	Series 7	12/23/2008

State Securities Law Exams

	Exam	Category	Date
IA B	Uniform Combined State Law Examination (S66)	Series 66	01/13/2009
IA	Uniform Investment Adviser Law Examination (S65)	Series 65	11/28/1995
B	Uniform Securities Agent State Law Examination (S63)	Series 63	02/22/1991

PROFESSIONAL DESIGNATIONS

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

No information reported.

Only professional designations listed in Question 8 of the Form U4 will appear in this section if the appropriate box is checked and verified by the issuing organization at the time of the filing. Learn more about eligible designations at IARD and NASAA.

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	10/04/2019 - 10/05/2023	FSC SECURITIES CORPORATION	CRD# 7461	HOLMEN, WI
IA	10/04/2019 - 10/05/2023	FSC SECURITIES CORPORATION	CRD# 7461	HOLMEN, WI
B	05/10/2016 - 10/07/2019	RAYMOND JAMES & ASSOCIATES, INC.	CRD# 705	SCOTTSDALE, AZ
IA	05/10/2016 - 10/07/2019	RAYMOND JAMES & ASSOCIATES, INC.	CRD# 705	SCOTTSDALE, AZ
B	05/05/2011 - 05/19/2016	UBS FINANCIAL SERVICES INC.	CRD# 8174	DENVER, CO
IA	05/05/2011 - 05/19/2016	UBS FINANCIAL SERVICES INC.	CRD# 8174	DENVER, CO
B	06/01/2009 - 05/11/2011	MORGAN STANLEY SMITH BARNEY	CRD# 149777	DENVER, CO
IA	06/01/2009 - 05/11/2011	MORGAN STANLEY SMITH BARNEY LLC	CRD# 149777	DENVER, CO
IA	01/15/2009 - 06/01/2009	MORGAN STANLEY & CO. INCORPORATED	CRD# 8209	DENVER, CO
B	12/24/2008 - 06/01/2009	MORGAN STANLEY & CO. INCORPORATED	CRD# 8209	DENVER, CO
B	09/22/1992 - 01/25/2000	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	CRD# 7691	NEW YORK, NY
B	02/22/1991 - 10/01/1992	EDWARD D. JONES & CO., L.P.	CRD# 250	ST. LOUIS, MO

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
10/2023 - Present	LPL FINANCIAL LLC	REGISTERED REPRESENTATIVE	Y	Holmen, WI, United States
10/2019 - 10/2023	FSC SECURITIES CORPORATION	REGISTERED REPRESENTATIVE	Y	SCOTTSDALE, AZ, United States
05/2016 - 10/2019	RAYMOND JAMES & ASSOCIATES	FINANCIAL ADVISOR	Y	SCOTTSDALE, AZ, United States

Registration & Employment History

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)09/15/2023 - BRAD MILLS WEALTH MANAGEMENT - DBA for LPL Business (entity for LPL business) - Inv Rel - At Reported Business Location(s) - Start: 10/2019 - 1 Hr/Mth
2)09/15/2023 - HILLTOPPERS INVESTMENTS LLC - Business Entity For Tax/Investment Purposes Only - Non-Inv Rel - At Reported Business Location(s) - Start: 10/2019 - 1 Hr/Mth

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
Criminal	2
Customer Dispute	1

Criminal

This disclosure event involves a criminal charge against the Investment Adviser Representative that has resulted in a dismissal, plea, acquittal or conviction. The criminal matter may relate to any felony or certain misdemeanor offenses (e.g., bribery, perjury, forgery, counterfeiting, extortion, fraud, wrongful taking of property).

Disclosure 1 of 2

Reporting Source:	Individual
Formal Charges were brought in:	State Court
Name of Court:	LA CROSSE COUNTY
Location of Court:	LA CROSSE COUNTY, WI
Docket/Case #:	2025CF000136
Charge Date:	02/19/2025
Charge(s) 1 of 5	
Formal Charge(s)/Description:	Operating w/ PAC (4th)
No of Counts:	1
Felony or Misdemeanor:	Felony
Plea for each charge:	NOT GUILTY
Disposition of charge:	Amended
Date of Amended Charge:	04/16/2025
Charge was Amended or reduced to:	Operating w/ PAC (3rd)
Amended No of Counts:	1
Amended Charge:	Misdemeanor
Amended Plea:	NO CONTEST
Disposition of Amended Charge:	Convicted

Charge(s) 2 of 5

Formal Charge(s)/Description:	OWI (4th)
No of Counts:	1
Felony or Misdemeanor:	Felony
Plea for each charge:	NOT GUILTY
Disposition of charge:	Amended
Date of Amended Charge:	04/16/2025
Charge was Amended or reduced to:	OWI (3rd)
Amended No of Counts:	1
Amended Charge:	Misdemeanor
Amended Plea:	N/A
Disposition of Amended Charge:	Dismissed

Charge(s) 3 of 5

Formal Charge(s)/Description:	PAC Cause Injury
No of Counts:	1
Felony or Misdemeanor:	Felony
Plea for each charge:	NOT GUILTY
Disposition of charge:	Dismissed

Charge(s) 4 of 5

Formal Charge(s)/Description:	Hit and Run-Involve Injury
No of Counts:	1
Felony or Misdemeanor:	Felony
Plea for each charge:	NOT GUILTY
Disposition of charge:	Dismissed

Charge(s) 5 of 5

Formal Charge(s)/Description:	OWI Cause Injury
No of Counts:	1
Felony or Misdemeanor:	Felony
Plea for each charge:	NOT GUILTY
Disposition of charge:	Dismissed
Current Status:	Final
Status Date:	04/16/2025
Disposition Date:	04/16/2025

Sentence/Penalty:	5/22/25 FINE/COURT FEES TOTALING $2,817.50 AND 43 DAYS OF ELECTRONIC MONITORING
Broker Statement	This case ultimately resulted in Mr. Mills pleading no contest to a single misdemeanor charge of OWI. All other charges were dismissed by the La Crosse County Court on April 16,2025.

Disclosure 2 of 2

Reporting Source:	Firm
Formal Charges were brought in:	Scottsdale City Court
Name of Court:	Scottsdale City Court
Location of Court:	Scottsdale, Arizona
Docket/Case #:	02008691
Charge Date:	05/30/2017
Charge(s) 1 of 1	
Formal Charge(s)/Description:	Theft of services - taxi fare
No of Counts:	1
Felony or Misdemeanor:	Misdemeanor
Plea for each charge:	Not Guilty
Disposition of charge:	Dismissed
Current Status:	Final
Status Date:	09/06/2017
Disposition Date:	09/06/2017
Sentence/Penalty:	Case was dismissed on 9/6/17.

Reporting Source:	Individual
Formal Charges were brought in:	CITY COURT
Name of Court:	Scottsdale City Court
Location of Court:	Scottsdale, Arizona
Docket/Case #:	02008691
Charge Date:	05/30/2017
Charge(s) 1 of 1	
Formal Charge(s)/Description:	Theft of services - taxi fare.
No of Counts:	1
Felony or Misdemeanor:	Misdemeanor
Plea for each charge:	Not guilty
Disposition of charge:	Dismissed

Current Status:	Final
Status Date:	09/06/2017
Disposition Date:	09/06/2017
Sentence/Penalty:	Case dismissed on 9-6-2017
Broker Statement	Mr. Mills was charged with failure to pay taxi fare when POS device (card reader) in the taxi was not working. Mr. Mills was able to provide evidence that his credit and debit cards were working and had sufficient purchasing power at the time of the incident.

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:	Regulator
Employing firm when activities occurred which led to the complaint:	MERRILL LYNCH, PIERCE, FENNER, SMITH, INC.
Allegations:	UNAUTHORIZED TRANSACTION
Product Type:	
Alleged Damages:	$10,000.00

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.:	UNKNOWN - CASE #94-04899
Date Notice/Process Served:	11/30/1994
Arbitration Pending?	No
Disposition:	Other
Disposition Date:	08/23/1995
Disposition Detail:	AWARD AGAINST PARTY ** RESPONDENTS MERRILL LYNCH, PIERCE, FENNER & SMITH, INC AND BRADLEY S. MILLS ARE HEREBY LIABLE FOR AND SHALL PAY TO CLAIMANT, PETER A. BARNETT THE SUM OF $7,000.00. **

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	MERRILL LYNCH, PIERCE, FENNER, SMITH, INC.
Allegations:	[CUSTOMER] ALLEGES THAT MR. MILLS MADE AN UNAUTHORIZED STOCK PURCHASE IN HIS ACCOUNT. [CUSTOMER] ALLEGES DAMAGES IN THE AMOUNT OF $10,000.
Product Type:	Equity Listed (Common & Preferred Stock)
Other Product Type(s):	EQUITY (OTC)
Alleged Damages:	$10,000.00

Customer Complaint Information

Date Complaint Received:	11/30/1994
Complaint Pending?	No
Status:	Arbitration/Reparation

Status Date:	11/30/1994
Settlement Amount:	
Individual Contribution Amount:	

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.:	NATIONAL ASSOCIATION OF SECURITIES DEALERS, INC.; 94-04899
Date Notice/Process Served:	11/30/1994
Arbitration Pending?	No
Disposition:	Award to Customer
Disposition Date:	08/23/1995
Monetary Compensation Amount:	$7,700.00
Individual Contribution Amount:	$0.00
Broker Statement	CLAIMANT WAS AWARDED $7,700.00. RESPONDENTS MERRILL LYNCH AND MR. MILLS IN THEIR ANSWER DENIED THE ALLEGATIONS SET FORTH IN THE STATEMENT OF CLAIM AND POINTED TO THE FACT THAT CLAIMANT, AN EXPERIENCED INVESTOR, WAITED NEARLY 4 MONTHS BEFORE BRINGING THIS MATTER TO THE OFFICE MANAGEMENT'S ATTENTION. IT IS RESPONDENT'S POSITION THAT CLAIMANT ONLY BEGAN TO COMPLAIN WHEN THE STOCK'S PRICE HAD DECLINED AND THAT THIS CLAIM IS NOTHING MORE THAN A REQUEST FOR INDEMNIFICATION FROM A SOUND INVESTMENT RECOMMENDATION.

End of Report

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