



IAPD Report

BRADLEY MATTHEW SHEPHERD

CRD# 2303045

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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

BRADLEY MATTHEW SHEPHERD (CRD# 2303045)

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	FOUNDERS FINANCIAL SECURITIES LLC	CRD# 137945	04/06/2006
IA	FOUNDERS FINANCIAL SECURITIES, LLC	CRD# 137945	07/18/2006

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **52** 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	INTERSECURITIES, INC.	16164	TOWSON, MD	09/02/1997 - 04/18/2007
B	INTERSECURITIES, INC.	16164	TOWSON, MD	02/03/1997 - 04/18/2007
B	CRESTAR SECURITIES CORPORATION	17464	RICHMOND, VA	01/01/1997 - 01/29/1997

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

Employment 1 of 1

Firm Name: **FOUNDERS FINANCIAL SECURITIES, LLC**

Main Address: 1026 CROMWELL BRIDGE ROAD
SUITE 100
TOWSON, MD 21286

Firm ID#: 137945

Regulator	Registration	Status	Date
B FINRA	General Securities Principal	Approved	04/06/2006
B FINRA	General Securities Representative	Approved	04/06/2006
B FINRA	Invest. Co and Variable Contracts	Approved	04/06/2006
B FINRA	Municipal Securities Principal	Approved	04/06/2006
B FINRA	Registered Options Principal	Approved	04/06/2006
B FINRA	Municipal Securities Representative	Approved	04/10/2006
B FINRA	Operations Professional	Approved	10/17/2011
B Alabama	Agent	Approved	04/19/2007
B Alaska	Agent	Approved	02/26/2009
B Arizona	Agent	Approved	10/17/2006
B Arkansas	Agent	Approved	02/29/2008
B California	Agent	Approved	08/03/2006
B Colorado	Agent	Approved	02/26/2009



Qualifications

Regulator	Registration	Status	Date
B Connecticut	Agent	Approved	11/22/2006
B Delaware	Agent	Approved	06/27/2006
B District of Columbia	Agent	Approved	04/19/2007
B Florida	Agent	Approved	08/03/2006
B Georgia	Agent	Approved	08/04/2006
B Hawaii	Agent	Approved	10/03/2006
B Idaho	Agent	Approved	10/17/2006
B Illinois	Agent	Approved	04/19/2007
B Indiana	Agent	Approved	08/01/2006
B Iowa	Agent	Approved	08/11/2006
B Kansas	Agent	Approved	10/03/2006
B Kentucky	Agent	Approved	04/19/2007
B Louisiana	Agent	Approved	03/05/2009
B Maine	Agent	Approved	09/03/2009
B Maryland	Agent	Approved	04/27/2006
IA Maryland	Investment Adviser Representative	Approved	01/06/2023
B Massachusetts	Agent	Approved	04/19/2007
B Michigan	Agent	Approved	04/19/2007
B Minnesota	Agent	Approved	04/19/2007



Qualifications

Regulator	Registration	Status	Date
B Mississippi	Agent	Approved	10/17/2006
B Missouri	Agent	Approved	06/10/2008
B Montana	Agent	Approved	03/04/2009
B Nebraska	Agent	Approved	02/26/2009
B Nevada	Agent	Approved	08/23/2006
B New Hampshire	Agent	Approved	08/24/2006
B New Jersey	Agent	Approved	06/08/2006
B New Mexico	Agent	Approved	08/29/2006
B New York	Agent	Approved	06/19/2006
B North Carolina	Agent	Approved	07/25/2006
B North Dakota	Agent	Approved	03/23/2009
B Ohio	Agent	Approved	04/20/2007
B Oklahoma	Agent	Approved	02/27/2009
B Oregon	Agent	Approved	08/15/2006
B Pennsylvania	Agent	Approved	11/22/2006
B Puerto Rico	Agent	Approved	09/17/2015
B Rhode Island	Agent	Approved	02/15/2008
B South Carolina	Agent	Approved	08/29/2006



Qualifications

Regulator	Registration	Status	Date
B South Dakota	Agent	Approved	01/28/2008
B Tennessee	Agent	Approved	04/19/2007
B Texas	Agent	Approved	08/21/2006
IA Texas	Investment Adviser Representative	Restricted Approval	01/04/2019
B Utah	Agent	Approved	03/02/2009
B Vermont	Agent	Approved	08/17/2006
B Virginia	Agent	Approved	04/19/2007
B Washington	Agent	Approved	07/25/2006
B West Virginia	Agent	Approved	11/22/2006
B Wisconsin	Agent	Approved	10/17/2006
B Wyoming	Agent	Approved	03/06/2009

Branch Office Locations

FOUNDERS FINANCIAL SECURITIES, LLC
1020 CROMWELL BRIDGE RD
2ND FLOOR
TOWSON, MD 21286



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 3 principal/supervisory exams, 5 general industry/product exams, and 2 state securities law exams.

Principal/Supervisory Exams

Exam	Category	Date
 Municipal Securities Principal Examination (S53)	Series 53	01/13/2006
 Registered Options Principal Examination (S4)	Series 4	03/22/2005
 General Securities Principal Examination (S24)	Series 24	05/05/1997

General Industry/Product Exams

Exam	Category	Date
 Municipal Securities Representative Examination (S52TO)	Series 52TO	09/25/2025
 Operations Professional Examination (S99TO)	Series 99TO	01/02/2023
 Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
 General Securities Representative Examination (S7)	Series 7	06/20/1994
 Investment Company Products/Variable Contracts Representative Examination (S6)	Series 6	12/03/1992

State Securities Law Exams

Exam	Category	Date
 Uniform Investment Adviser Law Examination (S65)	Series 65	07/30/1997
 Uniform Securities Agent State Law Examination (S63)	Series 63	02/23/1993



PROFESSIONAL DESIGNATIONS

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

Chartered Financial Consultant

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
IA	09/02/1997 - 04/18/2007	INTERSECURITIES, INC.	CRD# 16164	TOWSON, MD
B	02/03/1997 - 04/18/2007	INTERSECURITIES, INC.	CRD# 16164	TOWSON, MD
B	01/01/1997 - 01/29/1997	CRESTAR SECURITIES CORPORATION	CRD# 17464	RICHMOND, VA
B	12/07/1992 - 01/01/1997	CITIZENS BROKERAGE SERVICES, INC.	CRD# 17666	

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
11/2004 - Present	FOUNDERS FINANCIAL SECURITIES LLC	PRESIDENT/REG. REP.	Y	TIMONIUM, MD, 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) BROOKS FINANCIAL GROUP ; INVESTMENT RELATED; 1020 CROMWELL BRIDGE RD, TOWSON, MD; START DATE: 02/1997; FINANCIAL CONSULTANT & INSURANCE AGENT THROUGH FFS & FFIN; 160 HRS PER MONTH; 160 HRS DURING TRADING; INSURANCE SALES AND FINANCIAL PLANNING
- 2) BUILDING FOR GOD COMMUNITY FOUNDATION; NON-INVESTMENT RELATED; 1020 CROMWELL BRIDGE RD, TOWSON, MD; START DATE: 7/2017; BOARD POSITION; 20 HRS PER MONTH; 0 HRS DURING TRADING; 501c3 CHARITABLE ORGANIZATION, SEAT ON BOARD OF GOVERNORS TO HELP ORGANIZE EVENTS
- 3) SERVUS WEALTH LLC,; NON-INVESTMENT RELATED; 13507 MANOR RD, BALDWIN MD 21013; START DATE: 09/1/22; OWNER; 0 HRS PER MONTH; 0 HRS DURING TRADING; HOLDING COMPANY FOR FOUNDERS FINANCIAL LLC OWNERSHIP; PURCHASING A PERCENTAGE OF FOUNDER FINANCIAL INC AND THAT WILL BE DONE THROUGH THIS LLC
- 4) FOUNDERS FINANCIAL, LLC.; INVESTMENT RELATED; 1020 CROMWELL BRIDGE ROAD TOWSON, MD 21286; START DATE: 1/1/2023; CEO: HOLDING COMPANY FOR MICHAEL BROOKS ENTERPRISES; OVERSEE OVERALL SUCCESS OF ORGANIZATION AND LEADING THE DEVELOPMENT AND EXECUTION OF LONG-TERM STRATEGIES



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
Customer Dispute	1

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:	Individual
Employing firm when activities occurred which led to the complaint:	FOUNDERS FINANCIAL SECURITIES LLC
Allegations:	CLIENT ALLEGES THAT A METLIFE VARIABLE ANNUITY CONTRACT THAT WAS EXPLAINED, RECOMMENDED AND CLIENT AGREED TO INVEST INTO ON SEPTEMBER 15, 2008 WAS NOT AN UNSUITABLE INVESTMENT. THE REP DISCLOSED ALL REVELANT FACTS OF THE VARIABLE ANNUITY AND CLIENT SIGNED OFF ON VARIOUS DISCLOSURES INDICATING HE UNDERSTOOD THE INVESTMENT AND ITS BENEFITS AND LIMITATIONS.
Product Type:	Annuity-Variable
Alleged Damages:	\$0.00
Alleged Damages Amount Explanation (if amount not exact):	CLIENT DOES NOT CLAIM SPECIFIC DAMAGES, BUT REQUESTS A FULL SURRENDER OF THE CONTRACT'S ORIGINAL MARKET VALUE WITHOUT SURRENDER CHARGES.
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:	09/29/2010
Complaint Pending?	No



Status:	Denied
Status Date:	10/27/2010
Settlement Amount:	
Individual Contribution Amount:	
Broker Statement	<p>CLIENT IS CLAIMING VARIABLE ANNUITY WAS UNSUITABLE, YET HIS CLAIMS CONTAIN FALSE AND INACCURATE STATEMENTS. REPRESENTATIVE PROVIDED CLIENT WITH ENTIRE FINANCIAL PLAN THAT COVERED LTC, RETIREMENT INCOME AND ESTATE PLANNING. THE VA WAS ONE SMALL ASPECT OF THE OVERALL SET OF RECOMMENDATIONS. REP PROVIDED SUFFICIENT NUMBER OF OPTIONS, INCLUDING A MANAGED MUTUAL FUND PORTFOLIO, TO CHOOSE FROM TO MEET THE CLIENT'S STATED RETIREMENT NEEDS. REP REMAINED IN CONTACT WITH THE CLIENT FOR OVER TWO YEARS AFTER CONTRACT WAS SOLD WITHOUT THE CLIENT RAISING ANY CONCERNs. THE CLIENT SIGNED OFF ON A NUMBER OF DISCLOSURES AS TO HIS UNDERSTANDING OF THE PROS AND CONS OF INVESTING IN A VARIABLE ANNUITY. CLIENT DOES NOT CLAIM ANY SPECIFIC DAMAGES OR RETURN OF ANY LOSSES AS THERE ARE NO LOSSES. CLIENT MERELY WANTS A FULL REFUND OF INITIAL CONTRACT VALUE WITHOUT PAYING SURRENDER CHARGES.</p>



End of Report

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