



IAPD Report

BRAD AARON THOMPSON

CRD# 2804298

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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

BRAD AARON THOMPSON (CRD# 2804298)

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 **09/11/2025**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	J.P. MORGAN SECURITIES LLC	CRD# 79	02/13/2009
IA	J.P. MORGAN SECURITIES LLC	CRD# 79	02/13/2009

QUALIFICATIONS

This representative is currently registered in **27** SRO(s) and **46** 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	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	7691	DALLAS, TX	04/15/2005 - 02/17/2009
IA	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	7691	DALLAS, TX	04/15/2005 - 02/17/2009
IA	AMERICAN EXPRESS FINANCIAL ADVISORS, INC.	6363	DALLAS, TX	11/14/1996 - 04/28/2005

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



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 **46** jurisdiction(s) and 27 SRO(s) through his or her employer(s).

Employment 1 of 1

Firm Name: **J.P. MORGAN SECURITIES LLC**
Main Address: 270 PARK AVENUE
NEW YORK, NY 10017
Firm ID#: 79

Regulator	Registration	Status	Date
B 24X National Exchange LLC	General Securities Representative	Approved	10/31/2025
B BOX Exchange LLC	General Securities Representative	Approved	05/11/2012
B Cboe BYX Exchange, Inc.	General Securities Representative	Approved	11/14/2024
B Cboe BZX Exchange, Inc.	General Securities Representative	Approved	11/14/2024
B Cboe C2 Exchange, Inc.	General Securities Representative	Approved	01/06/2012
B Cboe EDGA Exchange, Inc.	General Securities Representative	Approved	11/14/2024
B Cboe EDGX Exchange, Inc.	General Securities Representative	Approved	11/14/2024
B Cboe Exchange, Inc.	General Securities Representative	Approved	02/13/2009
B FINRA	General Securities Representative	Approved	02/13/2009
B Investors' Exchange LLC	General Securities Representative	Approved	08/30/2016
B Long-Term Stock Exchange, Inc.	General Securities Representative	Approved	04/27/2020
B MEMX LLC	General Securities Representative	Approved	02/16/2021
B MIAX Emerald, LLC	General Securities Representative	Approved	03/20/2019



Qualifications

Regulator	Registration	Status	Date
B MIAX PEARL, LLC	General Securities Representative	Approved	11/14/2024
B MIAX Sapphire	General Securities Representative	Approved	11/14/2024
B Miami International Securities Exchange, LLC	General Securities Representative	Approved	11/14/2024
B NYSE American LLC	General Securities Representative	Approved	02/13/2009
B NYSE Arca, Inc.	General Securities Representative	Approved	02/13/2009
B NYSE National, Inc.	General Securities Representative	Approved	05/18/2018
B NYSE Texas, Inc.	General Securities Representative	Approved	01/06/2012
B Nasdaq GEMX, LLC	General Securities Representative	Approved	08/02/2013
B Nasdaq ISE, LLC	General Securities Representative	Approved	02/13/2009
B Nasdaq MRX, LLC	General Securities Representative	Approved	03/24/2016
B Nasdaq PHLX LLC	General Securities Representative	Approved	02/13/2009
B Nasdaq Stock Market	General Securities Representative	Approved	02/13/2009
B Nasdaq Texas, LLC	General Securities Representative	Approved	09/30/2009
B New York Stock Exchange	General Securities Representative	Approved	02/13/2009
B Alabama	Agent	Approved	07/02/2012
B Alaska	Agent	Approved	11/06/2013
B Arizona	Agent	Approved	08/18/2015
B Arkansas	Agent	Approved	11/04/2015



Qualifications

Regulator	Registration	Status	Date
B California	Agent	Approved	02/13/2009
B Colorado	Agent	Approved	02/13/2009
B Connecticut	Agent	Approved	07/22/2015
B District of Columbia	Agent	Approved	01/15/2025
B Florida	Agent	Approved	02/20/2009
B Georgia	Agent	Approved	02/13/2009
B Idaho	Agent	Approved	03/02/2021
B Illinois	Agent	Approved	02/13/2009
B Indiana	Agent	Approved	12/07/2017
B Kansas	Agent	Approved	07/31/2015
B Kentucky	Agent	Approved	07/10/2024
B Louisiana	Agent	Approved	02/13/2009
IA Louisiana	Investment Adviser Representative	Approved	01/28/2010
B Maryland	Agent	Approved	03/28/2011
B Massachusetts	Agent	Approved	08/25/2009
B Michigan	Agent	Approved	03/11/2016
B Minnesota	Agent	Approved	11/06/2015
B Missouri	Agent	Approved	02/17/2009
B Montana	Agent	Approved	09/29/2025



Qualifications

Regulator	Registration	Status	Date
B Nebraska	Agent	Approved	08/28/2019
B Nevada	Agent	Approved	06/11/2009
B New Hampshire	Agent	Approved	02/13/2009
B New Jersey	Agent	Approved	03/12/2009
B New Mexico	Agent	Approved	06/05/2009
B New York	Agent	Approved	03/04/2009
B North Carolina	Agent	Approved	03/09/2009
IA North Carolina	Investment Adviser Representative	Approved	01/04/2011
B North Dakota	Agent	Approved	12/18/2009
B Ohio	Agent	Approved	12/21/2009
B Oklahoma	Agent	Approved	02/26/2009
B Oregon	Agent	Approved	02/13/2009
B Pennsylvania	Agent	Approved	02/03/2016
B Rhode Island	Agent	Approved	07/22/2015
B South Carolina	Agent	Approved	03/16/2009
B South Dakota	Agent	Approved	05/28/2010
B Tennessee	Agent	Approved	06/04/2009
B Texas	Agent	Approved	02/13/2009
IA Texas	Investment Adviser Representative	Approved	02/13/2009



Qualifications

Regulator	Registration	Status	Date
B Utah	Agent	Approved	03/05/2012
B Vermont	Agent	Approved	02/13/2009
B Virginia	Agent	Approved	12/18/2009
B Washington	Agent	Approved	03/04/2009
B West Virginia	Agent	Approved	05/04/2011
B Wisconsin	Agent	Approved	02/03/2010
B Wyoming	Agent	Approved	02/04/2010

Branch Office Locations

J.P. MORGAN SECURITIES LLC
100 CRESCENT COURT
13TH FLOOR
DALLAS, TX 75201



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
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No information reported.

General Industry/Product Exams

Exam	Category	Date
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Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
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General Securities Representative Examination (S7)	Series 7	10/09/1996
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State Securities Law Exams

Exam	Category	Date
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Uniform Combined State Law Examination (S66)	Series 66	07/14/2005
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Uniform Securities Agent State Law Examination (S63)	Series 63	10/17/1996
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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
B	04/15/2005 - 02/17/2009	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	CRD# 7691	DALLAS, TX
IA	04/15/2005 - 02/17/2009	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	CRD# 7691	DALLAS, TX
IA	11/14/1996 - 04/28/2005	AMERICAN EXPRESS FINANCIAL ADVISORS, INC.	CRD# 6363	DALLAS, TX
B	10/10/1996 - 04/28/2005	AMERICAN EXPRESS FINANCIAL ADVISORS INC.	CRD# 6363	MINNEAPOLIS, MN
B	10/10/1996 - 04/28/2005	IDS LIFE INSURANCE COMPANY	CRD# 6321	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
10/2010 - Present	JPMORGAN CHASE BANK, N.A.	WORKFORCE MEMBER	Y	DALLAS, TX, United States
02/2009 - Present	J.P. MORGAN SECURITIES LLC	REGISTERED REPRESENTATIVE	Y	DALLAS, TX, 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.

Effective 6/15/2018 I will be an employee of both JPMorgan Securities and JPMorgan Bank. JPMorgan Bank offers a broad range of products and services nationwide. As an employee of JPMorgan Bank I will be able to offer certain bank products and services, including deposit and credit products.



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	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: Firm

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

Allegations: THE CLIENT ALLEGED PORTFOLIO LOSSES WERE THE RESULT OF UNSUITABLE INVESTMENT RECOMMENDATIONS AND MISHANDLING OF HER PORTFOLIO WITHOUT REGARD TO HER AGE. THE CLIENT HAS REQUESTED RECOVERY OF A PORTION OF HER LOSSES AND REQUESTED A WAIVER OF REALLOCATION FEES AND CLOSING COSTS.

Product Type: Mutual Fund(s)

Other Product Type(s): BROKERAGE

Alleged Damages: \$5,000.00

Customer Complaint Information

Date Complaint Received: 05/05/2008

Complaint Pending? No

Status: Denied

Status Date: 06/27/2008

Settlement Amount:

Individual Contribution Amount:

Firm Statement THE FIRM FOUND THE INVESTMENT RECOMMENDATIONS WERE APPROPRIATE AND SUITABLE. THE FIRM WAS UNABLE TO SUBSTANTIATE

MISHANDLING OF HER PORTFOLIO.
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Reporting Source: Individual

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

Allegations: THE CLIENT ALLEGES PORTFOLIO LOSSES WERE THE RESULT OF UNSUITABLE INVESTMENT RECOMMENDATIONS AND MISHANDLING OF HER PORTFOLIO WITHOUT REGSRD TO HER AGE. THE CLIENT HAS REQUESTED RECOVERY OF A PORTION OF HER LOSSES AND REQUESTED A WAIVER OF REALLOCATION FEES AND CLOSING COSTS.

Product Type: Mutual Fund(s)

Alleged Damages: \$5,000.00

Customer Complaint Information

Date Complaint Received: 05/05/2008

Complaint Pending? No

Status: Denied

Status Date: 06/27/2008

Settlement Amount:

Individual Contribution Amount:

Broker Statement THE FIRM FOUND THE INVESTMENT RECOMMENDATIONS WERE APPROPRIATE AND SUITABLE. HE FIRM WAS UNABLE TO SUBSTANTIATE MISHANDLING OF HER PORTFOLIO.

Disclosure 2 of 3

Reporting Source: Firm

Employing firm when activities occurred which led to the complaint: MERRILL LYNCH PIERCE FENNER AND SMITH, INC.

Allegations: CLIENT ALLEGES MISREPRESENTATION CONCERNING THE LIQUIDITY OF AUCTION MARKET SECURITIES. DAMAGES UNSPECIFIED.

Product Type: Other: AUCTION RATE SECURITIES

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: 04/10/2008

Complaint Pending? No

Status: Settled



Status Date: 04/13/2009
Settlement Amount: \$600,000.00

Individual Contribution Amount: \$0.00

Firm Statement

THIS MATTER INVOLVES THE SALE OF AUCTION RATE SECURITIES (ARS). THE TRANSACTION(S) AT ISSUE TOOK PLACE BEFORE MID-FEBRUARY 2008, WHEN THE ARS MARKET SUFFERED WIDESPREAD AUCTION FAILURES AND ILLIQUIDITY. THE FINANCIAL ADVISOR DID NOT CAUSE, CONTRIBUTE OR HAVE ANY CONTROL WHATSOEVER OVER THESE MARKET EVENTS. THE FIRM REACHED AGREEMENT WITH CERTAIN OF ITS REGULATORS, PURSUANT TO WHICH IT REPURCHASED ARS FOR THEIR FULL PAR VALUE FROM CERTAIN CLIENTS, INCLUDING THE INSTANT CLIENT, WHERE THEY COMPLAINED OR NOT. THE FINANCIAL ADVISOR WAS NOT A PARTY TO THAT AGREEMENT, DID NOT MAKE ANY PAYMENT TO THE CLIENT, AND WAS NOT ASKED TO AND DID NOT CONTRIBUTE TO THE REPURCHASE AMOUNT. THE SETTLEMENT AMOUNT IN ITEM 11 ABOVE REFLECTS THE PAR VALUE OF THE REPURCHASED ARS, AS REQUIRED BY FINRA REGULATORY NOTICE 09-12.

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: MERRILL LYNCH PIERCE FENNER AND SMITH, INC.

Allegations: CLIENT ALLEGES MISREPRESENTATION CONCERNING THE LIQUIDITY OF AUCTION MARKET SECURITIES. DAMAGES UNSPECIFIED.

Product Type: Other: AUCTION RATE SECURITIES

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: 04/10/2008

Complaint Pending? No

Status: Settled

Status Date: 04/13/2009

Settlement Amount: \$600,000.00

Individual Contribution Amount: \$0.00

Broker Statement

THIS COMPLAINT AROSE OUT OF THE UNPRECEDENTED ILLIQUIDITY IN THE AUCTION RATE SECURITIES MARKET. PRIOR TO THE RECENT WIDESPREAD AUCTION FAILURES, AUCTION MARKET SECURITIES WERE SOLD THROUGHOUT THE FINANCIAL SERVICES INDUSTRY AS HIGHLY LIQUID INSTRUMENTS AND WERE APPROPRIATELY REGARDED BY THE INDUSTRY AS HIGHLY LIQUID INVESTMENTS.

**Disclosure 3 of 3****Reporting Source:** Individual**Employing firm when activities occurred which led to the complaint:** AMERICAN EXPRESS FINANCIAL ADVISORS**Allegations:** THE CLIENT ALLEGED THAT WHEN SHE INITIALLY INVESTED HER MONEY I INFORMED HER SHE WOULD NOT HAVE TO WORRY. SHE STATED THAT WHEN SHE ORIGINALLY INVESTED HER ACCOUNTS WERE VALUED AT \$331000.00 AND NOW ARE ONLY WORTH \$133200.00. IN ADDITION, SHE STATED THAT I SOLD SOME OF HER TEXAS INSTRUMENTS STOCK AND USED MARGIN ON HER ACCOUNT.**Product Type:** Mutual Fund(s)**Other Product Type(s):** BROKERAGE**Alleged Damages:** \$197,800.00**Customer Complaint Information****Date Complaint Received:** 11/03/2003**Complaint Pending?** No**Status:** Denied**Status Date:** 11/19/2003**Settlement Amount:****Individual Contribution Amount:****Broker Statement**

THE COMPANY REVIEW FOUND THAT THE DECLINE IN THE VALUE OF THE CLIENT'S PORTFOLIO WAS LARGELY ATTRIBUTED TO THE WITHDRAWALS THE CLIENT TOOK FROM HER ACCOUNTS SINCE THE DATE THEY WERE OPENED. SHE INITIALLY INVESTED APPROXIMATELY \$350000.00 IN THE AXP MUTUAL FUNDS, AND WITHDREW APPROXIMATELY \$156000.00. THE REVIEW ALSO FOUND THAT THE CLIENT RECEIVED THE APPROPRIATE DISCLOSURES RELATED TO THE MARGIN ACCOUNT, AND SHE RECEIVED NOTIFICATION OF THE MARGIN LOAN ON HER MONTHLY BROKERAGE STATEMENTS. THE REVIEW OF THE INVESTMENT RECOMMENDATIONS FOUND THAT THEY WERE APPROPRIATE CONSIDERING THE CLIENT'S GOALS AND OBJECTIVES.



End of Report

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