



IAPD Report

WILLIAM BRADLEY SMITH

CRD# 2853427

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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

WILLIAM BRADLEY SMITH (CRD# 2853427)

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 **08/13/2025**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	MAPLEWOOD INVESTMENTS, INC.	CRD# 103723	08/04/2025
IA	BLUEPRINT FINANCIAL ADVISORS	CRD# 315570	08/04/2025

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **20** 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	OSAIC WEALTH, INC.	23131	GREENSBORO, NC	06/14/2024 - 08/06/2025
IA	OSAIC WEALTH, INC.	23131	GREENSBORO, NC	06/14/2024 - 08/06/2025
IA	SECURITIES AMERICA ADVISORS, INC.	110518	GREENSBORO, NC	09/01/2015 - 06/14/2024

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

Employment 1 of 2

Firm Name: **MAPLEWOOD INVESTMENTS, INC.**

Main Address: 12222 MERIT DR
SUITE 1390
DALLAS, TX 75251

Firm ID#: 103723

	Regulator	Registration	Status	Date
B	FINRA	General Securities Representative	Approved	08/04/2025
B	FINRA	Invest. Co and Variable Contracts	Approved	08/04/2025
B	Alabama	Agent	Approved	08/04/2025
B	Arkansas	Agent	Approved	08/04/2025
B	California	Agent	Approved	08/04/2025
B	Colorado	Agent	Approved	08/04/2025
B	Georgia	Agent	Approved	08/04/2025
B	Illinois	Agent	Approved	08/04/2025
B	Maryland	Agent	Approved	08/04/2025
B	Michigan	Agent	Approved	08/04/2025
B	Minnesota	Agent	Approved	08/04/2025
B	Missouri	Agent	Approved	08/04/2025
B	Nevada	Agent	Approved	08/14/2025



Qualifications

	Regulator	Registration	Status	Date
B	North Carolina	Agent	Approved	08/07/2025
B	Ohio	Agent	Approved	08/04/2025
B	Pennsylvania	Agent	Approved	08/04/2025
B	South Carolina	Agent	Approved	08/04/2025
B	Texas	Agent	Approved	08/04/2025
B	Virginia	Agent	Approved	08/09/2025
B	Washington	Agent	Approved	08/04/2025
B	West Virginia	Agent	Approved	08/04/2025
B	Wisconsin	Agent	Approved	08/04/2025

Branch Office Locations

1301 W Wendover #C
Greensboro, NC 27408

Employment 2 of 2

Firm Name: **BLUEPRINT FINANCIAL ADVISORS**
Main Address: 1100 KENILWORTH AVE
SUITE 210
CHARLOTTE, NC 28204
Firm ID#: 315570

	Regulator	Registration	Status	Date
IA	North Carolina	Investment Adviser Representative	Approved	08/04/2025
IA	Texas	Investment Adviser Representative	Restricted Approval	08/04/2025

Branch Office Locations



Qualifications

BLUEPRINT FINANCIAL ADVISORS

1301 W Wendover #C
Greensboro, NC 27408



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 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
B General Securities Representative Examination (S7TO)	Series 7TO	03/27/2023
B Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
B Investment Company Products/Variable Contracts Representative Examination (S6)	Series 6	02/19/1997

State Securities Law Exams

Exam	Category	Date
IA Uniform Investment Adviser Law Examination (S65)	Series 65	09/30/2004
B Uniform Securities Agent State Law Examination (S63)	Series 63	02/19/1997



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	06/14/2024 - 08/06/2025	OSAIC WEALTH, INC.	CRD# 23131	GREENSBORO, NC
IA	06/14/2024 - 08/06/2025	OSAIC WEALTH, INC.	CRD# 23131	GREENSBORO, NC
IA	09/01/2015 - 06/14/2024	SECURITIES AMERICA ADVISORS, INC.	CRD# 110518	GREENSBORO, NC
B	09/01/2015 - 06/14/2024	SECURITIES AMERICA, INC.	CRD# 10205	GREENSBORO, NC
IA	01/27/2005 - 09/11/2015	WOODBURY FINANCIAL SERVICES, INC.	CRD# 421	GREENSBORO, NC
B	11/18/2003 - 09/11/2015	WOODBURY FINANCIAL SERVICES, INC.	CRD# 421	GREENSBORO, NC
B	08/07/1997 - 11/24/2003	PRINCOR FINANCIAL SERVICES CORPORATION	CRD# 1137	DES MOINES, IA
B	02/20/1997 - 08/01/1997	JEFFERSON-PILOT INVESTOR SERVICES, INC.	CRD# 5178	FORT WAYNE, IN

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
08/2025 - Present	Blueprint Financial Advisors LLC	Investment Adviser Representative	Y	Greensboro, NC, United States
08/2025 - Present	Maplewood Investments Inc	Registered Representative	Y	Greensboro, NC, United States
06/2024 - 08/2025	OSAIC WEALTH, INC.	Mass Transfer	Y	GREENSBORO, NC, United States
06/2024 - 08/2025	OSAIC WEALTH, INC.	Mass Transfer	Y	GREENSBORO, NC, United States
09/2015 - 06/2024	SECURITIES AMERICA ADVISORS	IAR	Y	GREENSBORO, NC, United States
09/2015 - 06/2024	SECURITIES AMERICA INC	REGISTERED REP	Y	GREENSBORO, NC, 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.

***THE FELLOWSHIP

POSITION: Chairman NATURE: Church INVESTMENT RELATED: No NUMBER OF HOURS: 12 SECURITIES TRADING HOURS: 12 START DATE: 08/02/1999 ADDRESS: 6636 Hunt Road, Pleasant Garden NC 27313 DESCRIPTION: I am the chairman of the board and have the responsibility of meeting with the pastor and one other member once per week. The purpose of these meetings is to provide general direction of the activities of the church. In addition, I help make financial decisions on behalf of the church. I am also responsible to help set up the equipment and be asked to prepare sermons to fill in for the pastor.

***M.O.V.E. MEN OF VISION AND EXCELLENCE

POSITION: Board Member NATURE: Non-Profit INVESTMENT RELATED: No NUMBER OF HOURS: 3 SECURITIES TRADING HOURS: 3 START DATE: 08/01/2007 ADDRESS: PO Box 4511, GREENSBORO NC 27404 DESCRIPTION: Board member providing general direction of the ministry as well as speaking occasionally.

***MIDTOWN FINANCIAL ADVISORS

POSITION: Managing Partner NATURE: SECURITIES AMERICA ADVISORS - INVESTMENT ADVISORY - IAR INVESTMENT RELATED: Yes NUMBER OF HOURS: 150 SECURITIES TRADING HOURS: 150 START DATE: 09/01/2015 ADDRESS: 1301-C W Wendover Avenue, Greensboro NC 27408 DESCRIPTION: We affiliated with SAA and SAI and offer investment services and products to our clients through the offerings available to us.

***FIXED INSURANCE

POSITION: Producer NATURE: Fixed Insurance to include fixed annuities, equity index annuities, universal and equity index life, whole life and term life insurance. This would also include disability insurance. INVESTMENT RELATED: No NUMBER OF HOURS: 2 SECURITIES TRADING HOURS: 2 START DATE: 09/01/2015 ADDRESS: 1301-C W Wendover Avenue, Greensboro NC 27408 DESCRIPTION: Occasionally, an SAI or SAA client will request a fixed insurance product and we have the resources to provide options to them.

***NC HEAT ASSOCIATION BASKETBALL

POSITION: Treasurer NATURE: Treasurer for NC Heat Basketball Program: NC Heat is a non-profit home school basketball program where my 2 kids play. I collect the dues, deposit the money from concessions, dues and donations to the local bank. I can write checks as well as utilize a NC Heat Debit Card. INVESTMENT RELATED: No NUMBER OF HOURS: 13 SECURITIES TRADING HOURS: 7 START DATE: 11/01/2022 ADDRESS: 4821 Fox Chase Road, Greensboro NC 27410 DESCRIPTION: I am the treasurer and am responsible for collecting deposits of all types and keeping the receipts for everything spent and deposited. I do not fundraise and answer to the athletic director and board with financial updates.

***FOUNDATION STRATEGIES, LLC

POSITION: Owner NATURE: This is a corporation where I am the sole owner and only owner. It was created only for tax purposes. 100% of all my commission and fees deposited into my personal commission and fee account, are deposited into my business checking account each week. I pay myself, all business expenses and employees from this account. This is not a DBA and is not used in any form for business purposes. I do not have a website for this corp or any emails or letterhead. It is solely for receiving commissions and fees and paying business expenses. INVESTMENT RELATED: No NUMBER OF HOURS: 5 SECURITIES TRADING HOURS: 0 START DATE: 11/03/2003 ADDRESS: 4821 Fox Chase Road, Greensboro NC 27410, United States DESCRIPTION: 100% for business and payroll expenses. It is not a DBA.



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:	WOODBURY FINANCIAL SERVICES, INC.
Allegations:	CUSTOMER ALLEGES MISREPRESENTATION IN CONNECTION WITH THE PURCHASE OF AN EQUITY INDEXED ANNUITY IN SEPTEMBER 2014.
Product Type:	Other: EQUITY INDEXED ANNUITY
Alleged Damages:	\$0.00
Alleged Damages Amount Explanation (if amount not exact):	ALLEGED DAMAGES ARE GREATER THAN \$5,000
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:	03/05/2015
Complaint Pending?	No
Status:	Withdrawn
Status Date:	03/09/2015
Settlement Amount:	



**Individual Contribution
Amount:**

Broker Statement

THE COMPLAINT IS WITHOUT MERIT. AFTER SUBMITTING A COMPLAINT, CUSTOMER RECANTED AND SENT IN A SUBSEQUENT LETTER WITHDRAWING HER COMPLAINT AND STATED THAT SHE REALIZED SHE HAD MADE AN ERROR IN HER ASSUMPTIONS REGARDING THE PRODUCT AT ISSUE.



End of Report

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