



IAPD Report

JOHN CODY MILLER

CRD# 2937577

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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

JOHN CODY MILLER (CRD# 2937577)

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 **05/18/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	SANCTUARY SECURITIES, INC.	CRD# 205	03/08/2024
IA	SANCTUARY ADVISORS, LLC	CRD# 226606	03/08/2024

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **1** 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	STIFEL, NICOLAUS & COMPANY, INCORPORATED	793	INDIANAPOLIS, IN	02/28/2017 - 03/15/2024
IA	STIFEL, NICOLAUS & COMPANY, INCORPORATED	793	INDIANAPOLIS, IN	02/28/2017 - 03/15/2024
B	CITY SECURITIES CORPORATION	1459	INDIANAPOLIS, IN	10/08/2010 - 02/28/2017

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

Employment 1 of 2

Firm Name: **SANCTUARY SECURITIES, INC.**
Main Address: 1450 BRICKELL AVENUE
SUITE 2120
MIAMI, FL 33131
Firm ID#: 205

	Regulator	Registration	Status	Date
	FINRA	General Securities Representative	Approved	03/08/2024
	Indiana	Agent	Approved	03/18/2024

Branch Office Locations

DAVID A. NOYES & COMPANY
3815 RIVER CROSSING PKWY
SUITE 200
INDIANAPOLIS, IN 46240

Employment 2 of 2

Firm Name: **SANCTUARY ADVISORS, LLC**
Main Address: 1450 BRICKELL AVENUE
SUITE 2120
MIAMI, FL 33131
Firm ID#: 226606

	Regulator	Registration	Status	Date
	Indiana	Investment Adviser Representative	Approved	03/08/2024

Branch Office Locations

SANCTUARY ADVISORS, LLC
3815 RIVER CROSSING PKWY
STE 200
INDIANAPOLIS, IN 46240



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
B Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
B General Securities Representative Examination (S7)	Series 7	06/24/1998

State Securities Law Exams

Exam	Category	Date
IA Uniform Investment Adviser Law Examination (S65)	Series 65	10/05/2005
B Uniform Securities Agent State Law Examination (S63)	Series 63	08/27/1998



PROFESSIONAL DESIGNATIONS

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

Certified Financial Planner

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	02/28/2017 - 03/15/2024	STIFEL, NICOLAUS & COMPANY, INCORPORATED	CRD# 793	INDIANAPOLIS, IN
IA	02/28/2017 - 03/15/2024	STIFEL, NICOLAUS & COMPANY, INCORPORATED	CRD# 793	INDIANAPOLIS, IN
B	10/08/2010 - 02/28/2017	CITY SECURITIES CORPORATION	CRD# 1459	INDIANAPOLIS, IN
IA	10/08/2010 - 02/28/2017	CITY SECURITIES CORPORATION	CRD# 1459	INDIANAPOLIS, IN
B	11/13/2009 - 10/12/2010	PNC INVESTMENTS	CRD# 129052	INDIANAPOLIS, IN
IA	11/13/2009 - 10/12/2010	PNC INVESTMENTS	CRD# 129052	INDIANAPOLIS, IN
IA	10/19/2005 - 11/13/2009	NATCITY INVESTMENTS, INC.	CRD# 17490	INDIANAPOLIS, IN
B	07/14/1998 - 11/13/2009	NATCITY INVESTMENTS, INC.	CRD# 17490	INDIANAPOLIS, IN
B	06/29/1998 - 07/22/1998	CHARLES SCHWAB & CO., INC.	CRD# 5393	WESTLAKE, TX

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
03/2024 - Present	SANCTUARY ADVISORS LLC	INVESTMENT ADVISER REPRESENTATIVE	Y	INDIANAPOLIS, IN, United States
03/2024 - Present	SANCTUARY SECURITIES, INC.	REGISTERED REPRESENTATIVE	Y	INDIANAPOLIS, IN, United States
02/2017 - 03/2024	STIFEL, NICOLAUS & COMPANY, INCORPORATED	Mass Transfer	Y	ST. LOUIS, MO, United States
10/2010 - 02/2017	CITY SECURITIES CORPORATION	VP/FINANCIAL ADVISOR	Y	INDIANAPOLIS, IN, 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) 91 PLACE

POSITION: Board member

NATURE: Our mission is to establish consistent and healthy relationships with youth experiencing homelessness through stable housing, mental health supports, and workforce development opportunities.

INVESTMENT RELATED: No

NUMBER OF HOURS: 3

SECURITIES TRADING HOURS: 0

START DATE: 11/14/2025

ADDRESS: 1125 E Brookside Ave. Ste 50, Indianapolis IN 46202, United States

DESCRIPTION: Member of the board

2) AVONDALE MEADOWS YMCA

POSITION: Board member

NATURE: We support children and their families through all the stages of growing up. Our early childhood programs teach essential social and academic skills. Our swim lessons instill confidence and save lives. Our youth sports help athletes get active and connected. And our teen programs empower students--preparing them for college or careers, teaching leadership skills and helping them give back to their community.

INVESTMENT RELATED: No

NUMBER OF HOURS: 3

SECURITIES TRADING HOURS: 0

START DATE: 11/19/2025

ADDRESS: 3908 Meadows Ave, Indianapolis IN 46205, United States

DESCRIPTION: Member of the board

3) JEM2024 LLC

POSITION: Owner

NATURE: General Management Consulting Services for M&K Legacy Wealth.

INVESTMENT RELATED: Yes

NUMBER OF HOURS: 20

SECURITIES TRADING HOURS: 8

START DATE: 03/11/2024

ADDRESS: 2589 Propellor Drive, Indianapolis IN 46234, United States

DESCRIPTION: Owner



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
Regulatory Event	2
Customer Dispute	1

Regulatory Event

This disclosure event may include a final, formal proceeding initiated by a regulatory authority (e.g., a state securities agency, a federal regulator such as the Securities and Exchange Commission or the Commodities Futures Trading Commission, or a foreign financial regulatory body) for a violation of investment-related rules or regulations. This disclosure event may also include a revocation or suspension of an Investment Adviser Representative's authority to act as an attorney, accountant or federal contractor.

Disclosure 1 of 2

Reporting Source:	Individual
Regulatory Action Initiated By:	Indiana Department of Insurance
Sanction(s) Sought:	Monetary Penalty other than Fines
Date Initiated:	11/19/2015
Docket/Case Number:	14315-AG15-1208-307
Employing firm when activity occurred which led to the regulatory action:	City Securities Corporation
Product Type:	No Product
Allegations:	Failure to file report to the Department of Insurance.
Current Status:	Final
Resolution:	Settled
Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct?	No
Resolution Date:	06/23/2016
Sanctions Ordered:	Monetary Penalty other than Fines

Monetary Sanction 1 of 1



Monetary Related Sanction: Civil and Administrative Penalty(ies)/Fine(s)

Total Amount: \$1,000.00

Portion Levied against individual: \$1,000.00

Payment Plan:

Is Payment Plan Current:

Date Paid by individual: 06/23/2016

Was any portion of penalty waived? No

Amount Waived:

Disclosure 2 of 2

Reporting Source: Regulator

Regulatory Action Initiated By: FINRA

Sanction(s) Sought:

Date Initiated: 04/10/2015

Docket/Case Number: [2014040152801](#)

Employing firm when activity occurred which led to the regulatory action: CITY SECURITIES CORPORATION

Product Type: Other: UNSPECIFIED SECURITIES

Allegations: WITHOUT ADMITTING OR DENYING THE FINDINGS, MILLER CONSENTED TO THE SANCTIONS AND TO THE ENTRY OF FINDINGS THAT HE EXERCISED DISCRETION IN EXECUTING TRANSACTIONS IN THE ACCOUNTS OF APPROXIMATELY 90 CUSTOMERS IN VIOLATION OF HIS MEMBER FIRM'S POLICIES AND PROCEDURES. THE FINDINGS STATED THAT MILLER RECEIVED PRIOR VERBAL AUTHORIZATION FROM HIS CUSTOMERS FOR PURCHASES AND SALES OF PRODUCTS CONSISTENT WITH THEIR INVESTMENT STRATEGIES, BUT EXERCISED HIS DISCRETION IN EXECUTING THOSE TRANSACTIONS ON FUTURE DATES. MILLER DID NOT OBTAIN WRITTEN AUTHORIZATION FROM HIS CUSTOMERS TO EXERCISE DISCRETION IN THEIR ACCOUNTS AND THE FIRM DID NOT APPROVE THESE ACCOUNTS FOR DISCRETIONARY TRADING.

Current Status: Final

Resolution: Acceptance, Waiver & Consent(AWC)

Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct? No

Resolution Date: 04/10/2015

Sanctions Ordered: Civil and Administrative Penalty(ies)/Fine(s)
Suspension



If the regulator is the SEC, CFTC, or an SRO, did the action result in a finding of a willful violation or failure to supervise?

No

(1) willfully violated any provision of the Securities Act of 1933, the Securities Exchange Act of 1934, the Investment Advisers Act of 1940, the Investment Company Act of 1940, the Commodity Exchange Act, or any rule or regulation under any of such Acts, or any of the rules of the Municipal Securities Rulemaking Board, or to have been unable to comply with any provision of such Act, rule or regulation?

(2) willfully aided, abetted, counseled, commanded, induced, or procured the violation by any person of any provision of the Securities Act of 1933, the Securities Exchange Act of 1934, the Investment Advisers Act of 1940, the Investment Company Act of 1940, the Commodity Exchange Act, or any rule or regulation under any of such Acts, or any of the rules of the Municipal Securities Rulemaking Board? or

(3) failed reasonably to supervise another person subject to your supervision, with a view to preventing the violation by such person of any provision of the Securities Act of 1933, the Securities Exchange Act of 1934, the Investment Advisers Act of 1940, the Investment Company Act of 1940, the Commodity Exchange Act, or any rule or regulation under any such Acts, or any of the rules of the Municipal Securities Rulemaking Board?

**Sanction 1 of 1**

Sanction Type: Suspension
Capacities Affected: ANY CAPACITY
Duration: 20 BUSINESS DAYS
Start Date: 05/04/2015
End Date: 06/01/2015

Monetary Sanction 1 of 1

Monetary Related Sanction: Civil and Administrative Penalty(ies)/Fine(s)
Total Amount: \$10,000.00
Portion Levied against individual: \$10,000.00
Payment Plan:
Is Payment Plan Current:
Date Paid by individual: 05/04/2015
Was any portion of penalty waived? No
Amount Waived:

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Reporting Source: Individual
Regulatory Action Initiated By: FINRA
Sanction(s) Sought:
Date Initiated: 03/13/2015
Docket/Case Number: 20140401528
Employing firm when activity occurred which led to the regulatory action: CITY SECURITIES CORPORATION

Product Type: Other: UNSPECIFIED SECURITIES

Allegations: WITHOUT ADMITTING OR DENYING THE FINDINGS, MILLER CONSENTED TO THE SANCTIONS AND TO THE ENTRY OF FINDINGS THAT HE EXERCISED DISCRETION IN EXECUTING TRANSACTIONS IN THE ACCOUNTS OF APPROXIMATELY 90 CUSTOMERS. THE FINDINGS STATED THAT MILLER RECEIVED PRIOR VERBAL AUTHORIZATION FROM HIS CUSTOMERS FOR PURCHASES AND SALES OF PRODUCTS CONSISTENT WITH THEIR INVESTMENT STRATEGIES, BUT EXERCISED HIS DISCRETION IN EXECUTING THOSE TRANSACTIONS ON FUTURE DATES. MILLER DID NOT OBTAIN WRITTEN AUTHORIZATION FROM HIS CUSTOMERS TO EXERCISE DISCRETION IN THEIR ACCOUNTS. MILLER'S MEMBER FIRM DID NOT APPROVE THESE ACCOUNTS FOR DISCRETIONARY TRADING AND BY EXERCISING DISCRETION IN HIS CUSTOMERS' ACCOUNTS, MILLER VIOLATED THE FIRM'S POLICIES AND PROCEDURES.

Current Status: Final

Resolution: Acceptance, Waiver & Consent(AWC)



Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct?	No
Resolution Date:	04/10/2015
Sanctions Ordered:	Suspension
Sanction 1 of 1	
Sanction Type:	Suspension
Capacities Affected:	ANY CAPACITY
Duration:	20 BUSINESS DAYS
Start Date:	05/04/2015
End Date:	06/01/2015
Monetary Sanction 1 of 2	
Monetary Related Sanction:	Civil and Administrative Penalty(ies)/Fine(s)
Total Amount:	\$10,000.00
Portion Levied against individual:	\$10,000.00
Payment Plan:	
Is Payment Plan Current:	
Date Paid by individual:	04/28/2015
Was any portion of penalty waived?	No
Amount Waived:	
Monetary Sanction 2 of 2	
Monetary Related Sanction:	Civil and Administrative Penalty(ies)/Fine(s)
Total Amount:	\$10,000.00
Portion Levied against individual:	\$10,000.00
Payment Plan:	
Is Payment Plan Current:	
Date Paid by individual:	
Was any portion of penalty waived?	No
Amount Waived:	



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:	NATCITY INVESTMENTS INC.
Allegations:	REPRESENTATIVE TENDERED SHARES OF BIOMET DURING AN OPTIONAL TENDER WITHOUT THE CUSTOMERS CONSENT.
Product Type:	Equity - OTC
Alleged Damages:	\$14,884.00

Customer Complaint Information

Date Complaint Received:	09/12/2007
Complaint Pending?	No
Status:	Settled
Status Date:	03/18/2008
Settlement Amount:	\$14,884.00
Individual Contribution Amount:	\$7,442.00
Broker Statement	SETTLEMENT OF VERBAL COMPLAINT.



End of Report

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