



IAPD Report

BRAD FREDERICK FORTIER

CRD# 3006495

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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 FREDERICK FORTIER (CRD# 3006495)

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 **12/13/2024**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	LPL FINANCIAL LLC	CRD# 6413	08/18/2005
IA	LPL FINANCIAL LLC	CRD# 6413	01/20/2006

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **14** 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	MORGAN STANLEY	7556	NEW ORLEANS, LA	07/28/2005 - 08/29/2005
B	MORGAN STANLEY DW INC.	7556	PURCHASE, NY	01/31/2003 - 08/29/2005
B	CUNA BROKERAGE SERVICES, INC.	13941	WAVERLY, IA	10/14/1999 - 02/05/2003

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	2



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 **14** 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	08/18/2005
B	FINRA	Municipal Securities Representative	Approved	08/18/2005
B	FINRA	General Securities Principal	Approved	03/02/2010
B	Alabama	Agent	Approved	08/18/2005
B	California	Agent	Approved	11/08/2019
B	Florida	Agent	Approved	05/08/2008
B	Georgia	Agent	Approved	07/26/2011
B	Illinois	Agent	Approved	05/07/2015
B	Louisiana	Agent	Approved	08/18/2005
IA	Louisiana	Investment Adviser Representative	Approved	01/20/2006
B	Mississippi	Agent	Approved	01/11/2010
B	New York	Agent	Approved	12/01/2021
B	North Carolina	Agent	Approved	11/12/2013



Qualifications

Regulator	Registration	Status	Date
B Oregon	Agent	Approved	12/19/2016
B South Carolina	Agent	Approved	12/16/2024
B Tennessee	Agent	Approved	01/22/2018
B Texas	Agent	Approved	01/12/2010
IA Texas	Investment Adviser Representative	Restricted Approval	08/29/2012
B Washington	Agent	Approved	09/22/2020

Branch Office Locations

LPL FINANCIAL LLC
5937 CATINA STREET
NEW ORLEANS, LA 70124-1930



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 1 principal/supervisory exam, 4 general industry/product exams, and 1 state securities law exam.

Principal/Supervisory Exams

	Exam	Category	Date
	General Securities Principal Examination (S24)	Series 24	03/01/2010

General Industry/Product Exams

	Exam	Category	Date
	Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
	Futures Managed Funds Examination (S31)	Series 31	12/18/2003
	General Securities Representative Examination (S7)	Series 7	06/04/1998
	Municipal Securities Representative Examination (S52)	Series 52	02/20/1998

State Securities Law Exams

	Exam	Category	Date
	Uniform Securities Agent State Law Examination (S63)	Series 63	03/06/1998

PROFESSIONAL DESIGNATIONS

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

Certified Financial Planner

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	07/28/2005 - 08/29/2005	MORGAN STANLEY	CRD# 7556	NEW ORLEANS, LA
B	01/31/2003 - 08/29/2005	MORGAN STANLEY DW INC.	CRD# 7556	PURCHASE, NY
B	10/14/1999 - 02/05/2003	CUNA BROKERAGE SERVICES, INC.	CRD# 13941	WAVERLY, IA
B	09/18/1998 - 10/22/1999	MORGAN KEEGAN & COMPANY, INC.	CRD# 4161	MEMPHIS, TN
B	02/26/1998 - 10/28/1998	OLDE DISCOUNT CORPORATION	CRD# 5979	DETROIT, MI

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
08/2005 - Present	LPL FINANCIAL LLC	REGISTERED REPRESENTATIVE	Y	NEW ORLEANS, LA, 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) 03/18/2010: Fortier Financial - Business Entity For Tax/Investment Purposes Only - INV REL - At Reported Business Location(s) - LLC is for record keeping purposes only
- (2) 04/14/2010: Fortier Financial - DBA for LPL Business (entity for LPL business) - INV REL - At Reported Business Location(s)
- (3) 02/15/2011: Brad F Fortier, LLC - Business Entity For Tax/Investment Purposes Only - INV REL - At Reported Business Location(s) - tax entity - No Time Spent
- (4) 10/25/2011: DMI - Non-Variable Insurance - INV REL - At Reported Business Location(s) - sell direct insurance business through a company called dmi. they mentioned being accepted in Ipl's system - 5% Time Spent
- (5) 06/23/2012: No Business Name - Author - NOT INV REL - At Reported Business Location(s) - i wrote a book called "Dear Kate" that has been submitted and approved by home office. I am now seeking permission to sell the book although I am finding that I am giving most copies away as a business building activity - 1% Time Spent
- (6) 09/25/2014: No Business Name - Non-Variable Insurance - INV REL - 230 polk st suite a nola 70124 - Start 09/18/2014 - doing outside insurance business for fixed and life business - 3 Hr/Mo; 1 Hours During Securities Trading



Registration & Employment History



OTHER BUSINESS ACTIVITIES

(7) 08/26/2016: Advantage Network - Non-Variable Insurance - INV REL - 5937 Catina Street New Orleans, LA 70124 - Start 06/28/2016 - 5 Hr/Mo; 2 Hours During Securities Trading

(8) 08/30/2016: fortier financial - Non-Variable Insurance - INV REL - 5937 Catina Street New Orleans, LA 70124 - Start 07/29/2016 - 5 Hr/Mo; 5 Hours During Securities Trading

(9) 08/30/2016: Advantage Network - Non-Variable Insurance - INV REL - 5937 Catina Street New Orleans, LA 70124 - Start 06/28/2016 - 5 Hr/Mo; 2 Hours During Securities Trading

(10) 5/30/2018 - No Business Name - Not Investment Related - 5937 CATINA ST SUITE B - Real Estate Rental - Start Date: 05/16/2018 - 0 Hours Per Month.

(11) 4/11/2019 - No Business Name - Investment Related - New Orleans LA 70118 - Real Estate Rental - Started 12/07/2018 - 2 Hours Per Month/0 Hours During Securities Trading - Own one rental property that is producing income. Sold 6932 pontchartrain and used proceeds to buy 4plex.



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	2

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 2

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	LPL FINANCIAL LLC
Allegations:	CUSTOMER ALLEGED THAT SHE WAS NOT ADVISED OF LIQUIDITY RESTRICTIONS OF INVESTMENTS, AND SOUGHT RETURN OF INITIAL INVESTMENT. ACTIVITY PERIOD: 1/16/14 TO 1/21/14.
Product Type:	Real Estate Security
Alleged Damages:	\$0.00
Alleged Damages Amount Explanation (if amount not exact):	ALLEGED COMPENSATORY AMOUNT IS UNSPECIFIED BUT OVER \$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:	01/22/2019
Complaint Pending?	No
Status:	Denied
Status Date:	02/08/2019



Settlement Amount:

Individual Contribution Amount:

Broker Statement

CUSTOMER'S CLAIM HAS BEEN DENIED. THE INVESTMENT RATIONALE FOR ALLOCATING APPROXIMATELY 17% OF CUSTOMER'S ACCOUNT TO ALTERNATIVE INVESTMENTS WAS SPECIFICALLY DISCUSSED. RESTRICTIONS ON LIQUIDITY WERE SPECIFICALLY NOTED BOTH VERBALLY AND IN DOCUMENTS THAT THE CUSTOMER SIGNED, AND THE CUSTOMER ALSO INITIATED ACKNOWLEDGEMENTS OF HER UNDERSTANDING OF THIS IN THE SUBSCRIPTION AGREEMENTS FOR BOTH INVESTMENTS. BASED ON VALUATIONS PROVIDED BY THE ISSUERS, CUSTOMER'S INVESTMENTS HAVE INCREASED IN VALUE FROM \$43,600 TO APPROXIMATELY \$53,571.

Disclosure 2 of 2

Reporting Source:

Regulator

Employing firm when activities occurred which led to the complaint:

CUNA BROKERAGE SERVICES, INC.

Allegations:

BREACH OF CONTRACT, BREACH OF FIDUCIARY DUTY, NEGLIGENCE, UNSUITABILITY, MISREPRESENTATION

Product Type:

Mutual Fund

Alleged Damages:

\$423,591.00

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.:

[NASD - CASE #06-03143](#)

Date Notice/Process Served:

06/30/2006

Arbitration Pending?

No

Disposition:

Settled

Disposition Date:

03/08/2010

Disposition Detail:

PER FIRM, THE ARBITRATION WAS SETTLED MARCH 8, 2010.

Regulator Statement

5/18/07: CLAIMANT'S CLAIMS ARE DISMISSED IN THEIR ENTIRETY WITH PREJUDICE.
FINRA DISPUTE RESOLUTION RECEIVED CLAIMANT'S LETTER DATED APRIL 5, 2009 ACCOMPANIED BY AN ORDER AND APPEAL IN CONNECTION WITH CLAIMANT'S MOTION TO VACATE. COURT VACATUR OF AWARD AND REMAND REC'D 04/20/09. 05/29/09 FINRA DISPUTE RESOLUTION RECEIVED PARTIES' RESPECTIVE CORRESPONDENCE FOLLOWING AN ORDER AND APPEAL IN CONNECTION WITH CLAIMANT'S MOTION TO VACATE. AFTER CONSIDERATION OF THE PARTIES' CORRESPONDENCE AND THE ORDER AND APPEAL, FINRA DISPUTE RESOLUTION WILL PROCEED TO RECONSTITUTE AN ARBITRATION PANEL CONSISTING OF THREE NEW ARBITRATORS.

Reporting Source:

Firm



Employing firm when activities occurred which led to the complaint: CUNA BROKERAGE SERVICES, INC.

Allegations: SEVERAL ALLEGATIONS ARE NOTED IN THE STATEMENT OF CLAIM. CUSTOMER CLAIMS REPRESENTATIVE FAILED TO PROVIDE PROPER ASSET ALLOCATION TO MEET CUSTOMER'S RETIREMENT NEEDS.

Product Type: Mutual Fund

Alleged Damages: \$0.00

Alleged Damages Amount Explanation (if amount not exact): GOOD FAITH DETERMINATION ESTIMATES ALLEGED DAMAGES TO BE GREATER THAN \$5000.

Is this an oral complaint? No

Is this a written complaint? No

Is this an arbitration/CFTC reparation or civil litigation? Yes

Arbitration/Reparation forum or court name and location: NASD/FINRA

Docket/Case #: CASE NUMBER 06-30143

Filing date of arbitration/CFTC reparation or civil litigation: 07/10/2006

Customer Complaint Information

Date Complaint Received: 04/21/2009

Complaint Pending? No

Status: Evolved into Arbitration/CFTC reparation (the individual is a named party)

Status Date: 04/21/2009

Settlement Amount:

Individual Contribution Amount:

Arbitration Information

Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.): NASD/FINRA

Docket/Case #: 06-30143

Date Notice/Process Served: 07/10/2006

Arbitration Pending? No

Disposition: Settled

Disposition Date: 03/08/2010

Monetary Compensation Amount: \$45,000.00

Individual Contribution Amount: \$0.00

**Firm Statement**

THE ARBITRATION WAS SETTLED BY THE FIRM TO AVOID FURTHER TIME AND EXPENSE ASSOCIATED WITH FULL ARBITRATION OF THE MATTER AND WAS NOT AN ADMISSION OF ANY LIABILITY TO THE CLAIMANT ON THE PART OF THE REPRESENTATIVE OR THE FIRM.

Reporting Source:

Individual

Employing firm when activities occurred which led to the complaint:

CUNA BROKERAGE SERVICES, INC.

Allegations:

AS IN ANY ARBITRATION, SEVERAL ALLEGATIONS ARE NOTED IN THE STATEMENT OF CLAIM. CUSTOMER CLAIMS REP FAILED TO PROVIDE ASSET ALLOCATION TO MEET CUSTOMER'S RETIREMENT NEEDS. NO COMPEATORY DAMAGES WERE INDICATED HOWEVER THE CLIENT REQUESTED RELIEF IN THE FORM OF ACTUAL DAMAGES, INTEREST, RESONABLE ATTORNEY FEES, PUNITIVE DAMAGES, FORUM FEES AND OTHER COSTS AND AN AMOUNT SUFFICIENT TO PAY CLIENT \$1,008.55 PER MONTH FOR LIFE.

Product Type:

Mutual Fund

Alleged Damages:

\$0.00

Alleged Damages Amount Explanation (if amount not exact):

GOOD FAITH DETERMINATION ESTIMATES ALLEGED DAMAGES TO BE GREATER THAN \$5000.

Is this an oral complaint?

No

Is this a written complaint?

No

Is this an arbitration/CFTC reparation or civil litigation?

Yes

Arbitration/Reparation forum or court name and location:

FINRA

Docket/Case #:

06-30143

Filing date of arbitration/CFTC reparation or civil litigation:

07/10/2006

Customer Complaint Information**Date Complaint Received:**

04/21/2009

Complaint Pending?

No

Status:

Evolved into Arbitration/CFTC reparation (the individual is a named party)

Status Date:

04/21/2009

Settlement Amount:**Individual Contribution Amount:****Arbitration Information****Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.):**

FINRA



Docket/Case #: 06-30143
Date Notice/Process Served: 07/10/2006
Arbitration Pending? No
Disposition: Settled
Disposition Date: 03/08/2010
Monetary Compensation Amount: \$45,000.00
Individual Contribution Amount: \$0.00

Broker Statement THE ARBITRATION WAS SETTLED BY THE FIRM TO AVOID FURTHER TIME AND EXPENSE ASSOCIATED WITH FULL ARBITRATION OF THE MATTER AND WAS NOT AN ADMISSION OF ANY LIABILITY TO THE CLAIMANT ON THE PART OF THE REPRESENTATIVE OR THE FIRM. ***MATTER WAS STILL CURRENTLY PENDING AS OF 2/4/10 HOWEVER THE RADIAL BUTTON DUE TO THE ORIGINAL DISMISSAL WILL NOT LET FILE AMENDMENT AS PENDING. *** ARBITRATION INITIALLY DISMISSED ON 5/18/07. SUPREME COURT OF LOUISIANA REMANDED CASE BACK TO FINRA ARBITRATION ON 1/9/09. CLAIMANT RE-FILED IN APRIL 2009.



End of Report

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