



## IAPD Report

# ROXANE KAY MILLER

CRD# 3105071

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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

### ROXANE KAY MILLER (CRD# 3105071)

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 **05/11/2026**.

### CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
<b>B</b>	LPL ENTERPRISE, LLC	CRD# 8733	06/05/2024
<b>IA</b>	LPL ENTERPRISE, LLC	CRD# 8733	08/28/2024
<b>B</b>	LPL FINANCIAL LLC	CRD# 6413	06/26/2025

### QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **3** 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>B</b>	LPL FINANCIAL LLC	6413	BEAVERCREEK, OH	01/20/2015 - 06/06/2024
<b>IA</b>	LPL FINANCIAL LLC	6413	BEAVERCREEK, OH	01/20/2015 - 06/06/2024
<b>IA</b>	LINCOLN INVESTMENT PLANNING, INC	519	CINCINNATI, OH	01/27/2014 - 11/14/2014

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? **No**



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

#### Employment 1 of 2

Firm Name: **LPL FINANCIAL LLC**  
Main Address: 1055 LPL WAY  
FORT MILL, SC 29715  
Firm ID#: 6413

Regulator	Registration	Status	Date
<b>B</b> FINRA	General Securities Principal	Approved	06/26/2025
<b>B</b> FINRA	General Securities Representative	Approved	06/26/2025
<b>B</b> FINRA	Municipal Securities Principal	Approved	06/26/2025
<b>B</b> FINRA	Municipal Securities Representative	Approved	06/26/2025

#### Branch Office Locations

**LPL FINANCIAL LLC**  
2057 OCEAN PEARL RD  
Corolla, NC 27927

#### Employment 2 of 2

Firm Name: **LPL ENTERPRISE, LLC**  
Main Address: 1055 LPL WAY  
FORT MILL, SC 29715  
Firm ID#: 8733

Regulator	Registration	Status	Date
<b>B</b> FINRA	General Securities Principal	Approved	06/05/2024
<b>B</b> FINRA	General Securities Representative	Approved	06/05/2024
<b>B</b> FINRA	Municipal Securities Principal	Approved	06/05/2024



### Qualifications

Regulator	Registration	Status	Date
<b>B</b> FINRA	Municipal Securities Representative	Approved	06/05/2024
<b>B</b> North Carolina	Agent	Approved	07/09/2024
<b>IA</b> North Carolina	Investment Adviser Representative	Approved	08/29/2024
<b>B</b> Ohio	Agent	Approved	06/06/2024
<b>IA</b> Ohio	Investment Adviser Representative	Approved	08/28/2024
<b>B</b> South Carolina	Agent	Approved	07/03/2024
<b>IA</b> South Carolina	Investment Adviser Representative	Approved	08/30/2024

### Branch Office Locations

**LPL ENTERPRISE, LLC**  
COROLLA, NC



## 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 2 principal/supervisory exams, 4 general industry/product exams, and 2 state securities law exams.**

#### Principal/Supervisory Exams

Exam	Category	Date
Municipal Securities Principal Examination (S53)	Series 53	09/29/2009
General Securities Principal Examination (S24)	Series 24	07/01/2008

#### General Industry/Product Exams

Exam	Category	Date
Municipal Securities Representative Examination (S52TO)	Series 52TO	01/02/2023
Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
General Securities Representative Examination (S7)	Series 7	09/19/2003
Investment Company Products/Variable Contracts Representative Examination (S6)	Series 6	09/14/1998

#### State Securities Law Exams

Exam	Category	Date
Uniform Combined State Law Examination (S66)	Series 66	01/16/2004
Uniform Securities Agent State Law Examination (S63)	Series 63	09/16/1998

### 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	01/20/2015 - 06/06/2024	LPL FINANCIAL LLC	CRD# 6413	BEAVERCREEK, OH
IA	01/20/2015 - 06/06/2024	LPL FINANCIAL LLC	CRD# 6413	BEAVERCREEK, OH
IA	01/27/2014 - 11/14/2014	LINCOLN INVESTMENT PLANNING, INC	CRD# 519	CINCINNATI, OH
B	01/24/2014 - 11/14/2014	LINCOLN INVESTMENT	CRD# 519	CINCINNATI, OH
IA	05/22/2007 - 01/17/2014	FIFTH THIRD SECURITIES, INC.	CRD# 628	CHILLICOTHE, OH
B	05/09/2005 - 01/17/2014	FIFTH THIRD SECURITIES, INC.	CRD# 628	CHILLICOTHE, OH
IA	01/19/2004 - 08/11/2004	UBOC INVESTMENT SERVICES, INC.	CRD# 14455	OCEANSIDE, CA
B	09/22/2003 - 08/11/2004	UBOC INVESTMENT SERVICES, INC.	CRD# 14455	ST. PAUL, MN
B	09/15/1998 - 12/08/1999	FIRST UNION BROKERAGE SERVICES, INC.	CRD# 8112	CHARLOTTE, NC

#### 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
12/2014 - Present	LPL FINANCIAL LLC	HOME OFFICE EMPLOYEE	Y	COROLLA, NC, 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) 04/29/2025-Roxane Miller-Cleaner-Outside/W-2 Employment-Not inv related-At Corolla, NC- Start date 06/01/2025-12hrs/mth-0hrs/mth during trading
- 2) 04/29/2025-The North End Company LLC-Pool cleaner-Outside/W-2 Employment-Not inv related-At Corolla, NC-Start date 05/19/2025-30hrs/mth-3hrs/mth during trading
- 3) 10/15/2025-Sapphire Court Reporting-Scoping-Outside/W-2 Employment-Not inv related-At Corolla, NC-Start date 10/20/2025-40hrs/mth-5hrs/mth during trading



## End of Report

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