IAPD Report

BRADLEY ROSS THOMPSON

CRD# 3233338

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

BRADLEY ROSS THOMPSON (CRD# 3233338)

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 **06/15/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	OSAIC WEALTH, INC.	CRD# 23131	04/21/2026
IA	OSAIC WEALTH, INC.	CRD# 23131	04/21/2026

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **16** 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	KOVACK SECURITIES INC.	44848	Windsor, CO	12/11/2017 - 04/23/2026
IA	KOVACK ADVISORS, INC.	140808	Windsor, CO	05/31/2016 - 04/23/2026
B	LPL FINANCIAL LLC	6413	FT COLLINS, CO	12/16/2009 - 06/14/2016

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

Employment 1 of 1

Firm Name: **OSAIC WEALTH, INC.**

Main Address: 18700 N. HAYDEN ROAD
SUITE 255
SCOTTSDALE, AZ 85255

Firm ID#: 23131

	Regulator	Registration	Status	Date
B	FINRA	General Securities Representative	Approved	04/21/2026
B	Arizona	Agent	Approved	04/21/2026
B	California	Agent	Approved	04/21/2026
B	Colorado	Agent	Approved	04/21/2026
IA	Colorado	Investment Adviser Representative	Approved	04/21/2026
B	Connecticut	Agent	Approved	04/22/2026
B	Florida	Agent	Approved	04/21/2026
B	Hawaii	Agent	Approved	05/22/2026
B	Kansas	Agent	Approved	04/22/2026
B	Maine	Agent	Approved	04/21/2026
B	Minnesota	Agent	Approved	04/24/2026
B	Missouri	Agent	Approved	04/21/2026
B	Montana	Agent	Approved	04/23/2026

Qualifications

	Regulator	Registration	Status	Date
B	Nebraska	Agent	Approved	04/29/2026
B	New Mexico	Agent	Approved	04/22/2026
B	Oregon	Agent	Approved	04/21/2026
B	Texas	Agent	Approved	06/16/2026
IA	Texas	Investment Adviser Representative	Restricted Approval	06/16/2026
B	Wyoming	Agent	Approved	04/21/2026

Branch Office Locations

OSAIC WEALTH, INC.
8010 S. COUNTY ROAD 5
SUITE 105
WINDSOR, CO 80528

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
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	06/07/1999

State Securities Law Exams

	Exam	Category	Date
IA	Uniform Investment Adviser Law Examination (S65)	Series 65	07/22/1999
B	Uniform Securities Agent State Law Examination (S63)	Series 63	06/30/1999

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	12/11/2017 - 04/23/2026	KOVACK SECURITIES INC.	CRD# 44848	Windsor, CO
IA	05/31/2016 - 04/23/2026	KOVACK ADVISORS, INC.	CRD# 140808	Windsor, CO
B	12/16/2009 - 06/14/2016	LPL FINANCIAL LLC	CRD# 6413	FT COLLINS, CO
IA	12/16/2009 - 06/14/2016	LPL FINANCIAL LLC	CRD# 6413	FT COLLINS, CO
IA	07/31/2002 - 12/16/2009	PRIMEVEST FINANCIAL SERVICES, INC.	CRD# 15340	FORT COLLINS, CO
B	07/09/2002 - 12/16/2009	PRIMEVEST FINANCIAL SERVICES, INC.	CRD# 15340	FORT COLLINS, CO
IA	04/06/2001 - 09/04/2002	WELLS FARGO INVESTMENTS, LLC	CRD# 10582	FORT COLLINS, CO
B	12/15/2000 - 07/22/2002	WELLS FARGO BROKERAGE SERVICES, L.L.C.	CRD# 16100	MINNEAPOLIS, MN
B	12/13/2000 - 07/22/2002	WELLS FARGO INVESTMENTS, LLC	CRD# 10582	SAN FRANCISCO, CA
B	07/23/1999 - 12/13/2000	WELLS FARGO BROKERAGE SERVICES, L.L.C.	CRD# 16100	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
04/2026 - Present	OSAIC WEALTH, INC	REGISTERED REPRESENTATIVE	Y	WINDSOR, CO, United States
11/2017 - 04/2026	Kovack Securities, Inc.	Registered Representative	Y	Fort Lauderdale, FL, United States
05/2016 - 04/2026	Kovack Advisors, Inc.	Investment Advisor Rep	Y	Fort Lauderdale, FL, 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. THOMPSON WEALTH MANAGEMENT
POSITION: president/financial advisor NATURE: I'm licensed to sell insurance although don't know the last policy i wrote or was paid on INVESTMENT RELATED: Yes NUMBER OF HOURS: 1 SECURITIES TRADING HOURS: 1 START DATE: 12/01/2009
ADDRESS: 8010 s. county road 5, Suite 105, Windsor CO 80528, United States
DESCRIPTION: answer questions about insurance occasionally

2. TWM PROPERTIES
POSITION: owner NATURE: I own the suite my office is in INVESTMENT RELATED: No NUMBER OF HOURS: 1 SECURITIES TRADING HOURS: 0 START DATE: 01/01/2028
ADDRESS: 3720 Copper Spring Drive, Fort Collins CO 80528, United States
DESCRIPTION: pay HOA

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	1
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 1

Reporting Source:	Regulator
Regulatory Action Initiated By:	FINRA
Sanction(s) Sought:	
Date Initiated:	01/17/2017
Docket/Case Number:	2016050334101
Employing firm when activity occurred which led to the regulatory action:	LPL Financial LLC
Product Type:	No Product
Allegations:	Without admitting or denying the findings, Thompson consented to the sanctions and to the entry of findings that he accepted two separate loans, collectively totaling $60,000, from his customers at his member firm without disclosing or seeking approval from the firm, at any point in time, for the loans. The findings stated that Thompson subsequently repaid both loans.
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:	01/17/2017
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:	30 days
Start Date:	02/21/2017
End Date:	03/22/2017

Monetary Sanction 1 of 1

Monetary Related Sanction:	Civil and Administrative Penalty(ies)/Fine(s)
Total Amount:	$5,000.00
Portion Levied against individual:	$5,000.00
Payment Plan:	deferred
Is Payment Plan Current:	
Date Paid by individual:	11/27/2017
Was any portion of penalty waived?	No
Amount Waived:	

Reporting Source:	Individual
Regulatory Action Initiated By:	FINRA
Sanction(s) Sought:	
Date Initiated:	01/17/2017
Docket/Case Number:	2016050334101
Employing firm when activity occurred which led to the regulatory action:	LPL Financial LLC

Product Type:	No Product
Allegations:	Without admitting or denying the findings, Thompson consented to the sanctions and to the entry of findings that he accepted two separate loans, collectively totaling $60,000, from his customers at his member firm without disclosing or seeking approval from the firm, at any point in time, for the loans. The findings stated that Thompson subsequently repaid both loans.
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:	01/17/2017
Sanctions Ordered:	Civil and Administrative Penalty(ies)/Fine(s) Suspension
Sanction 1 of 1	
Sanction Type:	Suspension
Capacities Affected:	Any capacity
Duration:	30 days
Start Date:	02/21/2017
End Date:	03/22/2017
Monetary Sanction 1 of 1	
Monetary Related Sanction:	Civil and Administrative Penalty(ies)/Fine(s)
Total Amount:	$5,000.00
Portion Levied against individual:	$5,000.00
Payment Plan:	deferred
Is Payment Plan Current:	
Date Paid by individual:	
Was any portion of penalty waived?	No
Amount Waived:	
Broker Statement	This action arose after I had taken loans from friends who were secondarily my clients, but did not obtain prior approval from my firm. There were no complaints made by any of my clients regarding the loans, and all loans were repaid.

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:	Regulator
Employing firm when activities occurred which led to the complaint:	WELLS FARGO INVESTMENTS, LLC
Allegations:	CLAIMANT ALLEGED THAT RESPONDENTS MISREPRESENTED, OMITTED FACTS AND PLACED HIM WITH AN INEXPERIENCED ADVISOR. CLAIMANT FURTHER ALLEGED THAT RESPONDENTS WERE NEGLIGENT AND MADE INCORRECT AND UNSUITABLE INVESTMENTS IN HIS REGULAR AND IRA ACCOUNTS. CLAIMANT MAINTAINED THAT DUE TO RESPONDENTS' ACTIONS, THE ACCOUNTS SUFFERED LOSSES.
Product Type:	Other
Other Product Type(s):	IRA ACCOUNTS, REGULAR INVESTMENT ACCOUNT
Alleged Damages:	$19,548.19

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.:	NASD - CASE #03-01389
Date Notice/Process Served:	02/25/2003
Arbitration Pending?	No
Disposition:	Award
Disposition Date:	09/24/2003
Disposition Detail:	RESPONDENTS ARE JOINTLY AND SEVERALLY LIABLE AND SHALL PAY TO CLAIMANT $6,750.

Reporting Source:	Firm
Employing firm when activities occurred which led to the complaint:	WELLS FARGO INVESTMENTS LLC
Allegations:	SUITABILITY - NOVEMBER 2001
Product Type:	Mutual Fund
Alleged Damages:	$10,000.00
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:	08/28/2002
Complaint Pending?	No
Status:	Denied
Status Date:	02/04/2003
Settlement Amount:	
Individual Contribution Amount:	

Arbitration Information

Date Notice/Process Served:	03/10/2003
Arbitration Pending?	No
Disposition:	Other: See #24
Disposition Date:	02/04/2003
Monetary Compensation Amount:	$6,750.00
Individual Contribution Amount:	$0.00

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	WELLS FARGO INVESTMENTS
Allegations:	SUITABILITY-NOVEMBER 2001
Product Type:	Mutual Fund(s)
Alleged Damages:	$22,000.00

Customer Complaint Information

Date Complaint Received:	08/28/2002
Complaint Pending?	No
Status:	Arbitration/Reparation
Status Date:	12/04/2002
Settlement Amount:	
Individual Contribution Amount:	

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.:	NASD 03-01389
Date Notice/Process Served:	03/10/2003
Arbitration Pending?	No
Disposition:	Award to Customer

Disposition Date:	09/24/2003
Monetary Compensation Amount:	$6,750.00
Individual Contribution Amount:	

End of Report

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