IAPD Report

RANDY SCOTT MILLER

CRD# 4798775

Section Title	Page(s)

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

RANDY SCOTT MILLER (CRD# 4798775)

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 **11/21/2023**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
IA	LARSON FINANCIAL GROUP, LLC	CRD# 140599	07/19/2007
B	LARSON FINANCIAL SECURITIES, LLC	CRD# 152517	07/21/2010

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **51** 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	FINANCIAL NETWORK INVESTMENT CORPORATION	13572	ST. LOUIS, MO	02/16/2007 - 08/02/2010
B	FINANCIAL NETWORK INVESTMENT CORPORATION	13572	ST. LOUIS, MO	02/14/2007 - 08/02/2010
IA	AMERIPRISE FINANCIAL SERVICES, INC.	6363	CHESTERFIELD, MO	06/30/2004 - 10/04/2006

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

Employment 1 of 2

Firm Name: **LARSON FINANCIAL SECURITIES, LLC**

Main Address: 100 N BROADWAY
SUITE 1700
SAINT LOUIS, MO 63102

Firm ID#: 152517

	Regulator	Registration	Status	Date
B	FINRA	General Securities Representative	Approved	07/21/2010
B	FINRA	General Securities Sales Supervisor	Approved	06/27/2016
B	FINRA	General Securities Principal	Approved	08/26/2016
B	FINRA	Financial and Operations Principal	Approved	11/08/2017
B	FINRA	Municipal Securities Principal	Approved	01/02/2018
B	FINRA	Municipal Securities Representative	Approved	01/02/2018
B	FINRA	Operations Professional	Approved	10/01/2018
B	FINRA	Compliance Officer	Approved	10/18/2018
B	Alabama	Agent	Approved	10/23/2018
B	Alaska	Agent	Approved	11/27/2018
B	Arizona	Agent	Approved	10/24/2018
B	Arkansas	Agent	Approved	11/27/2018
B	California	Agent	Approved	01/30/2018

Qualifications

	Regulator	Registration	Status	Date
B	Colorado	Agent	Approved	11/08/2018
B	Connecticut	Agent	Approved	10/22/2018
B	Delaware	Agent	Approved	12/20/2018
B	District of Columbia	Agent	Approved	10/23/2018
B	Florida	Agent	Approved	10/23/2018
B	Georgia	Agent	Approved	12/14/2018
B	Hawaii	Agent	Approved	02/19/2019
B	Idaho	Agent	Approved	10/23/2018
B	Illinois	Agent	Approved	07/28/2010
B	Indiana	Agent	Approved	10/22/2018
B	Iowa	Agent	Approved	10/23/2018
B	Kansas	Agent	Approved	11/05/2018
B	Kentucky	Agent	Approved	10/30/2018
B	Louisiana	Agent	Approved	10/23/2018
B	Maine	Agent	Approved	10/23/2018
B	Maryland	Agent	Approved	10/29/2018
B	Massachusetts	Agent	Approved	11/26/2018
B	Michigan	Agent	Approved	10/25/2018
B	Minnesota	Agent	Approved	10/23/2018

Qualifications

	Regulator	Registration	Status	Date
B	Mississippi	Agent	Approved	10/24/2018
B	Missouri	Agent	Approved	07/22/2010
B	Montana	Agent	Approved	02/21/2018
B	Nebraska	Agent	Approved	02/02/2018
B	Nevada	Agent	Approved	10/31/2018
B	New Hampshire	Agent	Approved	10/31/2018
B	New Jersey	Agent	Approved	10/25/2018
B	New Mexico	Agent	Approved	10/23/2018
B	New York	Agent	Approved	10/23/2018
B	North Carolina	Agent	Approved	10/23/2018
B	North Dakota	Agent	Approved	10/23/2018
B	Ohio	Agent	Approved	10/22/2018
B	Oklahoma	Agent	Approved	10/22/2018
B	Oregon	Agent	Approved	10/23/2018
B	Pennsylvania	Agent	Approved	10/25/2018
B	Rhode Island	Agent	Approved	10/25/2018
B	South Carolina	Agent	Approved	10/24/2018
B	South Dakota	Agent	Approved	10/25/2018
B	Tennessee	Agent	Approved	01/31/2018

Qualifications

	Regulator	Registration	Status	Date
B	Texas	Agent	Approved	10/23/2018
B	Utah	Agent	Approved	10/23/2018
B	Vermont	Agent	Approved	10/23/2018
B	Virginia	Agent	Approved	10/22/2018
B	Washington	Agent	Approved	10/22/2018
B	West Virginia	Agent	Approved	11/13/2018
B	Wisconsin	Agent	Approved	10/23/2018
B	Wyoming	Agent	Approved	10/24/2018

Branch Office Locations

100 N. BROADWAY
SUITE 1700
ST. LOUIS, MO 63102

Employment 2 of 2

Firm Name: **LARSON FINANCIAL GROUP, LLC**

Main Address: 100 N BROADWAY
SUITE 1700
SAINT LOUIS, MO 63102

Firm ID#: 140599

	Regulator	Registration	Status	Date
IA	Illinois	Investment Adviser Representative	Approved	01/03/2011

Branch Office Locations

LARSON FINANCIAL GROUP, LLC
100 N BROADWAY
SUITE 1700
SAINT LOUIS, MO 63102

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

Principal/Supervisory Exams

	Exam	Category	Date
B	Compliance Officer Examination (S14)	Series 14	01/02/2023
B	Municipal Securities Principal Examination (S53)	Series 53	12/27/2017
B	Financial and Operations Principal Examination (S27)	Series 27	11/08/2017
B	General Securities Principal Examination (S24)	Series 24	08/26/2016
B	General Securities Sales Supervisor - Options Module Examination (S9)	Series 9	06/27/2016
B	General Securities Sales Supervisor - General Module Examination (S10)	Series 10	06/15/2016

General Industry/Product Exams

	Exam	Category	Date
B	Municipal Securities Representative Examination (S52TO)	Series 52TO	09/25/2025
B	Operations Professional Examination (S99TO)	Series 99TO	01/02/2023
B	Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
B	General Securities Representative Examination (S7)	Series 7	06/16/2004

State Securities Law Exams

	Exam	Category	Date
IA B	Uniform Combined State Law Examination (S66)	Series 66	05/16/2007

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
IA	02/16/2007 - 08/02/2010	FINANCIAL NETWORK INVESTMENT CORPORATION	CRD# 13572	ST. LOUIS, MO
B	02/14/2007 - 08/02/2010	FINANCIAL NETWORK INVESTMENT CORPORATION	CRD# 13572	ST. LOUIS, MO
IA	06/30/2004 - 10/04/2006	AMERIPRISE FINANCIAL SERVICES, INC.	CRD# 6363	CHESTERFIELD, MO
B	06/17/2004 - 10/04/2006	AMERIPRISE FINANCIAL SERVICES, INC.	CRD# 6363	CHESTERFIELD, MO
B	06/17/2004 - 07/03/2006	IDS LIFE INSURANCE COMPANY	CRD# 6321	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
10/2018 - Present	LARSON FINANCIAL GROUP, LLC	Chief Compliance Officer	Y	ST. LOUIS, MO, United States
10/2018 - Present	LARSON FINANCIAL SECURITIES, LLC	Chief Operating Officer	Y	ST. LOUIS, MO, United States
10/2018 - Present	LARSON FINANCIAL SECURITIES, LLC	Chief Compliance Officer	Y	ST. LOUIS, MO, United States
10/2018 - Present	LARSON FINANCIAL SECURITIES, LLC	FINOP	Y	ST. LOUIS, MO, United States
07/2010 - 10/2018	LARSON FINANCIAL SECURITIES, LLC	CORPORATE TRAINER	Y	SAINT LOUIS, MO, United States
01/2007 - 10/2018	LARSON FINANCIAL GROUP, LLC	CORPORATE TRAINER	Y	SAINT LOUIS, MO, 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.

PRESIDENT & CEO SGM PROPERTIES, LLC REAL ESTATE - REAL ESTATE INVESTING & RENTAL PROPERTIES.

SGM REALTY, LLC
POSITION: Managing Member | Designated Managing Broker NATURE: Real Estate Brokerage INVESTMENT RELATED: Yes
NUMBER OF HOURS: 20 SECURITIES TRADING HOURS: 5 START DATE: 07/26/2022

Registration & Employment History

OTHER BUSINESS ACTIVITIES

ADDRESS: 5500 N Illinois St., Suite A, Fairview Heights IL 62208, United States
DESCRIPTION: Illinois Real Estate Brokerage - All activities required to start and operate the business.

METRO EAST REAL ESTATE INVESTORS ASSOCIATION
POSITION: Director on the Board of Directors NATURE: The Metro East Real Estate Investors Association's?("MEREIA") mission is to educate investors and landlords on the ethical creation of wealth through real estate, and to promote a positive public image of the real estate industry, while helping to enact investor-friendly legislation.?MEREIA? is a not for profit corporation formed to assist investors, landlords and property managers in keeping up with changing legislation and learning newer or more economical methods of maintaining compliance with existing laws while maximizing cash flow opportunities. INVESTMENT RELATED: No NUMBER OF HOURS: 5 SECURITIES TRADING HOURS: 2 START DATE: 09/06/2023
ADDRESS: 1022 Vandalia Sst, Collinsville IL 62234, United States
DESCRIPTION: General Powers: Except as otherwise provided by applicable law, all powers of the Corporation shall be exercised by or under the authority of, and the affairs of the Corporation managed under the direction of its board of directors.

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:	LARSON FINANCIAL SECURITIES, LLC
Allegations:	CLIENT SENT EMAIL ON10/2/2013 ALLEGING THAT CERTAIN ASPECTS OF VUL WERE NOT DISCLOSED AND WAS NOT STRUCTURED PROPERLY.
Product Type:	Insurance
Alleged Damages:	$24,000.00
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:	10/02/2013
Complaint Pending?	No
Status:	Settled
Status Date:	10/23/2013
Settlement Amount:	$24,000.00
Individual Contribution Amount:	$3,600.00
Broker Statement	COMPLIANCE CONDUCTED A THOROUGH INVESTIGATION AND

CONCLUDED THAT THE REGISTERED REPRESENTATIVE DISCLOSED ALL MATERIAL FACTS REGARDING THE RECOMMENDATION. THE RECOMMENDATION WAS DETERMINED TO BE SUITABLE BASED UPON THE CLIENT'S DOCUMENTED INVESTMENT OBJECTIVES, RISK TOLERANCE, FINANCIALS, TIME HORIZON AND LIQUIDITY NEEDS.

End of Report

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