



IAPD Report

JOSHUA D BRADLEY

CRD# 5174430

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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

JOSHUA D BRADLEY (CRD# 5174430)

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 **10/16/2025**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
IA	INTEGRATED ADVISORS NETWORK LLC	CRD# 171991	08/13/2018

QUALIFICATIONS

This representative is currently registered in **0** 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
IA	HAYDEN ROYAL	170037	Columbia, SC	03/14/2016 - 07/10/2018
B	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	7691	COLUMBIA, SC	11/30/2015 - 03/24/2016
IA	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	7691	COLUMBIA, SC	11/30/2015 - 03/24/2016

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
Termination	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 **0** SRO(s) through his or her employer(s).

Employment 1 of 1

Firm Name: **INTEGRATED ADVISORS NETWORK LLC**
Main Address: 4514 COLE AVE
SUITE 600
DALLAS, TX 75205
Firm ID#: 171991

Regulator	Registration	Status	Date
IA South Carolina	Investment Adviser Representative	Approved	08/13/2018

Branch Office Locations

INTEGRATED ADVISORS NETWORK LLC
6208 GARNERS FERRY ROAD, SUITE A
COLUMBIA, SC 29209



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
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Securities Industry Essentials Examination (SIE)	SIE	03/24/2016
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General Securities Representative Examination (S7)	Series 7	09/12/2006
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State Securities Law Exams

Exam	Category	Date
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Uniform Combined State Law Examination (S66)	Series 66	09/16/2011
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Uniform Securities Agent State Law Examination (S63)	Series 63	11/03/2006
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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
IA	03/14/2016 - 07/10/2018	HAYDEN ROYAL	CRD# 170037	Columbia, SC
B	11/30/2015 - 03/24/2016	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	CRD# 7691	COLUMBIA, SC
IA	11/30/2015 - 03/24/2016	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	CRD# 7691	COLUMBIA, SC
IA	09/22/2011 - 12/01/2015	VOYA FINANCIAL ADVISORS, INC.	CRD# 2882	COLUMBIA, SC
B	12/02/2008 - 12/01/2015	VOYA FINANCIAL ADVISORS, INC.	CRD# 2882	COLUMBIA, SC
B	03/19/2008 - 11/25/2008	GUNNALLEN FINANCIAL, INC	CRD# 17609	LEXINGTON, SC
B	01/26/2007 - 03/17/2008	FIRST ALLIED SECURITIES, INC.	CRD# 32444	LEXINGTON, SC
B	09/13/2006 - 12/15/2006	EDWARD JONES	CRD# 250	HOPKINS, SC

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
06/2018 - Present	INTEGRATED ADVISORS NETWORK, LLC	INVESTMENT ADVISER REPRESENTATIVE	Y	Dallas, TX, United States
03/2016 - Present	Capital City Financial Partners	Investment Advisor	Y	Columbia, SC, United States
07/2011 - Present	Phoenix Life Insurance	1099 contractor not an employee-Carried a license	Y	Columbia, SC, United States
03/2016 - 06/2018	Great Lakes & Atlantic Wealth Management and Advisory Partners	Independent IA	Y	Charlotte, NC, 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)INDEPENDENT INSURANCE AGENT,YES,3600 Forest Dr. Suite 102
Columbia, SC 29204,INDEPENDENT INSURANCE AGENT,07/02/2009,160,160,SALES AND SERVICE OF FIXED INSURANCE PRODUCTS.
- 2)JOSHUA BRADLEY-NOTARY,NO,3600 Forest Dr. Suite 102
Columbia, SC 29204,NOTARY,NOTARY,11/20/2007,0,0,NOTORIZE FORMS AS NEEDED.
- 3)FIG; Investment Related; Insurance Rep; start 3/16; works during trading hours as needed for insurance needs



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
Termination	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: Other: n/a

Date Initiated: 11/02/2017

Docket/Case Number: [2016048640801](#)

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

Product Type: Other: Unspecified Securities

Allegations: Without admitting or denying the findings, Bradley consented to the sanctions and to the entry of findings that he placed eight trades in five customer accounts with a member firm he was no longer associated with, and failed to notify his employing firm of these discretionary accounts. The findings stated that after he left the original firm, he improperly used his log-in credentials to access the firm's trading platform and enter seven trades and later after his log-in credentials had been terminated, he used another registered representative's log-in credentials to place another trade. Bradley did not receive any commissions for the trades and caused no customer harm.

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:

11/02/2017

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: All Capacities
Duration: six months
Start Date: 11/06/2017
End Date: 05/05/2018

Monetary Sanction 1 of 1

Monetary Related Sanction: Civil and Administrative Penalty(ies)/Fine(s)
Total Amount: \$15,000.00
Portion Levied against individual: \$15,000.00
Payment Plan: deferred
Is Payment Plan Current:
Date Paid by individual:
Was any portion of penalty waived? No
Amount Waived:

.....
Reporting Source: Individual
Regulatory Action Initiated By: FINRA
Sanction(s) Sought: Civil and Administrative Penalty(ies)/Fine(s)
Suspension
Date Initiated: 11/02/2017
Docket/Case Number: [2016048640801](#)



Employing firm when activity occurred which led to the regulatory action:	VOYA FINANCIAL
Product Type:	No Product
Allegations:	In December 2015, Mr. Bradley placed eight trades in five customer accounts with a FINRA member firm he was no longer associated with, and failed to notify his employing member firm of these discretionary accounts. As a result, Mr. Bradley violated FINRA rule 2010 and NASD Rule 3050(c).
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:	11/02/2017
Sanctions Ordered:	Suspension
Sanction 1 of 1	
Sanction Type:	Suspension
Capacities Affected:	All Capacities
Duration:	6 months
Start Date:	11/06/2017
End Date:	05/05/2018
Monetary Sanction 1 of 1	
Monetary Related Sanction:	Civil and Administrative Penalty(ies)/Fine(s)
Total Amount:	\$15,000.00
Portion Levied against individual:	\$15,000.00
Payment Plan:	
Is Payment Plan Current:	Yes
Date Paid by individual:	11/02/2017
Was any portion of penalty waived?	No
Amount Waived:	
Broker Statement	On November 30th 2015 I switched my Broker-Dealer from VOYA to Merrill Lynch. The first week of December while contacting clients to schedule meetings to transfer their accounts to Merrill Lynch, I had several clients request to place trades. There were 5 trades in total. One requested to do a sell for a tax loss harvest, two wanted to move out of the market and the fourth needed funds within two weeks to cover an expense. I let the clients know that its would take several weeks to get their Merrill Lynch accounts opened and transferred, so there was no way to execute these trades at Merrill in satisfactory time frame. In the moment, I logged into the VOYA executed each of the clients trades on the VOYA system, at



their request. Each of the trades were directed by the client and I received no commission or benefit.

I notified Merrill Lynch that I had performed the trades. Initially they gave me a letter of reprimand but said we would be fine. Around 3 months later, after transitioning all of our business to ML, they terminated my employment.

Subsequently FINRA performed an investigation which found the same results, I improperly accessed my previous firms system to execute trades. No harm was done to clients and I received no benefit.



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: Firm

Employing firm when activities occurred which led to the complaint: VOYA FINANCIAL ADVISORS, INC.

Allegations: Claimant alleges that, in June 2014, the representative failed to disclose the illiquid nature and risks associated with a non-traded business development company. Claimant further alleges that the recommendation was unsuitable.

Product Type: Other: Business Development Company

Alleged Damages: \$100,000.00

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 Office of Dispute Resolution

Docket/Case #: 23-03270

Filing date of arbitration/CFTC reparation or civil litigation: 11/10/2023

Customer Complaint Information

Date Complaint Received: 11/15/2023

Complaint Pending? No

Status: Settled

Status Date: 04/21/2025

Settlement Amount: \$30,000.00

Individual Contribution Amount: \$0.00



Termination

This disclosure event involves a situation where the Investment Adviser Representative voluntarily resigned, was discharged or was permitted to resign after allegations were made that accused the Investment Adviser Representative of violating investment-related statutes, regulations, rules or industry standards of conduct; fraud or the wrongful taking of property; or failure to supervise in connection with investment-related statutes, regulations, rules or industry standards of conduct.

Disclosure 1 of 1

Reporting Source:	Firm
Firm Name:	Merrill Lynch, Pierce, Fenner & Smith Incorporated
Termination Type:	Discharged
Termination Date:	02/23/2016
Allegations:	Conduct involving improperly accessing and placing trades in client accounts at the registered representative's previous firm and failure to be forthcoming during the Firm's review of this matter.
Product Type:	No Product



End of Report

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