



IAPD Report

MARK ANTHONY MILLER

CRD# 5212946

<u>Section Title</u>	<u>Page(s)</u>
Report Summary	1
Qualifications	2 - 3
Registration and Employment History	4
Disclosure Information	5



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

MARK ANTHONY MILLER (CRD# 5212946)

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 **11/25/2025**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
IA	GIBRALTAR CAPITAL MANAGEMENT, INC.	CRD# 122328	01/30/2025

QUALIFICATIONS

This representative is currently registered in **0** SRO(s) and **2** 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 MILLER EQUITY CAPITAL ADVISORS	141343	IRVING, TX	04/18/2007 - 05/20/2025

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	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 **2** jurisdiction(s) and **0** SRO(s) through his or her employer(s).

Employment 1 of 1

Firm Name: **GIBRALTAR CAPITAL MANAGEMENT, INC.**

Main Address: 7304 S. YALE AVENUE
TULSA, OK 74136

Firm ID#: 122328

Regulator	Registration	Status	Date
IA Oklahoma	Investment Adviser Representative	Approved - Pending IAR CE	01/01/2026
IA Texas	Investment Adviser Representative	Approved	01/30/2025

Branch Office Locations

GIBRALTAR CAPITAL MANAGEMENT, INC.

5605 NORTH MACARTHUR BOULEVARD
SUITE 860
IRVING, TX 75038



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.

No information reported.

PROFESSIONAL DESIGNATIONS

This section details that the representative has reported **2** professional designation(s).

Chartered Financial Analyst

Personal Financial Specialist

This representative holds or did hold **2** 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 04/18/2007 - 05/20/2025	MILLER EQUITY CAPITAL ADVISORS	CRD# 141343	IRVING, TX

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
01/2025 - Present	GIBRALTAR CAPITAL MANAGEMENT, INC.	EXECUTIVE VICE PRESIDENT	Y	TULSA, OK, United States
05/1996 - 01/2025	MILLER EQUITY CAPITAL ADVISORS	PRESIDENT AND CHIEF COMPLIANCE OFFICER	Y	IRVING, TX, 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.

No information reported.



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	2

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 2

Reporting Source:	Individual
Regulatory Action Initiated By:	TEXAS STATE SECURITIES BOARD
Sanction(s) Sought:	Reprimand
Other Sanction(s) Sought:	ASSESSMENT OF ADMINISTRATIVE FINE
Date Initiated:	04/02/2007
Docket/Case Number:	IC07-CAF-08
Employing firm when activity occurred which led to the regulatory action:	MILLER EQUITY CAPITAL ADVISORS
Product Type:	No Product
Other Product Type(s):	
Allegations:	FROM IN OR ABOUT JANUARY 2000 TO IN OR ABOUT DECEMBER 2006, RESPONDENT FOR COMPENSATION AND IN TEXAS, ENGAGED IN PROVIDING INVESTMENT ADVICE WITHOUT REGISTERING UNDER THE TEXAS SECURITIES ACT
Current Status:	Final
Resolution:	Other
Resolution Date:	04/02/2007
Sanctions Ordered:	Monetary/Fine \$6,000.00
Other Sanctions Ordered:	NONE
Sanction Details:	NONE

**Broker Statement**

MARK MILLER, CPA, CFA, AND OWNER OF MILLER EQUITY CAPITAL ADVISORS, PROVIDED BUSINESS CONSULTING SERVICES TO CLIENTS; HE BELIEVED THAT ANY INVESTMENT ADVICE GIVEN WAS SOLELY INCIDENTAL TO THE BUSINESS CONSULTING SERVICES. WHEN THE FIRM VOLUNTARILY REGISTERED WITH THE TEXAS STATE SECURITIES BOARD, THE BOARD FOUND THAT THE CONSULTING SERVICES ENGAGED IN PRIOR TO REGISTRATION WERE NOT SOLELY INCIDENTAL. THE BOARD GRANTED THE REGISTRATION AND ASSESSED A MINIMAL ADMINISTRATIVE FINE.

Disclosure 2 of 2**Reporting Source:**

Individual

Regulatory Action Initiated By:

TEXAS STATE BOARD OF PUBLIC ACCOUNTANCY

Sanction(s) Sought:

Revocation

Other Sanction(s) Sought:

REVOCATION OF LICENSE TO PRACTICE PUBLIC ACCOUNTING IN TEXAS

Date Initiated:

11/11/1999

Docket/Case Number:

NONE

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

No Product

Other Product Type(s):**Allegations:**

BY LETTER DATED JUNE 22, 2000, THE TEXAS STATE BOARD OF PUBLIC ACCOUNTANCY INFORMED MR. MILLER THAT AS OF NOVEMBER 11, 1999, HIS LICENCE AS A CERTIFIED PUBLIC ACCOUNTANT HAD BEEN REVOKED FOR A FAILURE TO OBTAIN A LICENSE TO PRACTICE IN TEXAS FOR A PERIOD OF THREE YEARS.

Current Status:

Final

Resolution:

Other

Resolution Date:

09/27/2000

Sanctions Ordered:**Other Sanctions Ordered:**

N/A

Sanction Details:

SEE DETAILS ABOVE.

Broker Statement

ON SEPTEMBER 12, 2000, MR. MILLER FORWARDED TO THE TEXAS STATE BOARD OF ACCOUNTANCY ALL LICENSE AND PROFESSIONAL FEES OWED. MR. MILLER ALSO DEMONSTRATED COMPLIANCE WITH TEXAS' CONTINUING EDUCATION REQUIREMENTS, INCLUDING THE RECEIPT OF A CHARTERED FINANCIAL ANALYST DESIGNATION. MR. MILLER EXPLAINED THAT HE HAD INADVERTANTLY FAILED TO PAY HIS ANNUAL FEES AND TO PROVIDE INFORMATION ABOUT HIS CONTINUING EDUCATION AS A RESULT OF A CHANGE OF BUSINESS ADDRESS. THIS CHANGE OF ADDRESS CAUSED HIM TO NOT RECIEVE ANNUAL RENEWAL FORMS. BASED ON MR. MILLER'S SUBMISSION, THE TEXAS STATE BOARD OF ACCOUNTANCY REINSTATED HIS CERTIFICATE TO PRACTICE AS AN ACCOUNTANT ON SEPTEMBER 27, 2000.



End of Report

This page is intentionally left blank.