IAPD Report

LINDA CLAIR MILLS

CRD# 845952

Section Title	Page(s)

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

LINDA CLAIR MILLS (CRD# 845952)

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 **07/09/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	LPL FINANCIAL LLC	CRD# 6413	09/03/2009
IA	ADVISOR RESOURCE COUNCIL	CRD# 164109	06/25/2012

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **5** 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	LPL FINANCIAL LLC	6413	IRVING, TX	12/08/2025 - 07/09/2026
IA	LPL FINANCIAL LLC	6413	IRVING, TX	09/03/2009 - 09/07/2016
B	MORGAN STANLEY SMITH BARNEY	149777	SOUTHLAKE, TX	06/01/2009 - 09/08/2009

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
Financial	5
Judgment/Lien	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 **5** 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	FINRA	General Securities Representative	Approved	09/03/2009
B	Alabama	Agent	Approved	09/03/2009
B	California	Agent	Approved	04/24/2012
B	Indiana	Agent	Approved	07/10/2024
B	Oklahoma	Agent	Approved	09/03/2009
B	Texas	Agent	Approved	09/03/2009

Branch Office Locations

LPL FINANCIAL LLC
TROPHY CLUB, TX

Employment 2 of 2

Firm Name:	**ADVISOR RESOURCE COUNCIL**
Main Address:	15110 DALLAS PARKWAY SUITE 500 DALLAS, TX 75248
Firm ID#:	164109

	Regulator	Registration	Status	Date
IA	Texas	Investment Adviser Representative	Approved	06/25/2012

Qualifications

Branch Office Locations

ADVISOR RESOURCE COUNCIL
113 Seminole Dr
Trophy Club, TX 76262

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

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	Foreign Currency Options Examination (S15)	Series 15	10/10/1984
B	Interest Rate Options Examination (S5)	Series 5	10/17/1981
B	General Securities Representative Examination (S7)	Series 7	11/19/1977

State Securities Law Exams

	Exam	Category	Date
B	Uniform Securities Agent State Law Examination (S63)	Series 63	03/20/1980

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
IA	12/08/2025 - 07/09/2026	LPL FINANCIAL LLC	CRD# 6413	IRVING, TX
IA	09/03/2009 - 09/07/2016	LPL FINANCIAL LLC	CRD# 6413	IRVING, TX
B	06/01/2009 - 09/08/2009	MORGAN STANLEY SMITH BARNEY	CRD# 149777	SOUTHLAKE, TX
IA	06/01/2009 - 09/08/2009	MORGAN STANLEY SMITH BARNEY LLC	CRD# 149777	SOUTHLAKE, TX
B	04/02/2007 - 06/01/2009	MORGAN STANLEY & CO. INCORPORATED	CRD# 8209	SOUTHLAKE, TX
IA	04/02/2007 - 06/01/2009	MORGAN STANLEY & CO. INCORPORATED	CRD# 8209	SOUTHLAKE, TX
IA	03/04/2005 - 04/02/2007	MORGAN STANLEY	CRD# 7556	SOUTHLAKE, TX
B	03/04/2005 - 04/02/2007	MORGAN STANLEY DW INC.	CRD# 7556	SOUTHLAKE, TX
B	10/17/1994 - 03/31/2005	CITIGROUP GLOBAL MARKETS INC.	CRD# 7059	NEW YORK, NY
IA	10/17/1994 - 03/31/2005	CITIGROUP GLOBAL MARKETS INC.	CRD# 7059	SOUTHLAKE, TX
B	05/20/1985 - 10/27/1994	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	CRD# 7691	NEW YORK, NY
B	09/19/1983 - 05/31/1985	THOMSON MCKINNON SECURITIES INC.	CRD# 829	
B	05/14/1979 - 08/26/1983	SHEARSON/AMERICAN EXPRESS INC.	CRD# 7506	
B	07/12/1978 - 06/14/1979	DREXEL BURNHAM LAMBERT INCORPORATED	CRD# 7323	
B	02/24/1978 - 09/14/1978	DEAN WITTER REYNOLDS INC.	CRD# 7556	
B	12/05/1977 - 02/24/1978	REYNOLDS SECURITIES, INC.	CRD# 712	

Registration & Employment History

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
06/2012 - Present	Advisor Resource Council (DBA: 360 WEALTH MANAGEMENT)	Investment Adviser Representative	Y	TROPHY CLUB, TX, United States
09/2009 - Present	LPL FINANCIAL LLC	REGISTERED REPRESENTATIVE	Y	TROPHY CLUB, 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.

1. 09/03/2009 - MILLS & KERNAN WEALTH MANAGEMENT - Investment Related - At Reported Business Location(s) - DBA FOR LPL BUSINESS (ENTITY FOR LPL BUSINESS).

2. 10/3/2019 - Advisor Resource Council - Investment Related - At Reported Business Location(s) - Registered Investment Advisor Hybrid - IAR - Start Date: 01/01/2020 - 120 Hours Per Month/120 Hours During Securities Trading - I provide investment advisory services through Advisor Resource Council, an independent investment advisor firm. I started this business activity in Jan 2020. I expect to spend approximately 120 hours per month on this activity. Please see the advisory firm's Form ADV for more information about its address,the nature of its business, its owners, and its services at http://www.adviserinfo.sec.gov/IAPD. The firm is separate from and independent of LPL Financial.

3. 10/3/2019 - Advisor Resource Council - DBA: (Hybrid) 360 Wealth Management - Investment Related - At Reported Business Location(s) - Registered Investment Advisor DBA - IAR - Start Date: 01/01/2020 - 120 Hours Per Month/120 Hours During Securities Trading.

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
Financial	5
Judgment/Lien	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: Firm

Employing firm when activities occurred which led to the complaint: MERRILL LYNCH

Allegations: CUSTOMER ALLEGES MISPRESENTATION WITH RESPECT TO THE PURCHASE OF THE ALLIANCE NORTH AMERICAN GOVERNMENT INCOME FUND. ALLEGES DAMAGES OF $22,789.

Product Type:

Alleged Damages: $22,789.00

Customer Complaint Information

Date Complaint Received:

Complaint Pending? No

Status: Litigation

Status Date:

Settlement Amount:

Individual Contribution Amount:

Civil Litigation Information

Court Details: TX 081236-00E

Date Notice/Process Served: 06/27/1995

Litigation Pending? No

Disposition: Settled

Disposition Date: 06/01/1996

Monetary Compensation Amount: $12,750.00

Individual Contribution Amount: $0.00

Firm Statement PAYMENT TO CUSTOMER $12,750.00
WE SETTLED THIS MATTER FOR LESS THAN THE COST OF DEFENSE.

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: MERRILL LYNCH

Allegations: CUSTOMER ALLEGES MISREPRESENTATION WITH RESPECT TO THE PURCHASE OF THE ALLIANCE ALLEGES GOVERNMENT INCOME FUND. ALLEGES DAMAGES OF $22,789

Product Type:

Alleged Damages: $22,789.00

Customer Complaint Information

Date Complaint Received:

Complaint Pending? No

Status: Litigation

Status Date:

Settlement Amount:

Individual Contribution Amount:

Civil Litigation Information

Court Details: TX 081236-00E

Date Notice/Process Served: 06/27/1995

Litigation Pending? No

Disposition: Settled

Disposition Date: 06/01/1996

Monetary Compensation Amount: $12,750.00

Individual Contribution Amount: $0.00

Broker Statement $12,750.00-PAYMENT OF CUSTOMER I DID NOT
CONTRIBUTE TOWARDS SETTLEMENT
MERRILL LYNCH SETTLED THE MATTER FOR LESS THAN

THE COST OF DEFENSE.

Financial

This disclosure event involves a final bankruptcy, compromise with one or more creditors, or Securities Investor Protection Corporation liquidation that occurred within the last 10 years and that involved the Investment Adviser Representative or an organization/investment adviser that the Investment Adviser Representative controlled that occurred within the last 10 years.

Disclosure 1 of 5

Reporting Source:	Individual
Action Type:	Compromise
Action Date:	03/26/2025
Organization Investment-Related?	
Action Pending?	No
Disposition:	Satisfied/Released
Disposition Date:	05/17/2025
If a compromise with creditor, provide:	
Name of Creditor:	Pennsylvania State Employees Credit Union, serviced by Upgrade, Inc.
Original Amount Owed:	$24,365.89
Terms Reached with Creditor:	Reached an agreement with creditor to pay settlement amount of $18,275.00.

Disclosure 2 of 5

Reporting Source:	Individual
Action Type:	Compromise
Action Date:	11/21/2023
Organization Investment-Related?	
Action Pending?	No
Disposition:	Satisfied/Released
Disposition Date:	11/21/2023
If a compromise with creditor, provide:	
Name of Creditor:	Synchrony Bank
Original Amount Owed:	$4,059.56
Terms Reached with Creditor:	Settled with creditor and paid $1826.80.

Disclosure 3 of 5

Reporting Source:	Individual
Action Type:	Compromise

Action Date:	08/28/2023
Organization Investment-Related?	
Action Pending?	No
Disposition:	Satisfied/Released
Disposition Date:	05/31/2026
If a compromise with creditor, provide:	
Name of Creditor:	PNC Bank
Original Amount Owed:	$12,907.11
Terms Reached with Creditor:	Creditor agreed to accept payment of $5,476.00 to settle account.

Disclosure 4 of 5

Reporting Source:	Individual
Action Type:	Compromise
Action Date:	08/28/2023
Organization Investment-Related?	
Action Pending?	No
Disposition:	Satisfied/Released
Disposition Date:	05/16/2025
If a compromise with creditor, provide:	
Name of Creditor:	Wells Fargo
Original Amount Owed:	$21,913.00
Terms Reached with Creditor:	Creditor agreed to payment of $9,334.84 to settle account.

Disclosure 5 of 5

Reporting Source:	Individual
Action Type:	Compromise
Action Date:	05/16/2023
Organization Investment-Related?	
Action Pending?	No
Disposition:	Satisfied/Released
Disposition Date:	08/28/2023

If a compromise with creditor, provide:

Name of Creditor:	BANK OF AMERICA
Original Amount Owed:	$13,437.27
Terms Reached with Creditor:	Settled for less for 7391.00, on payment plan.

Judgment/Lien

This disclosure event involves an unsatisfied and outstanding judgment or lien against the Investment Adviser Representative.

Disclosure 1 of 1

Reporting Source:	Individual
Judgment/Lien Holder:	Lexon Insurance Company
Judgment/Lien Amount:	$60,000.00
Judgment/Lien Type:	Civil
Date Filed with Court:	03/09/2018
Date Individual Learned:	10/21/2019
Type of Court:	County
Name of Court:	431 st Judicial District Court
Location of Court:	Denton County, TX
Docket/Case #:	18-2127-431
Judgment/Lien Outstanding?	Yes

End of Report

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