

## BrokerCheck Report

**BRADLEY MATTHEW SHEPHERD**

CRD# 2303045

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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.

## About BrokerCheck®

BrokerCheck offers information on all current, and many former, registered securities brokers, and all current and former registered securities firms. FINRA strongly encourages investors to use BrokerCheck to check the background of securities brokers and brokerage firms before deciding to conduct, or continue to conduct, business with them.

- **What is included in a BrokerCheck report?**

- BrokerCheck reports for individual brokers include information such as employment history, professional qualifications, disciplinary actions, criminal convictions, civil judgments and arbitration awards. BrokerCheck reports for brokerage firms include information on a firm's profile, history, and operations, as well as many of the same disclosure events mentioned above.
- Please note that the information contained in a BrokerCheck 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 broker or brokerage firm, or concluded through a negotiated settlement with no admission or finding of wrongdoing.

- **Where did this information come from?**

- The information contained in BrokerCheck comes from FINRA's Central Registration Depository, or CRD® and is a combination of:
  - information FINRA and/or the Securities and Exchange Commission (SEC) require brokers and brokerage firms to submit as part of the registration and licensing process, and
  - information that regulators report regarding disciplinary actions or allegations against firms or brokers.

- **How current is this information?**

- Generally, active brokerage firms and brokers are required to update their professional and disciplinary information in CRD within 30 days. Under most circumstances, information reported by brokerage firms, brokers and regulators is available in BrokerCheck the next business day.

- **What if I want to check the background of an investment adviser firm or investment adviser representative?**

- To check the background of an investment adviser firm or representative, you can search for the firm or individual in BrokerCheck. If your search is successful, click on the link provided to view the available licensing and registration information in the SEC's Investment Adviser Public Disclosure (IAPD) website at <https://www.adviserinfo.sec.gov>. In the alternative, you may search the IAPD website directly or contact your state securities regulator at <http://www.finra.org/Investors/ToolsCalculators/BrokerCheck/P455414>.

- **Are there other resources I can use to check the background of investment professionals?**

- FINRA recommends that you learn as much as possible about an investment professional before deciding to work with them. Your state securities regulator can help you research brokers and investment adviser representatives doing business in your state.

**Thank you for using FINRA BrokerCheck.**



Using this site/information means that you accept the FINRA BrokerCheck Terms and Conditions. A complete list of Terms and Conditions can be found at [brokercheck.finra.org](http://brokercheck.finra.org)



For additional information about the contents of this report, please refer to the User Guidance or [www.finra.org/brokercheck](http://www.finra.org/brokercheck). It provides a glossary of terms and a list of frequently asked questions, as well as additional resources. For more information about FINRA, visit [www.finra.org](http://www.finra.org).

**BRADLEY M. SHEPHERD**

CRD# 2303045

**Currently employed by and registered with the following Firm(s):**

**IA FOUNDERS FINANCIAL SECURITIES, LLC**  
 1020 CROMWELL BRIDGE RD  
 2ND FLOOR  
 TOWSON, MD 21286  
 CRD# 137945  
 Registered with this firm since: 07/18/2006

**B FOUNDERS FINANCIAL SECURITIES LLC**  
 1020 CROMWELL BRIDGE RD  
 2ND FLOOR  
 TOWSON, MD 21286  
 CRD# 137945  
 Registered with this firm since: 04/06/2006

**Report Summary for this Broker**

This report summary provides an overview of the broker's professional background and conduct. Additional information can be found in the detailed report.

**Broker Qualifications**

**This broker is registered with:**

- 1 Self-Regulatory Organization
- 52 U.S. states and territories

**This broker has passed:**

- 3 Principal/Supervisory Exams
- 5 General Industry/Product Exams
- 2 State Securities Law Exams

**Registration History**

**This broker was previously registered with the following securities firm(s):**

**IA INTERSECURITIES, INC.**  
 CRD# 16164  
 PHILADELPHIA, PA  
 09/1997 - 04/2007

**B INTERSECURITIES, INC.**  
 CRD# 16164  
 TOWSON, MD  
 02/1997 - 04/2007

**B CRESTAR SECURITIES CORPORATION**  
 CRD# 17464  
 RICHMOND, VA  
 01/1997 - 01/1997

**Disclosure Events**

All individuals registered to sell securities or provide investment advice are required to disclose customer complaints and arbitrations, regulatory actions, employment terminations, bankruptcy filings, and criminal or civil judicial proceedings.

Are there events disclosed about this broker? **Yes**

**The following types of disclosures have been reported:**

Type	Count
Customer Dispute	1



## Broker Qualifications

### Registrations

This section provides the self-regulatory organizations (SROs) and U.S. states/territories the broker is currently registered and licensed with, the category of each license, and the date on which it became effective. This section also provides, for every brokerage firm with which the broker is currently employed, the address of each branch where the broker works.

**This individual is currently registered with 1 SRO and is licensed in 52 U.S. states and territories through his or her employer.**

### Employment 1 of 1

Firm Name: **FOUNDERS FINANCIAL SECURITIES LLC**

Main Office Address: **1026 CROMWELL BRIDGE ROAD  
SUITE 100  
TOWSON, MD 21286**

Firm CRD#: **137945**

	SRO	Category	Status	Date
B	FINRA	General Securities Principal	Approved	04/06/2006
B	FINRA	General Securities Representative	Approved	04/06/2006
B	FINRA	Invest. Co and Variable Contracts	Approved	04/06/2006
B	FINRA	Municipal Securities Principal	Approved	04/06/2006
B	FINRA	Registered Options Principal	Approved	04/06/2006
B	FINRA	Municipal Securities Representative	Approved	04/10/2006
B	FINRA	Operations Professional	Approved	10/17/2011

	U.S. State/ Territory	Category	Status	Date
B	Alabama	Agent	Approved	04/19/2007
B	Alaska	Agent	Approved	02/26/2009
B	Arizona	Agent	Approved	10/17/2006
B	Arkansas	Agent	Approved	02/29/2008
B	California	Agent	Approved	08/03/2006
B	Colorado	Agent	Approved	02/26/2009

## Broker Qualifications



### Employment 1 of 1, continued

	U.S. State/ Territory	Category	Status	Date
B	Connecticut	Agent	Approved	11/22/2006
B	Delaware	Agent	Approved	06/27/2006
B	District of Columbia	Agent	Approved	04/19/2007
B	Florida	Agent	Approved	08/03/2006
B	Georgia	Agent	Approved	08/04/2006
B	Hawaii	Agent	Approved	10/03/2006
B	Idaho	Agent	Approved	10/17/2006
B	Illinois	Agent	Approved	04/19/2007
B	Indiana	Agent	Approved	08/01/2006
B	Iowa	Agent	Approved	08/11/2006
B	Kansas	Agent	Approved	10/03/2006
B	Kentucky	Agent	Approved	04/19/2007
B	Louisiana	Agent	Approved	03/05/2009
B	Maine	Agent	Approved	09/03/2009
B	Maryland	Agent	Approved	04/27/2006
IA	Maryland	Investment Adviser Representative	Approved	01/06/2023
B	Massachusetts	Agent	Approved	04/19/2007
B	Michigan	Agent	Approved	04/19/2007
B	Minnesota	Agent	Approved	04/19/2007
B	Mississippi	Agent	Approved	10/17/2006
B	Missouri	Agent	Approved	06/10/2008

## Broker Qualifications



### Employment 1 of 1, continued

	U.S. State/ Territory	Category	Status	Date
B	Montana	Agent	Approved	03/04/2009
B	Nebraska	Agent	Approved	02/26/2009
B	Nevada	Agent	Approved	08/23/2006
B	New Hampshire	Agent	Approved	08/24/2006
B	New Jersey	Agent	Approved	06/08/2006
B	New Mexico	Agent	Approved	08/29/2006
B	New York	Agent	Approved	06/19/2006
B	North Carolina	Agent	Approved	07/25/2006
B	North Dakota	Agent	Approved	03/23/2009
B	Ohio	Agent	Approved	04/20/2007
B	Oklahoma	Agent	Approved	02/27/2009
B	Oregon	Agent	Approved	08/15/2006
B	Pennsylvania	Agent	Approved	11/22/2006
B	Puerto Rico	Agent	Approved	09/17/2015
B	Rhode Island	Agent	Approved	02/15/2008
B	South Carolina	Agent	Approved	08/29/2006
B	South Dakota	Agent	Approved	01/28/2008
B	Tennessee	Agent	Approved	04/19/2007
B	Texas	Agent	Approved	08/21/2006
IA	Texas	Investment Adviser Representative	Restricted Approval	01/04/2019
B	Utah	Agent	Approved	03/02/2009



## Broker Qualifications

### Employment 1 of 1, continued

	U.S. State/ Territory	Category	Status	Date
B	Vermont	Agent	Approved	08/17/2006
B	Virginia	Agent	Approved	04/19/2007
B	Washington	Agent	Approved	07/25/2006
B	West Virginia	Agent	Approved	11/22/2006
B	Wisconsin	Agent	Approved	10/17/2006
B	Wyoming	Agent	Approved	03/06/2009

### Branch Office Locations

**FOUNDERS FINANCIAL SECURITIES LLC**  
 1020 CROMWELL BRIDGE RD  
 2ND FLOOR  
 TOWSON, MD 21286

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## Broker Qualifications

### Industry Exams this Broker has Passed

This section includes all securities industry exams that the broker has passed. Under limited circumstances, a broker may attain a registration after receiving an exam waiver based on exams the broker has passed and/or qualifying work experience. Any exam waivers that the broker has received are not included below. A passed exam or exam waiver does not permit a broker to do business without an active SRO or state registration.

**This individual has passed 3 principal/supervisory exams, 5 general industry/product exams, and 2 state securities law exams.**

### Principal/Supervisory Exams

Exam	Category	Date
<b>B</b> Municipal Securities Principal Examination	Series 53	01/13/2006
<b>B</b> Registered Options Principal Examination	Series 4	03/22/2005
<b>B</b> General Securities Principal Examination	Series 24	05/05/1997

### General Industry/Product Exams

Exam	Category	Date
<b>B</b> Municipal Securities Representative Examination	Series 52TO	09/25/2025
<b>B</b> Operations Professional Examination	Series 99TO	01/02/2023
<b>B</b> Securities Industry Essentials Examination	SIE	10/01/2018
<b>B</b> General Securities Representative Examination	Series 7	06/20/1994
<b>B</b> Investment Company Products/Variable Contracts Representative Examination	Series 6	12/03/1992

### State Securities Law Exams

Exam	Category	Date
<b>IA</b> Uniform Investment Adviser Law Examination	Series 65	07/30/1997
<b>B</b> Uniform Securities Agent State Law Examination	Series 63	02/23/1993

Additional information about the above exams or other exams FINRA administers to brokers and other securities professionals can be found at [www.finra.org/brokerqualifications/registeredrep/](http://www.finra.org/brokerqualifications/registeredrep/).





## Broker Qualifications

### Professional Designations

This section details that the representative has reported **1** professional designation(s).

#### Chartered Financial Consultant

This representative holds or did hold **1** 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 and Employment History

### Registration History

The broker previously was registered with the following firms:

Registration Dates	Firm Name	CRD#	Branch Location
<b>IA</b> 09/1997 - 04/2007	INTERSECURITIES, INC.	16164	TOWSON, MD
<b>B</b> 02/1997 - 04/2007	INTERSECURITIES, INC.	16164	TOWSON, MD
<b>B</b> 01/1997 - 01/1997	CRESTAR SECURITIES CORPORATION	17464	RICHMOND, VA
<b>B</b> 12/1992 - 01/1997	CITIZENS BROKERAGE SERVICES, INC.	17666	

### Employment History

This section provides up to 10 years of an individual broker's employment history as reported by the individual broker on the most recently filed Form U4.

**Please note that the broker is required to provide this information only while registered with FINRA or a national securities exchange and the information is not updated via Form U4 after the broker ceases to be registered. Therefore, an employment end date of "Present" may not reflect the broker's current employment status.**

Employment	Employer Name	Position	Investment Related	Employer Location
11/2004 - Present	FOUNDERS FINANACIAL SECURITIES LLC	PRESIDENT/REG. REP.	Y	TIMONIUM, MD, United States

### Other Business Activities

This section includes information, if any, as provided by the broker regarding other business activities the broker 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) BROOKS FINANCIAL GROUP, INC.; INVESTMENT RELATED; 1020 CROMWELL BRIDGE RD, TOWSON, MD; START DATE: 02/1997; FINANCIAL CONSULTANT & INSURANCE AGENT THROUGH FFS & FFIN; 160 HRS PER MONTH; 160 HRS DURING TRADING; INSURANCE SALES AND FINANCIAL PLANNING
- 2) BUILDING FOR GOD COMMUNITY FOUNDATION; NON-INVESTMENT RELATED; 1020 CROMWELL BRIDGE RD, TOWSON, MD; START DATE: 7/2017; BOARD POSITION; 20 HRS PER MONTH; 0 HRS DURING TRADING; 501c3 CHARITABLE ORGANIZATION, SEAT ON BOARD OF GOVERNORS TO HELP ORGANIZE EVENTS
- 3) SERVUS WEALTH LLC; NON-INVESTMENT RELATED; 13507 MANOR RD, BALDWIN MD 21013; START DATE: 09/1/22; OWNER; 0 HRS PER MONTH; 0 HRS DURING TRADING; HOLIDNG COMPANY FOR FOUNDERS FINANCIAL LLC OWNERSHIP; PURCHASING A PERCENTAGE OF FOUNDER FINANCIAL INC AND THAT WILL BE DONE THROUGH THIS LLC
- 4) FOUNDERS FINANCIAL, LLC.; INVESTMENT RELATED; 1020 CROMWELL BRIDGE ROAD TOWSON, MD 21286; START DATE: 1/1/2023; CEO: HOLDING COMPANY FOR MICHAEL BROOKS ENTERPRISES; OVERSEE OVERALL SUCCESS OF ORGANIZATION AND LEADING THE DEVELOPMENT AND EXECUTION OF LONG-TERM STRATEGIES

# Registration and Employment History

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## Disclosure Events



### What you should know about reported disclosure events:

1. All individuals registered to sell securities or provide investment advice are required to disclose customer complaints and arbitrations, regulatory actions, employment terminations, bankruptcy filings, and criminal or civil judicial proceedings.
2. **Certain thresholds must be met before an event is reported to CRD, for example:**
  - A law enforcement agency must file formal charges before a broker is required to disclose a particular criminal event.
  - A customer dispute must involve allegations that a broker engaged in activity that violates certain rules or conduct governing the industry and that the activity resulted in damages of at least \$5,000.
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3. **Disclosure events in BrokerCheck reports come from different sources:**
  - As mentioned at the beginning of this report, information contained in BrokerCheck comes from brokers, brokerage 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 BrokerCheck report. The different versions will be separated by a solid line with the reporting source labeled.
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4. **There are different statuses and dispositions for disclosure events:**
  - A disclosure event may have a status of *pending*, *on appeal*, or *final*.
    - A "pending" event involves allegations that have not been proven or formally adjudicated.
    - An event that is "on appeal" involves allegations that have been adjudicated but are currently being appealed.
    - A "final" event has been concluded and its resolution is not subject to change.
  - A final 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 involves an agreement by the parties to resolve the matter. Please note that brokers and brokerage firms may choose to settle customer disputes or regulatory matters for business or other reasons.
    - A "resolved" matter usually involves no payment to the customer and no finding of wrongdoing on the part of the individual broker. Such matters generally involve customer disputes.

For your convenience, below is a matrix of the number and status of disclosure events involving this broker. Further information regarding these events can be found in the subsequent pages of this report. You also may wish to contact the broker to obtain further information regarding these events.

	Pending	Final	On Appeal
Customer Dispute	0	1	N/A



## Disclosure Event Details

When evaluating this information, please keep in mind that a disclosure event may be pending or involve allegations that are contested and have not been resolved or proven. The matter may, in the end, be withdrawn, dismissed, resolved in favor of the broker, or concluded through a negotiated settlement for certain business reasons (e.g., to maintain customer relationships or to limit the litigation costs associated with disputing the allegations) with no admission or finding of wrongdoing.

This report provides the information exactly as it was reported to CRD and therefore some of the specific data fields contained in the report may be blank if the information was not provided to CRD.

### Customer Dispute - Closed-No Action / Withdrawn / Dismissed / Denied

This type of disclosure event involves (1) a consumer-initiated, investment-related arbitration or civil suit containing allegations of sales practice violations against the individual broker that was dismissed, withdrawn, or denied; or (2) a consumer-initiated, investment-related written complaint containing allegations that the broker engaged in sales practice violations resulting in compensatory damages of at least \$5,000, forgery, theft, or misappropriation, or conversion of funds or securities, which was closed without action, withdrawn, or denied.

#### Disclosure 1 of 1

<b>Reporting Source:</b>	Broker
<b>Employing firm when activities occurred which led to the complaint:</b>	FOUNDERS FINANCIAL SECURITIES LLC
<b>Allegations:</b>	CLIENT ALLEGES THAT A METLIFE VARIABLE ANNUITY CONTRACT THAT WAS EXPLAINED, RECOMMENDED AND CLIENT AGREED TO INVEST INTO ON SEPTEMBER 15, 2008 WAS NOT AN UNSUITABLE INVESTMENT. THE REP DISCLOSED ALL REVELANT FACTS OF THE VARIABLE ANNUITY AND CLIENT SIGNED OFF ON VARIOUS DISCLOSURES INDICATING HE UNDERSTOOD THE INVESTMENT AND ITS BENEFITS AND LIMITATIONS.
<b>Product Type:</b>	Annuity-Variable
<b>Alleged Damages:</b>	\$0.00
<b>Alleged Damages Amount Explanation (if amount not exact):</b>	CLIENT DOES NOT CLAIM SPECIFIC DAMAGES, BUT REQUESTS A FULL SURRENDER OF THE CONTRACT'S ORIGINAL MARKET VALUE WITHOUT SURRENDER CHARGES.
<b>Is this an oral complaint?</b>	No
<b>Is this a written complaint?</b>	Yes
<b>Is this an arbitration/CFTC reparation or civil litigation?</b>	No

## Customer Complaint Information



**Date Complaint Received:** 09/29/2010

**Complaint Pending?** No

**Status:** Denied

**Status Date:** 10/27/2010

**Settlement Amount:**

**Individual Contribution Amount:**

**Broker Statement**

CLIENT IS CLAIMING VARIABLE ANNUITY WAS UNSUITABLE, YET HIS CLAIMS CONTAIN FALSE AND INACCURATE STATEMENTS. REPRESENTATIVE PROVIDED CLIENT WITH ENTIRE FINANCIAL PLAN THAT COVERED LTC, RETIREMENT INCOME AND ESTATE PLANNING. THE VA WAS ONE SMALL ASPECT OF THE OVERALL SET OF RECOMMENDATIONS. REP PROVIDED SUFFICIENT NUMBER OF OPTIONS, INCLUDING A MANAGED MUTUAL FUND PORTFOLIO, TO CHOOSE FROM TO MEET THE CLIENT'S STATED RETIREMENT NEEDS. REP REMAINED IN CONTACT WITH THE CLIENT FOR OVER TWO YEARS AFTER CONTRACT WAS SOLD WITHOUT THE CLIENT RAISING ANY CONCERNS. THE CLIENT SIGNED OFF ON A NUMBER OF DISCLOSURES AS TO HIS UNDERSTANDING OF THE PROS AND CONS OF INVESTING IN A VARIABLE ANNUITY. CLIENT DOES NOT CLAIM ANY SPECIFIC DAMAGES OR RETURN OF ANY LOSSES AS THERE ARE NO LOSSES. CLIENT MERELY WANTS A FULL REFUND OF INITIAL CONTRACT VALUE WITHOUT PAYING SURRENDER CHARGES.

## End of Report



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