

## BrokerCheck Report

**RANDY SCOTT MILLER**

CRD# 4798775

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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).

**RANDY S. MILLER**

CRD# 4798775

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

**IA LARSON FINANCIAL GROUP, LLC**  
 100 N BROADWAY  
 SUITE 1700  
 SAINT LOUIS, MO 63102  
 CRD# 140599  
 Registered with this firm since: 07/19/2007

**B LARSON FINANCIAL SECURITIES, LLC**  
 100 N. BROADWAY  
 SUITE 1700  
 ST. LOUIS, MO 63102  
 CRD# 152517  
 Registered with this firm since: 07/21/2010

**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
- 51 U.S. states and territories

**This broker has passed:**

- 6 Principal/Supervisory Exams
- 3 General Industry/Product Exams
- 1 State Securities Law Exam

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

- IA FINANCIAL NETWORK INVESTMENT CORPORATION**  
 CRD# 13572  
 EL SEGUNDO, CA  
 02/2007 - 08/2010
- B FINANCIAL NETWORK INVESTMENT CORPORATION**  
 CRD# 13572  
 ST. LOUIS, MO  
 02/2007 - 08/2010
- IA AMERIPRISE FINANCIAL SERVICES, INC.**  
 CRD# 6363  
 MINNEAPOLIS, MN  
 06/2004 - 10/2006

**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 51 U.S. states and territories through his or her employer.**

### Employment 1 of 2

Firm Name: **LARSON FINANCIAL GROUP, LLC**  
 Main Office Address: **100 N BROADWAY  
 SUITE 1700  
 SAINT LOUIS, MO 63102**  
 Firm CRD#: **140599**

	U.S. State/ Territory	Category	Status	Date
IA	Illinois	Investment Adviser Representative	Approved	01/03/2011

### Branch Office Locations

100 N BROADWAY  
 SUITE 1700  
 SAINT LOUIS, MO 63102

100 N BROADWAY  
 SUITE 1700  
 SAINT LOUIS, MO 63102

### Employment 2 of 2

Firm Name: **LARSON FINANCIAL SECURITIES, LLC**  
 Main Office Address: **100 N BROADWAY  
 SUITE 1700  
 SAINT LOUIS, MO 63102**  
 Firm CRD#: **152517**

	SRO	Category	Status	Date
B	FINRA	General Securities Representative	Approved	07/21/2010



## Broker Qualifications

### Employment 2 of 2, continued

SRO	Category	Status	Date
<b>B</b> FINRA	General Securities Sales Supervisor	Approved	06/27/2016
<b>B</b> FINRA	General Securities Principal	Approved	08/26/2016
<b>B</b> FINRA	Financial and Operations Principal	Approved	11/08/2017
<b>B</b> FINRA	Municipal Securities Principal	Approved	01/02/2018
<b>B</b> FINRA	Operations Professional	Approved	10/01/2018
<b>B</b> FINRA	Compliance Officer	Approved	10/18/2018

U.S. State/ Territory	Category	Status	Date
<b>B</b> Alabama	Agent	Approved	10/23/2018
<b>B</b> Alaska	Agent	Approved	11/27/2018
<b>B</b> Arizona	Agent	Approved	10/24/2018
<b>B</b> Arkansas	Agent	Approved	11/27/2018
<b>B</b> California	Agent	Approved	01/30/2018
<b>B</b> Colorado	Agent	Approved	11/08/2018
<b>B</b> Connecticut	Agent	Approved	10/22/2018
<b>B</b> Delaware	Agent	Approved	12/20/2018
<b>B</b> District of Columbia	Agent	Approved	10/23/2018
<b>B</b> Florida	Agent	Approved	10/23/2018
<b>B</b> Georgia	Agent	Approved	12/14/2018
<b>B</b> Hawaii	Agent	Approved	02/19/2019
<b>B</b> Idaho	Agent	Approved	10/23/2018
<b>B</b> Illinois	Agent	Approved	07/28/2010

## Broker Qualifications



### Employment 2 of 2, continued

	U.S. State/ Territory	Category	Status	Date
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
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



## Broker Qualifications

### Employment 2 of 2, continued

	U.S. State/ Territory	Category	Status	Date
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
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

**LARSON FINANCIAL SECURITIES, LLC**  
 100 N. BROADWAY  
 SUITE 1700  
 ST. LOUIS, MO 63102



## 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 6 principal/supervisory exams, 3 general industry/product exams, and 1 state securities law exam.**

### Principal/Supervisory Exams

Exam	Category	Date
<b>B</b> Compliance Officer Examination	Series 14	01/02/2023
<b>B</b> Municipal Securities Principal Examination	Series 53	12/27/2017
<b>B</b> Financial and Operations Principal Examination	Series 27	11/08/2017
<b>B</b> General Securities Principal Examination	Series 24	08/26/2016
<b>B</b> General Securities Sales Supervisor - Options Module Examination	Series 9	06/27/2016
<b>B</b> General Securities Sales Supervisor - General Module Examination	Series 10	06/15/2016

### General Industry/Product Exams

Exam	Category	Date
<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	06/16/2004

### State Securities Law Exams

Exam	Category	Date
<b>B</b> <b>IA</b> Uniform Combined State Law Examination	Series 66	05/16/2007

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).

#### Certified Financial Planner

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> 02/2007 - 08/2010	FINANCIAL NETWORK INVESTMENT CORPORATION	13572	ST. LOUIS, MO
<b>B</b> 02/2007 - 08/2010	FINANCIAL NETWORK INVESTMENT CORPORATION	13572	ST. LOUIS, MO
<b>IA</b> 06/2004 - 10/2006	AMERIPRISE FINANCIAL SERVICES, INC.	6363	CHESTERFIELD, MO
<b>B</b> 06/2004 - 10/2006	AMERIPRISE FINANCIAL SERVICES, INC.	6363	CHESTERFIELD, MO
<b>B</b> 06/2004 - 07/2006	IDS LIFE INSURANCE COMPANY	6321	MINNEAPOLIS, MN

### 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
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



## Registration and Employment History

### 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.

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  
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.

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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.
  -
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.
  -
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 - Settled

This type of disclosure event involves a consumer-initiated, investment-related complaint, arbitration proceeding or civil suit containing allegations of sale practice violations against the broker that resulted in a monetary settlement to the customer.

#### Disclosure 1 of 1

<b>Reporting Source:</b>	Broker
<b>Employing firm when activities occurred which led to the complaint:</b>	LARSON FINANCIAL SECURITIES, LLC
<b>Allegations:</b>	CLIENT SENT EMAIL ON10/2/2013 ALLEGING THAT CERTAIN ASPECTS OF VUL WERE NOT DISCLOSED AND WAS NOT STRUCTURED PROPERLY.
<b>Product Type:</b>	Insurance
<b>Alleged Damages:</b>	\$24,000.00
<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

<b>Date Complaint Received:</b>	10/02/2013
<b>Complaint Pending?</b>	No
<b>Status:</b>	Settled
<b>Status Date:</b>	10/23/2013
<b>Settlement Amount:</b>	\$24,000.00
<b>Individual Contribution Amount:</b>	\$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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