

**Part 2B of Form ADV**  
**Brochure Supplement**

**MICHAEL V. BRADLEY**

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**This brochure supplement provides information about Michael V. Bradley that supplements the Bradley Wealth Management, LLC's brochure. You should have received a copy of that brochure. Please contact Michael V. Bradley, Chief Compliance Officer, at (619) 512-4100 if you did not receive Bradley Wealth Management, LLC's brochure or if you have any questions about the content of these attached supplements.**

**Additional information about Michael V. Bradley is available on the SEC's website at [www.adviserinfo.sec.gov](http://www.adviserinfo.sec.gov)**

October 17, 2012

## **Item 2      Education and Business Experience**

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### **A.      General Requirements**

Generally, Bradley Wealth Management, LLC (“BWM”) requires employees to have relevant working experience in the securities industry. Any employee of BWM acting in a representative capacity will be appropriately licensed and registered as such.

### **B.      Educational Background and Business Experience**

Michael V. Bradley

Managing Member/Chief Compliance Officer/Investment Adviser Representative

CRD No: 4605220

Year of Birth: 1965

Mr. Bradley graduated from Nebraska Wesleyan University in 1987, with a Bachelor of Science degree in Business and from University of Phoenix with an M.B.A degree. Mr. Bradley has been Owner and Principal of Bradley Wealth Management, LLC since September of 2009. From April 2003 to September of 2009, Mr. Bradley was President of Wealth Enhancement & Preservation, LLC. From May 2004 until June 2008, he worked as a registered representative with Associated Securities Corp. and as a investment adviser representative for Associated Planners Investment Advisory, Inc. Mr. Bradley was employed with WS Griffith Securities, Inc. from November 2002 until April 2003, and Federal Communications Group from September 2001 until November 2002.

## **Item 3      Disciplinary Information**

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Michael V. Bradley, the Managing Principal, was the subject of a regulatory action involving the State of Arizona Division of Securities (“Arizona Division”) which resulted in this consent to an *Order To Cease And Desist, Order Of Revocation And Denial, Order For Administrative Penalties* (“Arizona Order”) entered on May 21, 2009. The Arizona Order resulted from allegations by the Division that Mr. Bradley was selling interest in a hedge fund, Apex Equity Options Funds, LP (“Apex”) to clients without prior approval of Associated Securities Corp. (“ASC”) a broker-dealer with which he was associated at the time. Without admitting or denying the allegations, Mr. Bradley consented to the Arizona Order and paid a total of \$145,006 in restitution and penalties, which he did immediately after entry of the Arizona Order. Further, as part of the Arizona Order, Mr. Bradley’s securities salesman registration and investment adviser representative licenses were revoked and his pending application was denied. Mr. Bradley asserts that the opportunity to sell interest in Apex was referred to him by his own supervisor, who advised him that he had obtained approval to sell Apex. Furthermore, Mr. Bradley obtained approval from ASC of marketing materials relating to client meetings to discuss Apex, as he was required to do. The Securities and Exchange Commission (“SEC”) investigated Mr. Bradley regarding Apex. By a letter dated March 25, 2010, the SEC indicated that it would not bring an enforcement action against Mr. Bradley.

Mr. Bradley was involved in the following FINRA arbitration proceedings:

(a) FINRA Case 10-00954: While working with Associated Securities Corp. ("ASC"), Mr. Bradley and ASC were named in an arbitration matter involving Apex. Customer allegations involved unsuitable investment in unapproved product in June 2007. The arbitration was settled in February 2011. Mr. Bradley did not have to contribute towards the settlement amount.

(b) FINRA Case 08-01824: While working with Associated Securities Corp. ("ASC"), Mr. Bradley and ASC were named in an arbitration matter involving Apex. Customer allegations involved suitability and misrepresentation that Apex was an approved product for clients. The arbitration was settled on or about May 12, 2008. Mr. Bradley did not have to contribute towards the settlement amount.

#### **Item 4 Other Business Activities**

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Michael V. Bradley is licensed as an insurance agent with the State of California. Mr. Bradley may recommend the purchase of certain insurance-related products on a commission basis. He will receive commission-based compensation for selling insurance products. Clients can engage Mr. Bradley to effect insurance transactions on a commission basis. This practice presents a conflict of interest because Mr. Bradley has an incentive to recommend insurance products to you. The recommendation by Mr. Bradley that a client purchase an insurance commission product presents a ***material conflict of interest***, as the receipt of commissions may provide an incentive to recommend investment products based on commissions received, rather than on a particular client's need. No client is under any obligation to purchase any insurance commission products from Mr. Bradley. Clients are reminded that they may purchase insurance products recommended by BWM through other, non-affiliated insurance agents. You are under no obligation, contractually or otherwise, to purchase insurance products through Mr. Bradley. He will devote approximately 10% of his time per week on this business activity.

Mr. Bradley is not actively engaged in any other investment-related businesses or occupations.

#### **Item 5 Additional Compensation**

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Other than as noted in Item 4 above, Michael V. Bradley does not receive any economic benefit from any third party for providing investment advisory services.

#### **Item 6 Supervision**

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The Firm has and provides investment advisory and supervisory services in accordance with the Registrant's policies and procedures manual. The Firm's Chief Compliance Officer, Michael V. Bradley, is primarily responsible for implementation of the Registrant's policies and procedures. Should an employee or investment adviser representative of the Registrant have any questions regarding the applicability/relevance of the *Act*, the Rules thereunder, any section thereof, or any section of the policies and procedures, he/she should address those questions with the Chief Compliance Officer. Mr. Bradley can be reached at (619) 512-4100.

## **Item 7      Requirements for State-Registered Advisers**

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### **A.1      Arbitration Claims**

Michael V. Bradley has not been found liable in any arbitration claim alleging damages in excess of \$2,500 involving an investment or investment-related business or activity, fraud, false statements, or omissions, theft, embezzlement or other wrongful taking of property, bribery, forgery, counterfeiting or extortion, or dishonest, unfair or unethical practices.

However, Michael V. Bradley, the Managing Principal, was involved in the following FINRA arbitration proceedings:

(a) FINRA Case 10-00954: While working with Associated Securities Corp. ("ASC"), Mr. Bradley and ASC were named in an arbitration matter involving Apex Equity Options Fund, LP ("Apex"). Customer allegations involved unsuitable investment in unapproved product in June 2007. The arbitration was settled in February 2011. Mr. Bradley did not have to contribute towards the settlement amount.

(b) FINRA Case 08-01824: While working with Associated Securities Corp. ("ASC"), Mr. Bradley and ASC were named in an arbitration matter involving Apex Equity Options Fund, LP ("Apex"). Customer allegations involved suitability and misrepresentation that Apex was an approved product for clients. The arbitration was settled on or about May 12, 2008. Mr. Bradley did not have to contribute towards the settlement amount.

### **A.2      Self-Regulatory Organization or Administrative Proceedings**

Michael V. Bradley, the Managing Principal, was the subject of a regulatory action involving the State of Arizona Division of Securities ("Arizona Division") which resulted in this consent to a cease and desist order ("Arizona Order") entered on May 21, 2009. This Arizona Order resulted from allegations by the Division that Mr. Bradley was selling interest in a hedge fund, Apex Equity Options Funds, LP ("Apex") to clients without prior approval of Associated Securities Corp. ("ASC") a broker-dealer with which he was associated at the time. Without admitting or denying the allegations, Mr. Bradley consented to the Division Order and paid a total of \$145,006 in restitution and penalties, which he did immediately after entry of the Division Order. Mr. Bradley asserts that the opportunity to sell interest in Apex was referred to him by his own supervisor, who advised him that he had obtained approval to sell Apex. Furthermore, Mr. Bradley obtained approval from ASC of marketing materials relating to client meetings to discuss Apex, as he was required to do. The Securities and Exchange Commission ("SEC") investigated Mr. Bradley regarding Apex. By a letter dated March 25, 2010, the SEC indicated that it would not bring an enforcement action against Mr. Bradley.

### **B.      Bankruptcy Petitions**

None. Michael V. Bradley has not been the subject of a bankruptcy petition at any time during the last 10 years.