



IAPD Report

JAMES RONALD SANFORD

CRD# 1072165

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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.



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

JAMES RONALD SANFORD (CRD# 1072165)

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 **10/04/2024**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	HUNTLEIGH SECURITIES CORPORATION	CRD# 7456	01/03/2001
IA	HUNTLEIGH ADVISORS, INC.	CRD# 113412	05/30/2019

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **19** 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	DATATEX INVESTMENT SERVICES INC	105440	CORDOVA, TN	03/14/2011 - 03/28/2023
B	K. W. CHAMBERS & CO.	1432	CORDOVA, TN	01/04/1993 - 12/03/2021
B	PFS INVESTMENTS INC.	10111	DULUTH, GA	12/14/1982 - 12/09/1992

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	1
Customer Dispute	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 **19** jurisdiction(s) and 1 SRO(s) through his or her employer(s).

Employment 1 of 2

Firm Name: **HUNTLEIGH ADVISORS, INC.**
Main Address: 7800 FORSYTH BLVD.
5TH FLOOR
ST. LOUIS, MO 63105
Firm ID#: 113412

	Regulator	Registration	Status	Date
IA	Arkansas	Investment Adviser Representative	Approved	09/20/2024
IA	Florida	Investment Adviser Representative	Approved	10/23/2024
IA	Missouri	Investment Adviser Representative	Approved	06/03/2019
IA	Ohio	Investment Adviser Representative	Approved	09/20/2024
IA	Tennessee	Investment Adviser Representative	Approved	05/30/2019
IA	Texas	Investment Adviser Representative	Restricted Approval	09/20/2024

Branch Office Locations

HUNTLEIGH ADVISORS, INC.
154 Timber Creek
Suite 1
Cordova, TN 38018

Employment 2 of 2

Firm Name: **HUNTLEIGH SECURITIES CORPORATION**
Main Address: 7800 FORSYTH BLVD.
5TH FLOOR
ST. LOUIS, MO 63105
Firm ID#: 7456



Qualifications

Regulator	Registration	Status	Date
B FINRA	Corporate Securities Represent	Approved	01/03/2001
B FINRA	Invest. Co and Variable Contracts	Approved	01/03/2001
B FINRA	Investment Co./Variable Contracts Prin	Approved	01/03/2001
B FINRA	Registered Options Representative	Approved	01/03/2001
B Alabama	Agent	Approved	05/04/2011
B Arizona	Agent	Approved	10/12/2023
B Arkansas	Agent	Approved	01/05/2001
B California	Agent	Approved	10/15/2014
B Colorado	Agent	Approved	01/19/2016
B Florida	Agent	Approved	06/30/2008
B Illinois	Agent	Approved	01/19/2016
B Iowa	Agent	Approved	01/18/2011
B Kentucky	Agent	Approved	01/19/2016
B Mississippi	Agent	Approved	01/04/2001
B Missouri	Agent	Approved	10/04/2017
B New Hampshire	Agent	Approved	01/20/2016
B New York	Agent	Approved	09/26/2023
B North Carolina	Agent	Approved	07/26/2010
B Ohio	Agent	Approved	07/25/2023



Qualifications

Regulator	Registration	Status	Date
B Pennsylvania	Agent	Approved	11/20/2017
B South Carolina	Agent	Approved	04/21/2016
B Tennessee	Agent	Approved	02/12/2001
B Texas	Agent	Approved	09/02/2009

Branch Office Locations

154 TIMBER CREEK
SUITE 1
MEMPHIS, TN 38018




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 1 principal/supervisory exam, 4 general industry/product exams, and 2 state securities law exams.



Principal/Supervisory Exams

Exam	Category	Date
 Investment Company Products/Variable Contracts Principal Examination (S26)	Series 26	03/08/1985

General Industry/Product Exams

Exam	Category	Date
 Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
 Registered Options Representative Examination (S42)	Series 42	11/01/1999
 Corporate Securities Limited Representative Examination (S62)	Series 62	11/07/1996
 Investment Company Products/Variable Contracts Representative Examination (S6)	Series 6	12/13/1982

State Securities Law Exams

Exam	Category	Date
 Uniform Investment Adviser Law Examination (S65)	Series 65	01/18/2011
 Uniform Securities Agent State Law Examination (S63)	Series 63	12/13/1982

PROFESSIONAL DESIGNATIONS

This section details that the representative has reported **0** professional designation(s).

No information reported.



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	03/14/2011 - 03/28/2023	DATATEX INVESTMENT SERVICES INC	CRD# 105440	CORDOVA, TN
B	01/04/1993 - 12/03/2021	K. W. CHAMBERS & CO.	CRD# 1432	CORDOVA, TN
B	12/14/1982 - 12/09/1992	PFS INVESTMENTS INC.	CRD# 10111	DULUTH, GA

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
05/2019 - Present	HUNTLEIGH ADVISORS, INC.	REGISTERED INVESTMENT ADVISOR REPRESENTATIVE	Y	MEMPHIS, TN, United States
12/2000 - Present	HUNTLEIGH SECURITIES CORPORATION	RR	Y	MEMPHIS, TN, United States
12/1992 - Present	K. W. CHAMBERS & CO.	SALESMAN	Y	ST. LOUIS, MO, United States
04/2005 - 12/2016	CONFI-DATA LLC	OWNER	N	MEMPHIS, TN, 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.

PREPARES TAX RETURNS FOR CLIENTS AND CONDUCTS INSURANCE SALES W/VARIOUS COMPANIES, THROUGH PREFERRED SERVICES, A SOLE PROPRIETORSHIP. NON-INVESTMENT RELATED; LOCATED AT 154 TIMBER CREEK MEMPHIS, TN 38018; S B AND S, LLC (FAMILY PARTNERSHIP), PARTNER AND MANAGER AS OF FEBRUARY 2012, FARMING AND LIVESTOCK, MOSELLE, MS. NON-INVESTMENT RELATED.



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	1
Customer Dispute	1

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 1

Reporting Source:	Regulator
Regulatory Action Initiated By:	TEXAS STATE SECURITIES BOARD
Sanction(s) Sought:	Civil and Administrative Penalt(ies) /Fine(s)
Other Sanction(s) Sought:	REPRIMANDS
Date Initiated:	12/22/2000
Docket/Case Number:	SSB DKT 00-030;CAF-1411
Employing firm when activity occurred which led to the regulatory action:	K.W. CHAMBERS & CO
Product Type:	Options
Other Product Type(s):	GENERAL SECURITIES
Allegations:	RESPONDENT JAMES R. SANFORD ACTED AS AN AGENT OF K.W. CHAMBERS & CO AT TIMES WHEN HE WAS NOT PROPERLY REGISTERED WITH THE SECURITIES COMMISSIONER AS REQUIRED BY SECTION 12 OF THE TEXAS SECURITIES ACT.
Current Status:	Final
Resolution:	Order
Resolution Date:	12/22/2000
Sanctions Ordered:	Monetary/Fine \$1,000.00



Other Sanctions Ordered: REPRIMAND

Sanction Details: THE DISCIPLINARY ORDER REPRIMANDING A DEALER AND REPRIMANDING AND FINING AN AGENT ALSO ASSESSES K.W. CHAMBERS & CO AN ADMINISTRATIVE FINE IN THE AMOUNT OF \$500 AND JAMES R. SANFORD AN ADMINISTRATIVE FINE IN THE AMOUNT OF \$1,000.

Regulator Statement THE DISCIPLINARY ORDER REPRIMANDING A DEALER AND REPRIMANDING AND FINING AN AGENT ALSO ASSESSES K.W. CHAMBERS & CO AN ADMINISTRATIVE FINE IN THE AMOUNT OF \$500 AND JAMES R. SANFORD AN ADMINISTRATIVE FINE IN THE AMOUNT OF \$1,000.

Reporting Source: Individual

Regulatory Action Initiated By: TEXAS STATE SECURITIES BOARD

Sanction(s) Sought: Civil and Administrative Penalt(ies) /Fine(s)

Other Sanction(s) Sought: REPRIMAND

Date Initiated: 12/22/2000

Docket/Case Number: SSB DKT 00-030; CAF-1411

Employing firm when activity occurred which led to the regulatory action: K.W. CHAMBERS & CO.

Product Type: Options

Other Product Type(s): GENERAL SECURITIES

Allegations: MR. SANFORD ACTED AS AN AGENT OF K.W. CHAMBERS & CO AT TIMES WHEN HE WAS NOT PROPERLY REGISTERED WITH THE TEXAS SECURITIES COMMISSIONER AS REQUIRED BY THE TEXAS SECURITIES ACT.

Current Status: Final

Resolution: Order

Resolution Date: 12/22/2000

Sanctions Ordered: Monetary/Fine \$1,000.00

Other Sanctions Ordered: REPRIMAND

Sanction Details: THE DISCIPLINARY ORDER REPRIMANDING AND FINING MR. SANFORD \$1000 ALSO REPRIMANDED AND FINED THE DEALER, K.W. CHAMBERS & CO., AN ADMINISTRATIVE FINE OF \$500.

Broker Statement WITHOUT ADMITTING ANY WRONGDOING, THE AGENT, MR. SANFORD, AND THE DEALER, K.W. CHAMBERS & CO., AGREED TO ENTER INTO A DISCIPLINARY ORDER IN THE FORM OF A REPRIMAND AND FINE.



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: Individual

Employing firm when activities occurred which led to the complaint: K. W. CHAMBERS & CO.

Allegations: CUSTOMER ALLEGES THAT AN 11/29/99 OPTION TRADE WAS PLACED IN HER ACCOUNT WHICH SHOULD HAVE BEEN PLACED IN HER SISTERS ACCOUNT. CUSTOMER FUTHER ALLEGES THAT REPRESENTATIVE WAS RUDE, AND IN APRIL, 2000 THAT THE REPRESENTATIVE ASSIGNED HER ACCOUNT TO ANOTHER ACCOUNT EXECUTIVE AGAINST HER WISHES.

Product Type: Options

Alleged Damages: \$5,000.00

Alleged Damages Amount Explanation (if amount not exact): CLIENT ESTIMATE

Is this an oral complaint? No

Is this a written complaint? Yes

Is this an arbitration/CFTC reparation or civil litigation? No

Customer Complaint Information

Date Complaint Received: 04/28/2000

Complaint Pending? No

Status: Closed/No Action

Status Date: 04/28/2002

Settlement Amount:

Individual Contribution Amount:



End of Report

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