User Guidance

www.adviserinfo.sec.gov

IAPD Report

David Morris

CRD# 1098464

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

David Morris (CRD# 1098464)

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 **02/08/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	J.P. MORGAN SECURITIES LLC	CRD# 79	01/25/2017
IA	J.P. MORGAN SECURITIES LLC	CRD# 79	01/25/2017

QUALIFICATIONS

This representative is currently registered in **27** SRO(s) and **30** 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	NASHVILLE FINANCIAL SERVICES PLLC	285115	NASHVILLE, TN	09/15/2016 - 11/08/2016
B	AVONDALE PARTNERS, LLC	46838	NASHVILLE, TN	08/31/2010 - 08/17/2016
IA	AVONDALE PARTNERS, LLC	46838	NASHVILLE, TN	08/17/2010 - 08/17/2016

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	2

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 **30** jurisdiction(s) and 27 SRO(s) through his or her employer(s).

Employment 1 of 1

Firm Name: **J.P. MORGAN SECURITIES LLC**

Main Address: 270 PARK AVENUE
NEW YORK, NY 10017

Firm ID#: 79

	Regulator	Registration	Status	Date
B	24X National Exchange LLC	General Securities Representative	Approved	10/31/2025
B	BOX Exchange LLC	General Securities Representative	Approved	01/25/2017
B	Cboe BYX Exchange, Inc.	General Securities Representative	Approved	11/09/2018
B	Cboe BZX Exchange, Inc.	General Securities Representative	Approved	11/09/2018
B	Cboe C2 Exchange, Inc.	General Securities Representative	Approved	01/25/2017
B	Cboe EDGA Exchange, Inc.	General Securities Representative	Approved	11/09/2018
B	Cboe EDGX Exchange, Inc.	General Securities Representative	Approved	11/09/2018
B	Cboe Exchange, Inc.	General Securities Representative	Approved	01/25/2017
B	FINRA	General Securities Representative	Approved	01/25/2017
B	Investors' Exchange LLC	General Securities Representative	Approved	01/25/2017
B	Long-Term Stock Exchange, Inc.	General Securities Representative	Approved	04/27/2020
B	MEMX LLC	General Securities Representative	Approved	02/16/2021
B	MIAX Emerald, LLC	General Securities Representative	Approved	03/22/2019

Qualifications

	Regulator	Registration	Status	Date
B	MIAX PEARL, LLC	General Securities Representative	Approved	11/09/2018
B	MIAX Sapphire	General Securities Representative	Approved	09/23/2024
B	Miami International Securities Exchange, LLC	General Securities Representative	Approved	11/09/2018
B	NYSE American LLC	General Securities Representative	Approved	01/25/2017
B	NYSE Arca, Inc.	General Securities Representative	Approved	01/25/2017
B	NYSE National, Inc.	General Securities Representative	Approved	05/18/2018
B	NYSE Texas, Inc.	General Securities Representative	Approved	01/25/2017
B	Nasdaq GEMX, LLC	General Securities Representative	Approved	01/25/2017
B	Nasdaq ISE, LLC	General Securities Representative	Approved	01/25/2017
B	Nasdaq MRX, LLC	General Securities Representative	Approved	01/25/2017
B	Nasdaq PHLX LLC	General Securities Representative	Approved	01/25/2017
B	Nasdaq Stock Market	General Securities Representative	Approved	01/25/2017
B	Nasdaq Texas, LLC	General Securities Representative	Approved	01/25/2017
B	New York Stock Exchange	General Securities Representative	Approved	01/25/2017
B	Alaska	Agent	Approved	08/24/2023
B	Arizona	Agent	Approved	05/18/2020
B	California	Agent	Approved	01/25/2017
IA	California	Investment Adviser Representative	Approved	01/25/2017

Qualifications

	Regulator	Registration	Status	Date
B	Colorado	Agent	Approved	09/08/2023
B	Connecticut	Agent	Approved	05/10/2024
B	Florida	Agent	Approved	07/28/2017
B	Georgia	Agent	Approved	12/19/2018
B	Hawaii	Agent	Approved	10/21/2020
B	Idaho	Agent	Approved	02/09/2026
B	Illinois	Agent	Approved	12/03/2020
B	Iowa	Agent	Approved	04/12/2017
B	Kentucky	Agent	Approved	04/11/2017
B	Louisiana	Agent	Approved	03/05/2018
B	Maryland	Agent	Approved	07/15/2024
B	Minnesota	Agent	Approved	04/30/2017
B	Missouri	Agent	Approved	12/06/2021
B	Montana	Agent	Approved	12/03/2018
B	Nevada	Agent	Approved	10/11/2018
B	New Mexico	Agent	Approved	07/19/2023
B	New York	Agent	Approved	07/01/2023
B	Ohio	Agent	Approved	06/03/2022
B	Oregon	Agent	Approved	03/01/2018

Qualifications

	Regulator	Registration	Status	Date
B	South Carolina	Agent	Approved	10/28/2019
B	Tennessee	Agent	Approved	04/12/2017
B	Texas	Agent	Approved	10/17/2019
IA	Texas	Investment Adviser Representative	Restricted Approval	10/22/2019
B	Utah	Agent	Approved	10/02/2023
B	Virginia	Agent	Approved	11/09/2018
B	Washington	Agent	Approved	06/07/2018
B	Wisconsin	Agent	Approved	01/11/2019
B	Wyoming	Agent	Approved	01/12/2026

Branch Office Locations

J.P. MORGAN SECURITIES LLC
3498 TELEGRAPH RD.
VENTURA, CA 93003

J.P. MORGAN SECURITIES LLC
1215 MARICOPA RD.
OJAI, CA 93023

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, 5 general industry/product exams, and 2 state securities law exams.

Principal/Supervisory Exams

	Exam	Category	Date
B	General Securities Principal Examination (S24)	Series 24	11/08/1994

General Industry/Product Exams

	Exam	Category	Date
B	Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
B	Limited Representative-Equity Trader Exam (S55)	Series 55	05/01/2000
B	National Commodity Futures Examination (S3)	Series 3	10/17/1986
B	Interest Rate Options Examination (S5)	Series 5	03/30/1983
B	General Securities Representative Examination (S7)	Series 7	02/19/1983

State Securities Law Exams

	Exam	Category	Date
B	Uniform Securities Agent State Law Examination (S63)	Series 63	08/21/2010
IA B	Uniform Combined State Law Examination (S66)	Series 66	02/02/2006

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	09/15/2016 - 11/08/2016	NASHVILLE FINANCIAL SERVICES PLLC	CRD# 285115	NASHVILLE, TN
B	08/31/2010 - 08/17/2016	AVONDALE PARTNERS, LLC	CRD# 46838	NASHVILLE, TN
IA	08/17/2010 - 08/17/2016	AVONDALE PARTNERS, LLC	CRD# 46838	NASHVILLE, TN
IA	09/24/2009 - 12/23/2010	CHURCH STREET ADVISORS LLC	CRD# 139458	FRANKLIN, TN
IA	02/22/2006 - 05/21/2008	CHURCH STREET ADVISORS LLC	CRD# 139458	FRANKLIN, TN
B	10/31/2002 - 11/23/2005	ELECTRONIC TRADING GROUP, LLC	CRD# 37453	FRANKLIN, TN
B	07/26/2001 - 11/08/2002	ROTHSCHILD LIEBERMAN LTD.	CRD# 10030	NEW YORK, NY
B	05/05/2000 - 09/11/2000	FIRST NEW YORK SECURITIES L.L.C.	CRD# 16362	NEW YORK, NY
B	01/07/2000 - 05/04/2000	ETG, L.L.C.	CRD# 37453	NEW YORK, NY
B	07/21/1992 - 01/03/2000	FIRST NEW YORK SECURITIES L.L.C.	CRD# 16362	NEW YORK, NY
B	02/07/1990 - 11/26/1990	FIRST NEW YORK SECURITIES L.L.C.	CRD# 16362	NEW YORK, NY
B	05/29/1986 - 02/05/1990	OPPENHEIMER & CO., INC.	CRD# 630	NEW YORK, NY
B	03/01/1983 - 06/10/1986	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	CRD# 7691	

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
08/2025 - Present	DevonLane Partners LLC	Owner/Partner	N	VENTURA, CA, United States
01/2017 - Present	JPMorgan Securities LLC	Private Client Advisor	Y	Ventura, CA, United States
12/2016 - 12/2018	AVONDALE PARTNERS, LLC.	NON EQUITY PARTICIPATING INTEREST	Y	NASHVILLE, TN, United States
09/2016 - 12/2016	Nashville Financial Services PLLC	managing member	Y	Nashville, TN, United States
08/2010 - 08/2016	AVONDALE PARTNERS, LLC	FINANCIAL ADVISOR	Y	NASHVILLE, 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.

Entity Name: DevonLane Partners LLC
Investment related: No
Address: Private Residence
Nature of the other business: Real Estate
Position/Title/Relationship: Owner/Partner
Start Date: 08/04/2025
Approximate # of hours a week: 0-10
Approximate # of hours during securities trading hours: 0
Briefly describe your duties: real estate investment

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	2

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 2

Reporting Source:	Individual
Regulatory Action Initiated By:	SECURITIES DIVISION, COMM. OF COMMERCE & INSURANCE, TENN.
Sanction(s) Sought:	
Other Sanction(s) Sought:	
Date Initiated:	05/01/1986
Docket/Case Number:	
Employing firm when activity occurred which led to the regulatory action:	
Product Type:	
Other Product Type(s):	
Allegations:	OPTION UNSUITABILITY
Current Status:	Final
Resolution:	Decision
Resolution Date:	02/06/1987
Sanctions Ordered:	Suspension
Other Sanctions Ordered:	
Sanction Details:	TENNESSEE ACCEPTED THE WITHDRAWAL OF MR. MORRIS' REGISTRATION. MR. MORRIS MAY NOT REAPPLY FOR REGISTRATION UNTIL AFTER JUNE 15, 1987. MR. MORRIS CANNOT ENGAGE IN OPTIONS

	TRANSACTIONS FOR THE ACCOUNT OF ANY TENNESSEE CLIENT UNTIL JUNE 15, 1989.
Broker Statement	Not Provided

Disclosure 2 of 2

Reporting Source:	Regulator
Regulatory Action Initiated By:	TENNESSEE
Sanction(s) Sought:	
Other Sanction(s) Sought:	
Date Initiated:	02/06/1987
Docket/Case Number:	87-MISC-03
Employing firm when activity occurred which led to the regulatory action:	OPPENHEIMER
Product Type:	
Other Product Type(s):	
Allegations:	
Current Status:	Final
Resolution:	Consent
Resolution Date:	02/06/1987
Regulator Statement	10/8/87-FORM U6 (8103-27287) DISCLOSES CONSENT ORDER ENTERED IN WHICH DAVID LEE MORRIS AGREED TO WITHDRAW HIS APPLICATION FOR REGISTRATION, AND HE WILL NOT REAPPLY FOR THREE MONTHS. SHOULD MORRIS BECOME REGISTERED IN TENNESSEE AFTER JUNE 15, 1987, HE WILL NOT ENGAGE IN OPTIONS TRANSACTIONS FOR THE ACCOUNT OF ANY CLIENT. DOCKET/CASE NO. 87-MISC-03, DATED FEBRUARY 6, 1987.

Reporting Source:	Firm
Regulatory Action Initiated By:	TENNESSEE
Sanction(s) Sought:	
Other Sanction(s) Sought:	
Date Initiated:	02/06/1987
Docket/Case Number:	87-MISC-03
Employing firm when activity occurred which led to the regulatory action:	OPPENHEIMER
Product Type:	

Other Product Type(s):

Allegations:

Current Status: Final

Resolution: Consent

Resolution Date: 02/06/1987

Firm Statement THE STATE OF TENNESSEE INVESTIGATED A COMPLAINT FILED AGAINST MORRIS BY SALLY FREELAND. ON FEBRUARY 6, 1987, MORRIS, WITHOUT ADMITTING
OR DENYING ANY WRONGDOING, CONSENTED TO AN ORDER ISSUED BY THE
STATE OF TENNESSEE: THE STATE ACCEPTED THE WITHDRAWAL OF MORRIS'
REGISTRATION; HE MAY NOT REAPPLY FOR REGISTRATION UNTIL JUNE 15, 1987; AND HE MAY NOT ENGAGE IN OPTIONS TRANSACTIONS FOR THE ACCOUNT OF ANY TENNESSEE CLIENT UNTIL JUNE 15, 1989.

Reporting Source: Individual

Regulatory Action Initiated By: SECURIITES DIVISION, COMM OF COMMERCE & INSURANCE, TENN.

Sanction(s) Sought:

Other Sanction(s) Sought:

Date Initiated: 02/06/1987

Docket/Case Number: 87-MISC-03

Employing firm when activity occurred which led to the regulatory action: OPPENHEIMER

Product Type:

Other Product Type(s):

Allegations: TRANSACTED BUSINESS IN TENN AS AGENT OF OPPENHEIMER FROM 6/6/86 TO 12/10/86 WHILE NOT REGISTERED IN TENN.

Current Status: Final

Resolution: Consent

Resolution Date: 02/06/1987

Sanctions Ordered:

Other Sanctions Ordered:

Sanction Details: WITHDRAWAL OF APPLICATION FOR REGISTRATION -
CANT RESUMBIT APPLICATION UNTIL JAN 22, 1990.
FINE OF $1,500.
CEASE & DESIST FROM FURTHER VIOLATIONS.

Broker Statement Not Provided

End of Report

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