User Guidance

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IAPD Report

GEORGE WAYNE LOLLIS

CRD# 1194059

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

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Report Summary

GEORGE WAYNE LOLLIS (CRD# 1194059)

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 **04/20/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	PROSPERA FINANCIAL SERVICES, INC.	CRD# 10740	11/26/2003
IA	PROSPERA FINANCIAL SERVICES, INC.	CRD# 10740	01/21/2004

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **15** 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	UBS FINANCIAL SERVICES INC.	8174	DALLAS, TX	04/19/1999 - 12/04/2003
B	UBS FINANCIAL SERVICES INC.	8174	WEEHAWKEN, NJ	04/17/1999 - 12/04/2003
B	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	7691	NEW YORK, NY	12/05/1990 - 03/31/1999

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
Criminal	1
Customer Dispute	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 **15** jurisdiction(s) and 1 SRO(s) through his or her employer(s).

Employment 1 of 1

Firm Name: **PROSPERA FINANCIAL SERVICES, INC.**

Main Address: 5429 LBJ FREEWAY
SUITE 750
DALLAS, TX 75240

Firm ID#: 10740

	Regulator	Registration	Status	Date
B	FINRA	General Securities Representative	Approved	11/26/2003
B	FINRA	Operations Professional	Approved	12/07/2011
B	Arizona	Agent	Approved	07/29/2025
B	California	Agent	Approved	12/03/2003
B	Colorado	Agent	Approved	01/08/2009
B	Connecticut	Agent	Approved	04/26/2021
B	Florida	Agent	Approved	02/24/2022
B	Illinois	Agent	Approved	04/29/2021
B	Louisiana	Agent	Approved	04/20/2026
B	Massachusetts	Agent	Approved	04/27/2021
B	New York	Agent	Approved	04/30/2021
B	Oklahoma	Agent	Approved	04/08/2015
B	Rhode Island	Agent	Approved	07/22/2021

Qualifications

	Regulator	Registration	Status	Date
B	South Carolina	Agent	Approved	03/20/2018
B	South Dakota	Agent	Approved	07/07/2021
B	Texas	Agent	Approved	11/26/2003
IA	Texas	Investment Adviser Representative	Approved	01/21/2004
B	Vermont	Agent	Approved	04/26/2021

Branch Office Locations

PROSPERA FINANCIAL SERVICES, INC.
Tyler, TX

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

Principal/Supervisory Exams

	Exam	Category	Date
	No information reported.		

General Industry/Product Exams

	Exam	Category	Date
B	Operations Professional Examination (S99TO)	Series 99TO	01/02/2023
B	Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
B	General Securities Representative Examination (S7)	Series 7	04/20/1985
B	Direct Participation Programs Representative Examination (S22)	Series 22	11/16/1983

State Securities Law Exams

	Exam	Category	Date
IA B	Uniform Combined State Law Examination (S66)	Series 66	07/25/2007
B	Uniform Securities Agent State Law Examination (S63)	Series 63	11/16/1983

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	04/19/1999 - 12/04/2003	UBS FINANCIAL SERVICES INC.	CRD# 8174	DALLAS, TX
B	04/17/1999 - 12/04/2003	UBS FINANCIAL SERVICES INC.	CRD# 8174	WEEHAWKEN, NJ
B	12/05/1990 - 03/31/1999	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	CRD# 7691	NEW YORK, NY
B	01/30/1990 - 10/31/1990	IFP, INCORPORATED	CRD# 15836	DALLAS, TX
B	11/12/1984 - 01/23/1988	WPRC SECURITIES, INC.	CRD# 15081	
B	11/18/1983 - 03/27/1984	MGA SECURITIES CORPORATION	CRD# 7825	

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
12/2003 - Present	Prospera Financial Services	Registered Representative	Y	Dallas, TX, United States
05/1982 - Present	APPRECIABLE RESOURCES LLC	MANAGING PARTNER	N	DALLAS, TX, United States
01/1975 - Present	FINANCIAL PLANNER FOR SELF,	OTHER - INV MGR	N	DALLAS, TX, 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.

APPRECIABLE RESOURCES, LLC , MANAGING PARTNER
FAMILY PARTNERSHIP INVOLVING REAL ESTATE INVESTMENTS. NON-INVESTMENT RELATED BUSINESS.
* PRESIDENT/CEO OF OPUS FORTUNATUS THREE, LLC
DATA CENTER, LOCATED IN DALLAS, TX, 30 HRS PER WEEK SPENT ON THIS DURING MARKET HOURS. 15% OF ANNUAL INCOME EARNED.
Mr. LOLLIS IS A LIMITED PARTNER TO TUP 17000 DNP L.P. LOCATED AT 909 PAMPA DRIVE, ALLEN, TX 75013. THIS BUSINESS IS NOT INVESTMENT RELATED SPENDING 0 HOURS A WEEK CONDUCTING THIS BUSINESS. COMPENSATION IS 1-20% OF ANNUAL INCOME.

Registration & Employment History

OTHER BUSINESS ACTIVITIES

FLWW, LLC dba Wealth Visory; Investment Related - Yes; 7110 Pecan Street, Frisco, TX 75034; DBA for offering financial services; Advisor; Managing Partner; 08/2021; 50 Hours per Month; 50 During Trading Hours; providing financial planning and investment-related services.

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
Criminal	1
Customer Dispute	2

Criminal

This disclosure event involves a criminal charge against the Investment Adviser Representative that has resulted in a dismissal, plea, acquittal or conviction. The criminal matter may relate to any felony or certain misdemeanor offenses (e.g., bribery, perjury, forgery, counterfeiting, extortion, fraud, wrongful taking of property).

Disclosure 1 of 1

Reporting Source:	Individual
Charge Date:	07/01/1977
Charge Details:	
Felony?	
Current Status:	Final
Status Date:	07/01/1977
Broker Statement	LOLLIS WAS CHARGED WITH ASSAULT IN JULY, 1977. HE PLEADED NOLO CONTENDERE. THE CASE WAS SUBSEQUENTLY DISMISSED. IN JULY, 1976, LOLLIS WAS STOPPED BY THE RICHARDSON POLICE DEPARTMENT. DURING A SEARCH OF HIS CAR, THE POLICE FOUND A C.B. RADIO BELONGING TO ONE OF THE PASSENGER IN LOLLIS' CAR. THE POLICE CLAIMED THAT THE C.B. RADIO WAS STOLEN AND TOOK THEM IN FOR QUESTIONING. LOLLIS PROVED OWNERSHIP OF THE CAR AND HIS PASSENGER PROVED OWNERSHIP OF THE C.B. RADIO.

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 2

Reporting Source:	Firm
Employing firm when activities occurred which led to the complaint:	UBS FINANCIAL SERVICES INC.
Allegations:	CLIENT VERBALLY ALLEGES FA FAILED TO ADD INCOME BENEFIT RIDER TO ANNUITY AS REQUESTED. DAMAGES UNSPECIFIED.
Product Type:	Annuity(ies) - Variable
Alleged Damages:	

Customer Complaint Information

Date Complaint Received:	02/27/2003
Complaint Pending?	No
Status:	Settled
Status Date:	12/23/2003
Settlement Amount:	$200,000.00
Individual Contribution Amount:	$0.00

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	UBS FINANCIAL SERVICES
Allegations:	THIS DRP IS BEING FILED AS A RESULT OF A U-5 AMENDMENT FROM UBS FINANCIAL SERVICES PERTAINING TO A SETTLEMENT PAID BY THEM TO THE CLIENTS FOR OMISSION OF AN INCOME BENEFIT RIDER TO AN ANNUITY POLICY. MR. LOLLIS HAS OBTAINED A LETTER FROM THE CLIENTS STATING THAT AT NO TIME HAVE THEY MADE A WRITTEN OR VERBAL COMPLAINT ALLEGING THAT HE WAS INVOLVED IN A SALES PRACTICE VIOLATION. MR. LOLLIS HAS REQUESTED FROM UBS FINANCIAL SERVICES THAT THEY REMOVE THIS ERRONEOUS INFORMATION. MR. LOLLIS WAS NOT INVOLVED IN ANY SETTLEMENT CONVERSATIONS BETWEEN THE [CUSTOMERS] AND UBS FINANCIAL, NOR DID HE CONTRIBUTE TO THE MONETARY SETTLEMENT.
Product Type:	Annuity(ies) - Variable
Alleged Damages:	

Customer Complaint Information

Date Complaint Received:	02/27/2003

Complaint Pending? No

Status: Settled

Status Date: 12/23/2003

Settlement Amount: $200,000.00

Individual Contribution Amount: $0.00

Disclosure 2 of 2

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED

Allegations: INVESTMENT ADVISORS INC. ALLEGES THAT THE
FINANCIAL CONSULTANT FAILED TO ADVISE IT THAT IT WAS
POTENTIALLY STRUCTURING AN INVESTMENT PORTFOLIO CONTRARY TO THE
CUSTOMER INVESTMENT OBJECTIVES.

Product Type:

Alleged Damages:

Customer Complaint Information

Date Complaint Received:

Complaint Pending? No

Status: Settled

Status Date:

Settlement Amount:

Individual Contribution Amount:

Broker Statement ALL CROSS AND THIRD PARTY CLAIMS WERE DISMISSED
BY AGREEMENT WHEN THE UNDERLYING CLAIM WAS SETTLED BETWEEN [THIRD PARTY], INVESTMENT ADVISORS INC., [THIRD PARTY] AND MERRILL LYNCH.
MERRILL LYNCH CONTRIBUTED $158,000 TOWARDS THE SETTLEMENT.
[THIRD PARTY] FILED A CLAIM AGAINST MERRILL
LYNCH. IAI, [THIRD PARTY'S] FORMER INVESTMENT ADVISOR, AND IAI'S FORMER OFFICER [THIRD PARTY]. [THIRD PARTY] NEVER FILED A CLAIM AGAINST LOLLIS. SUBSEQUENTLY. IAI AND [THIRD PARTY] FILED A THIRD PARTY CLAIM AGAINST LOLLIS AND A CROSS CLAIM AGAINST MERRILLL LYNCH IN ORDER TO HOLD THEM LIABLE ONLY FOR CONTRIBUTION IN THE EVENT THAT IAI AND [THIRD PARTY] WERE HELD TO BE LIABLE TO [THIRD PARTY].
MERRILL LYNCH AND LOLLIS FILED A CROSS CLAIM AGAINST IAI AND [THIRD PARTY].

End of Report

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