



## IAPD Report

# IVAN JERRY SINGLETON

CRD# 1249354

<b><u>Section Title</u></b>	<b><u>Page(s)</u></b>
Report Summary	1
Qualifications	2 - 7
Registration and Employment History	8
Disclosure Information	9



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

### IVAN JERRY SINGLETON (CRD# 1249354)

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 **11/11/2025**.

### CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
<b>B</b>	SIGNAL SECURITIES, INC.	CRD# 15916	11/25/1988
<b>IA</b>	SIGNAL SECURITIES, INC.	CRD# 15916	11/30/1988

### QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **37** 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
<b>B</b>	T.L. SMITH SECURITIES	17978	LOCATION	01/04/1995 - 08/17/1995
<b>B</b>	VAUTRAIN NELSON LEFEVRE, ENDSLEY AND DURHAM, INC.	15697	LOCATION	11/05/1987 - 10/12/1989
<b>B</b>	TREE SECURITIES CORPORATION	14027	LOCATION	11/13/1984 - 01/01/1988

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



## 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 **37** jurisdiction(s) and 1 SRO(s) through his or her employer(s).

### Employment 1 of 1

Firm Name: **SIGNAL SECURITIES, INC.**

Main Address: 700 THROCKMORTON  
FORT WORTH, TX 76102

Firm ID#: 15916

	Regulator	Registration	Status	Date
	FINRA	Direct Participation Programs	Approved	11/25/1988
	FINRA	Direct Participation Programs Principal	Approved	11/25/1988
	FINRA	Corporate Securities Represent	Approved	12/20/1988
	FINRA	Invest. Co and Variable Contracts	Approved	12/20/1988
	FINRA	Municipal Securities Representative	Approved	12/20/1988
	FINRA	General Securities Principal	Approved	02/08/1989
	FINRA	Municipal Securities Principal	Approved	11/13/1989
	FINRA	Registered Options Representative	Approved	08/08/1995
	FINRA	General Securities Representative	Approved	10/06/1995
	Alabama	Agent	Approved	01/05/2000
	Arizona	Agent	Approved	06/05/1998
	Arkansas	Agent	Approved	05/08/1992
	California	Agent	Approved	04/20/1993



## Qualifications

	Regulator	Registration	Status	Date
IA	California	Investment Adviser Representative	Approved	11/12/2025
B	Colorado	Agent	Approved	01/15/1990
IA	Colorado	Investment Adviser Representative	Approved	06/16/2016
B	Florida	Agent	Approved	06/27/1991
B	Georgia	Agent	Approved	07/17/1996
B	Idaho	Agent	Approved	01/05/2000
B	Illinois	Agent	Approved	04/12/1991
B	Indiana	Agent	Approved	12/04/1990
B	Kansas	Agent	Approved	04/06/1992
B	Kentucky	Agent	Approved	01/10/2000
B	Louisiana	Agent	Approved	04/25/1990
B	Maine	Agent	Approved	01/05/2004
B	Maryland	Agent	Approved	01/05/2000
B	Massachusetts	Agent	Approved	09/25/1995
B	Michigan	Agent	Approved	01/09/1996
B	Minnesota	Agent	Approved	01/05/2000
B	Mississippi	Agent	Approved	09/23/1993
B	Missouri	Agent	Approved	02/28/1994
B	Nebraska	Agent	Approved	01/05/1998



## Qualifications

	Regulator	Registration	Status	Date
B	Nevada	Agent	Approved	07/30/1997
B	New Jersey	Agent	Approved	01/05/2000
B	New Mexico	Agent	Approved	01/08/2002
B	New York	Agent	Approved	01/14/1997
B	North Carolina	Agent	Approved	02/19/1998
B	Ohio	Agent	Approved	12/06/1990
B	Oklahoma	Agent	Approved	03/20/1990
IA	Oklahoma	Investment Adviser Representative	Approved	01/13/2022
B	Oregon	Agent	Approved	07/14/1995
B	Pennsylvania	Agent	Approved	01/25/2006
B	South Carolina	Agent	Approved	01/11/2000
B	South Dakota	Agent	Approved	11/12/2003
B	Texas	Agent	Approved	11/30/1988
IA	Texas	Investment Adviser Representative	Approved	11/30/1988
B	Utah	Agent	Approved	02/14/1991
B	Virginia	Agent	Approved	01/05/2000
B	Washington	Agent	Approved	01/05/2000
B	Wisconsin	Agent	Approved	02/19/1993



## Qualifications

### Branch Office Locations

**SIGNAL SECURITIES, INC.**  
700 THROCKMORTON STREET  
FORT WORTH, TX 76102

**SIGNAL SECURITIES, INC.**  
4911 FALL CREEK HWY  
GRANBURY, TX 76049

**SIGNAL SECURITIES, INC.**  
8105 Rasor Blvd.  
Ste. 216  
PLANO, TX 75024

**SIGNAL SECURITIES, INC.**  
Benbrook, 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 3 principal/supervisory exams, 7 general industry/product exams, and 2 state securities law exams.**


#### Principal/Supervisory Exams

	Exam	Category	Date
	Municipal Securities Principal Examination (S53)	Series 53	11/09/1989
	General Securities Principal Examination (S24)	Series 24	02/06/1989
	Direct Participation Programs Principal Examination (S39)	Series 39	04/29/1985

#### General Industry/Product Exams

	Exam	Category	Date
	General Securities Representative Examination (S7TO)	Series 7TO	01/02/2023
	Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
	Registered Options Representative Examination (S42)	Series 42	08/07/1995
	Municipal Securities Representative Examination (S52)	Series 52	09/13/1988
	Corporate Securities Limited Representative Examination (S62)	Series 62	07/06/1988
	Investment Company Products/Variable Contracts Representative Examination (S6)	Series 6	10/05/1987
	Direct Participation Programs Representative Examination (S22)	Series 22	11/12/1984

#### State Securities Law Exams

	Exam	Category	Date
	Uniform Investment Adviser Law Examination (S65)	Series 65	08/12/1996





## Qualifications



### PASSED INDUSTRY EXAMS

#### State Securities Law Exams

Exam	Category	Date
<b>B</b> Uniform Securities Agent State Law Examination (S63)	Series 63	10/15/1984



### 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
B	01/04/1995 - 08/17/1995	T.L. SMITH SECURITIES	CRD# 17978	
B	11/05/1987 - 10/12/1989	VAUTRAIN NELSON LEFEVRE, ENDSLEY AND DURHAM, INC.	CRD# 15697	
B	11/13/1984 - 01/01/1988	TREE SECURITIES CORPORATION	CRD# 14027	

### 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
07/1988 - Present	SIGNAL SECURITIES, INC.	NOT PROVIDED	Y	FORT WORTH, 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.

700 THROCKMORTON FT WORTH, TX 76102

INSURANCE SALES

SOLE PROPRIOTOR

1-5

1-5

FIXED INSURANCE SALES



## 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

### 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

<b>Reporting Source:</b>	Regulator
<b>Regulatory Action Initiated By:</b>	UNITED STATES SECURITIES AND EXCHANGE COMMISSION
<b>Sanction(s) Sought:</b>	Suspension
<b>Other Sanction(s) Sought:</b>	A CIVIL PENALTY
<b>Date Initiated:</b>	09/26/2000
<b>Docket/Case Number:</b>	REL. 34-43350; FILE #3-10304
<b>Employing firm when activity occurred which led to the regulatory action:</b>	SIGNAL SECURITIES, INC,
<b>Product Type:</b>	Other
<b>Other Product Type(s):</b>	UNKNOWN TYPE OF SECURITIES
<b>Allegations:</b>	+10/10/2000+ SEC NEWS DIGEST, ISSUE #2000-186, DATED 09/27/2000, ENFORCEMENT PROCEEDINGS, AND ADMINISTRATIVE PROCEEDING RELEASE #34-43350 DATED 09/26/2000, DISCLOSES: ON 09/26/2000, THE SEC INSTITUTED PUBLIC ADMINISTRATIVE AND CEASE AND DESIST PROCEEDINGS ("ORDER") AGAINST RESPONDENT IVAN J. SINGLETON ("RESPONDENT" OR "SINGLETON") PURSUANT TO SECTIONS 15(B) AND 19(H) OF THE SECURITIES EXCHANGE ACT 1934 ("EXCHANGE ACT"). THIS MATTER ARISES FROM THE FAILURE OF SINGLETON REASONABLY TO SUPERVISE A FORMER REGISTERED REPRESENTATIVE ("REPRESENTATIVE") OF REGISTERED BROKER-DEALER FIRM ("FIRM"), WITH A VIEW TOWARD PREVENTING VIOLATIONS OF SECTION 17(A) OF THE SECURITIES ACT OF 1933 AND SECTION 10(B) OF THE EXCHANGE ACT AND RULE 10B-5 THEREUNDER. SINGLETON FAILED TO REASONABLY SUPERVISE A REPRESENTATIVE WHO HAD A HISTORY OF COMPLIANCE



RELATED CONCERNS BEFORE JOINING THE FIRM AND WHO MISAPPROPRIATED \$2 MILLION FROM PUBLIC CUSTOMERS FOR HIS OWN USE PRIOR TO AND DURING HIS ASSOCIATION WITH THE FIRM. THE SEC ALSO ALLEGED THAT SINGLETON WAS RESPONSIBLE FOR ESTABLISHING EFFECTIVE SUPERVISORY PROCEDURES FOR THE FIRM. THE FIRM'S PROCEDURES WERE DEFICIENT IN A NUMBER OF AREAS. AS PRESIDENT, SINGLETON FAILED TO ENSURE THAT FIRM AND ITS SUPERVISORS HAD REASONABLE PROCEDURES AND IMPLEMENTED THOSE PROCEDURES.

**Current Status:** Final

**Resolution:** Order

**Resolution Date:** 09/26/2000

**Sanctions Ordered:** Monetary/Fine \$15,000.00  
Suspension

**Other Sanctions Ordered:**

**Sanction Details:** (1) SINGLETON IS HEREBY SUSPENDED FROM ASSOCIATION WITH ANY BROKER OR DEALER IN ANY SUPERVISORY OR PROPRIETARY CAPACITY FOR A PERIOD OF SIX MONTHS; (2) SINGLETON SHALL, WITHIN 90 DAYS OF THE ISSUANCE OF THIS ORDER, PAY A CIVIL MONEY PENALTY IN THE AMOUNT OF \$15,000 TO THE UNITED STATES TREASURY.

**Regulator Statement** THE SEC INSTITUTED PUBLIC ADMINISTRATIVE AND CEASE AND DESIST PROCEEDINGS ("ORDER") AGAINST RESPONDENT IVAN J. SINGLETON PURSUANT TO SECTIONS 15(B) AND 19(H) OF THE SECURITIES EXCHANGE ACT 1934 ("EXCHANGE ACT"). IN ANTICIPATION OF THE INSTITUTION OF THESE PROCEEDINGS, SINGLETON HAS SUBMITTED AN OFFER OF SETTLEMENT ("OFFER"), WHICH THE SEC HAS DETERMINED TO ACCEPT. WITHOUT ADMITTING OR DENYING THE SEC'S FINDINGS, SINGLETON CONSENTED TO THE ENTRY OF THE ORDER INSTITUTING PROCEEDINGS, MAKING FINDINGS AND IMPOSING REMEDIAL SANCTIONS. THE SEC ALLEGED THAT SINGLETON FAILED ADEQUATELY TO SUPERVISE A FORMER REGISTERED REPRESENTATIVE. SINGLETON IS HEREBY SUSPENDED FROM ASSOCIATION WITH ANY BROKER OR DEALER IN ANY SUPERVISORY OR PROPRIETARY CAPACITY FOR A PERIOD OF SIX MONTHS AND ORDERED TO PAY A CIVIL PENALTY. (REL. 34-43350; FILE #3-10304)

.....

**Reporting Source:** Individual

**Regulatory Action Initiated By:** SECURITIES AND EXCHANGE COMMISSION

**Sanction(s) Sought:** Suspension

**Date Initiated:** 09/26/2000

**Docket/Case Number:** REL 34-43350; FILE NO. 3-10304

**Employing firm when activity occurred which led to the regulatory action:** SIGNAL SECURITIES, INC.

**Product Type:** No Product

**Allegations:** +10/10/2000+ SEC NEWS DIGEST, ISSUE #2000-186, DATED 09/27/2000, ENFORCEMENT PROCEEDINGS, AND ADMINISTRATIVE PROCEEDING RELEASE #34-43350 DATED 09/26/2000, DISCLOSES: ON 09/26/2000, THE SEC INSTITUTED PUBLIC ADMINISTRATIVE AND CEASE AND DESIST



PROCEEDINGS ("ORDER") AGAINST RESPONDENT IVAN J. SINGLETON ("RESPONDENT" OR "SINGLETON") PURSUANT TO SECTIONS 15(B) AND 19(H) OF THE SECURITIES EXCHANGE ACT 1934 ("EXCHANGE ACT"). THIS MATTER ARISES FROM THE FAILURE OF SINGLETON REASONABLY TO SUPERVISE A FORMER REGISTERED REPRESENTATIVE ("REPRESENTATIVE") OF REGISTERED BROKER-DEALER FIRM ("FIRM"), WITH A VIEW TOWARD PREVENTING VIOLATIONS OF SECTION 17(A) OF THE SECURITIES ACT OF 1933 AND SECTION 10(B) OF THE EXCHANGE ACT AND RULE 10B-5 THEREUNDER. SINGLETON FAILED TO REASONABLY SUPERVISE A REPRESENTATIVE WHO HAD A HISTORY OF COMPLIANCE RELATED CONCERNS BEFORE JOINING THE FIRM AND WHO MISAPPROPRIATED \$2 MILLION FROM PUBLIC CUSTOMERS FOR HIS OWN USE PRIOR TO AND DURING HIS ASSOCIATION WITH THE FIRM. THE SEC ALSO ALLEGED THAT SINGLETON WAS RESPONSIBLE FOR ESTABLISHING EFFECTIVE SUPERVISORY PROCEDURES FOR THE FIRM. THE FIRM'S PROCEDURES WERE DEFICIENT IN A NUMBER OF AREAS. AS PRESIDENT, SINGLETON FAILED TO ENSURE THAT FIRM AND ITS SUPERVISORS HAD REASONABLE PROCEDURES AND IMPLEMENTED THOSE PROCEDURES.

**Current Status:** Final

**Resolution:** Order

**Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct?** Yes

**Resolution Date:** 09/26/2000

**Sanctions Ordered:** Suspension

**Sanction 1 of 1**

**Sanction Type:** Suspension

**Capacities Affected:** SUPERVISORY OR PROPRIETARY CAPACITY

**Duration:** SIX MONTHS

**Start Date:** 09/26/2000

**End Date:** 03/26/2001

**Broker Statement** SIGNAL'S REGISTERED REP HAD A PENSION SERVICES AND TAX PREPARATION FIRM AS AN OUTSIDE BUSINESS. THE REGISTERED REP MISAPPROPRIATED MONEY THROUGH HIS FIRM THAT HAD NOTHING TO DO WITH SIGNAL. SIGNAL WAS NOT INVOLVED. THE REGISTERED REP'S ACTIVITIES' CONCERNING HIS OUTSIDE BUSINESS WAS NOT DETECTABLE THROUGH HIS SIGNAL INVESTMENT ACTIVITY OR THROUGH SIGNAL COMPLIANCE PROCEDURES.



## End of Report

This page is intentionally left blank.