



IAPD Report

HOUSTON ALLEN GODDARD

CRD# 1260759

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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

HOUSTON ALLEN GODDARD (CRD# 1260759)

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 **01/14/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	INDEPENDENT INVESTMENT BANKERS, CORP.	CRD# 154134	02/04/2014
IA	INDEPENDENT INVESTMENT BANKERS CORP.	CRD# 154134	02/05/2015

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **32** 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	TRANSCEND CAPITAL	104483	AUSTIN, TX	06/06/2014 - 09/19/2014
B	J.W. COLE FINANCIAL, INC.	124583	TAMPA, FL	02/22/2013 - 11/20/2013
IA	GIRARD SECURITIES, INC.	18697	SAN DIEGO, CA	11/27/2006 - 08/27/2012

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

Employment 1 of 1

Firm Name: **INDEPENDENT INVESTMENT BANKERS CORP.**
Main Address: 11802 DOMAIN BLVD
3RD FLOOR
AUSTIN, TX 78758
Firm ID#: 154134

Regulator	Registration	Status	Date
B FINRA	General Securities Principal	Approved	02/04/2014
B FINRA	General Securities Representative	Approved	02/04/2014
B FINRA	Investment Banking Representative	Approved	02/04/2014
B FINRA	Municipal Securities Representative	Approved	02/04/2014
B FINRA	Compliance Officer	Approved	10/01/2018
B FINRA	Investment Banking Principal	Approved	10/01/2018
B FINRA	Operations Professional	Approved	10/01/2018
B Arizona	Agent	Approved	11/20/2025
B Arkansas	Agent	Approved	02/19/2019
B California	Agent	Approved	02/05/2014
B Colorado	Agent	Approved	11/30/2017
B Connecticut	Agent	Approved	02/06/2014
B District of Columbia	Agent	Approved	11/24/2025



Qualifications

Regulator	Registration	Status	Date
B Florida	Agent	Approved	02/24/2014
B Georgia	Agent	Approved	02/24/2014
B Idaho	Agent	Approved	11/17/2025
B Illinois	Agent	Approved	02/06/2014
B Indiana	Agent	Approved	03/21/2019
B Kansas	Agent	Approved	01/12/2018
B Louisiana	Agent	Approved	05/12/2014
B Maine	Agent	Approved	04/11/2024
B Massachusetts	Agent	Approved	05/27/2016
B Minnesota	Agent	Approved	11/19/2025
B Missouri	Agent	Approved	02/06/2014
B Montana	Agent	Approved	11/28/2025
B Nebraska	Agent	Approved	12/22/2020
B New Hampshire	Agent	Approved	08/22/2017
B New Jersey	Agent	Approved	11/30/2017
B New York	Agent	Approved	02/27/2014
B North Carolina	Agent	Approved	11/15/2018
B Ohio	Agent	Approved	11/16/2025
B Oklahoma	Agent	Approved	01/29/2018



Qualifications

Regulator	Registration	Status	Date
B Oregon	Agent	Approved	02/03/2015
B South Dakota	Agent	Approved	01/14/2026
B Tennessee	Agent	Approved	10/03/2018
B Texas	Agent	Approved	02/25/2014
IA Texas	Investment Adviser Representative	Approved	02/05/2015
B Utah	Agent	Approved	01/28/2019
B Virginia	Agent	Approved	11/19/2025
B Washington	Agent	Approved	11/14/2025

Branch Office Locations

INDEPENDENT INVESTMENT BANKERS CORP.
SAN DIEGO, CA









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

Principal/Supervisory Exams

	Exam	Category	Date
	Compliance Officer Examination (S14)	Series 14	01/02/2023
	Municipal Securities Principal Examination (S53)	Series 53	11/16/1988
	Financial and Operations Principal Examination (S27)	Series 27	09/22/1988
	General Securities Principal Examination (S24)	Series 24	07/27/1988
	Registered Options Principal Examination (S4)	Series 4	06/02/1988
	General Securities Sales Supervisor Examination (Options Module & General Module) (S8)	Series 8	05/20/1988

General Industry/Product Exams

	Exam	Category	Date
	Municipal Securities Representative Examination (S52TO)	Series 52TO	01/02/2023
	Investment Banking Registered Representative Examination (S79TO)	Series 79TO	01/02/2023
	Operations Professional Examination (S99TO)	Series 99TO	01/02/2023
	Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
	General Securities Representative Examination (S7)	Series 7	05/18/1985



Qualifications

PASSED INDUSTRY EXAMS

State Securities Law Exams

	Exam	Category	Date
IA	Uniform Investment Adviser Law Examination (S65)	Series 65	01/24/2006
B	Uniform Securities Agent State Law Examination (S63)	Series 63	12/07/1988

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	06/06/2014 - 09/19/2014	TRANSCEND CAPITAL	CRD# 104483	AUSTIN, TX
B	02/22/2013 - 11/20/2013	J.W. COLE FINANCIAL, INC.	CRD# 124583	TAMPA, FL
IA	11/27/2006 - 08/27/2012	GIRARD SECURITIES, INC.	CRD# 18697	SAN DIEGO, CA
B	02/02/2004 - 08/27/2012	GIRARD SECURITIES, INC.	CRD# 18697	SAN DIEGO, CA
B	12/21/2001 - 11/13/2002	SUNAMERICA SECURITIES, INC.	CRD# 20068	PHOENIX, AZ
B	07/08/1998 - 11/13/2002	SPELMAN & CO., INC.	CRD# 10232	PHOENIX, AZ
IA	12/11/1997 - 11/13/2002	SPELMAN & CO INC	CRD# 10232	SAN DIEGO, CA
B	07/08/1998 - 10/02/2002	SENTRA SECURITIES CORPORATION	CRD# 10249	PHOENIX, AZ
B	03/16/1998 - 06/22/1998	H.J. MEYERS & CO., INC.	CRD# 15609	ROCHESTER, NY
B	05/02/1995 - 02/09/1998	SPELMAN & CO., INC.	CRD# 10232	PHOENIX, AZ
B	05/10/1994 - 05/02/1995	TITAN/VALUE EQUITIES GROUP, INC.	CRD# 6359	IRVINE, CA
B	07/02/1993 - 05/10/1994	WIN SECURITIES, INC.	CRD# 31160	MILL VALLEY, CA
B	08/03/1992 - 11/28/1992	LINSCO/PRIVATE LEDGER CORP.	CRD# 6413	FORT MILL, SC
B	05/31/1989 - 08/15/1990	FIRST AFFILIATED SECURITIES, INC.	CRD# 23737	LA JOLLA, CA
B	05/25/1989 - 08/25/1989	PFG SECURITIES, INC.	CRD# 15401	
B	06/06/1985 - 05/31/1989	FIRST AFFILIATED SECURITIES, INC.	CRD# 6871	



Registration & Employment History

PREVIOUSLY REGISTERED WITH THE FOLLOWING FIRMS

This representative held registrations with the following firms:

Registration Dates	Firm Name	ID#	Branch Location
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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
02/2014 - Present	INDEPENDENT INVESTMENT BANKERS CORP.	CCO & GENERAL COUNSEL	Y	AUSTIN, 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.

FINRA ARBITRATOR 2 HOURS PER MONTH. COMPLIANCE CONSULTANT TO SECURITIES BROKER DEALERS. 80 HOURS PER MONTH. 5 HOURS PER DAY DURING TRADING HOURS



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

Reporting Source: Regulator

Regulatory Action Initiated By: NATIONAL ASSOCIATION OF SECURITIES DEALERS, INC.

Sanction(s) Sought:

Other Sanction(s) Sought:

Date Initiated: 07/16/1991

Docket/Case Number: C3B910039

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

Product Type:

Other Product Type(s):

Allegations:

Current Status: Final

Resolution: Decision

Resolution Date: 11/01/1993

Sanctions Ordered: Censure
Monetary/Fine \$5,000.00

Other Sanctions Ordered:

Sanction Details:

Regulator Statement [TOP]COMPLAINT NO. C3B910039 (DISTRICT NO. 3) FILED JULY 16, 1991 AGAINST RESPONDENTS FIRST AFFILIATED SECURITIES, INC.,



WARD HENRY CLARK, HOUSTON ALLEN GODDARD, AND MARK EUGENE HENNICK ALLEGING VIOLATIONS OF ARTICLE III, SECTIONS 1, 2, AND 27 OF THE RULES OF FAIR PRACTICE. RESPONDENT HENNICK ENGAGED IN IMPROPER MUTUAL FUND BREAK-POINT ACTIVITY, DIDN'T UTILIZE CUSTOMERS' RIGHTS OF ACCUMULATION, AND MADE UNSUITABLE RECOMMENDATIONS AND TRANSACTIONS IN CUSTOMERS' PUBLIC ACCOUNTS AND, RESPONDENT MEMBER, ACTING THROUGH RESPONDENTS GODDARD AND CLARKE, FAILED TO SUPERVISE THE ACTIVITES OF HENNICK ADEQUATELY, AND TO ESTABLISH AND/OR ENFORCE THE FIRM'S SUPERVISORY PROCEDURES. DECISION RENDERED 11/15/91, RESPONDENTS CLARKE AND GODDARD ARE EACH CENSURED AND FINED \$5,000. EACH RESPONDENT IS ASSESSED ONE FOURTH OF THE COSTS TOTALING \$1,380.45. IF NO FURTHER ACTION, DECISION IS FINAL 12/30/91, 11/26/91 - APPEALED TO THE BOARD OF GOVERNORS BY RESPONDENT GODDARD. 11/27/91 - APPEALED TO THE BOARD OF GOVERNORS BY RESPONDENTS MEMBER AND CLARKE. 2/13/92 - REQUEST FOR WITHDRAWAL OF APPEAL BY RESPONDENT MEMBER WAS APPROVED BY THE NBCC. IF NO FURTHER ACTION, DECISION IS FINAL 3/30/92. 3/25/92 - REQUEST FOR LATE APPEAL BY RESPONDENT HENNICK WAS DENIED BY THE NBCC. MARCH 30, 1992 - DECISION IS FINAL AS TO RESPONDENT MEMBER. IN ADDITION, EACH NBCC DECISION RENDERED SEPTEMBER 9, 1992, WHEREIN THE FINDINGS MADE AND SANCTIONS IMPOSED ARE AFFIRMED. IF NO FURTHER ACTION, DECISION IS FINAL OCTOBER 9, 1992. SEPTEMBER 18, 1992 - APPEALED TO THE SEC, THE SANCTIONS ARE NOT IN EFFECT PENDING CONSIDERATION OF THE APPEAL. SEC DECISION RENDERED SEPTEMBER 2, 1993, THE FINDINGS MADE AND SANCTIONS IMPOSED ARE AFFIRMED. IF NO FURTHER ACTION, DECISION IS FINAL NOVEMBER 1, 1993. NOVEMBER 1, 1993 - DECISION IS FINAL.

Reporting Source: Individual

Regulatory Action Initiated By: NASD/DBCC

Sanction(s) Sought: Censure
Other: FINE \$5,000

Date Initiated: 07/16/1991

Docket/Case Number: C3B910039

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

Product Type: No Product

Allegations: FAILURE TO SUPERVISE THE ACTIVITIES OF AN RR AND HIS MANAGER WITH REGARD TO IMPROPER MUTUAL FUND SALES ACTIVITY AND UNSUITABLE TRANSACTIONS IN VARIOUS CUSTOMER ACCOUNTS.

Current Status: Final

Resolution: Decision



Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct?	No
Resolution Date:	11/01/1993
Sanctions Ordered:	Censure Other: FINE \$5,000
Broker Statement	NOT PROVIDED



End of Report

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