



IAPD Report

JAMES WYNN REGITZ JR

CRD# 1283719

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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 WYNN REGITZ JR (CRD# 1283719)

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 **12/19/2025**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
IA	MARINER	CRD# 140195	12/05/2024
B	MSEC, LLC	CRD# 154327	02/20/2025

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **2** 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	MSEC, LLC	154327	OVERLAND PARK, KS	12/10/2024 - 12/18/2024
IA	CAMBRIDGE INVESTMENT RESEARCH ADVISORS, INC.	134139	NEWPORT BEACH, CA	03/28/2005 - 12/09/2024
B	CAMBRIDGE INVESTMENT RESEARCH, INC.	39543	NEWPORT BEACH, CA	03/12/1999 - 12/09/2024

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

Employment 1 of 2

Firm Name: **MSEC, LLC**
Main Address: 5700 W 112TH STREET
SUITE 500
OVERLAND PARK, KS 66211
Firm ID#: 154327

Regulator	Registration	Status	Date
B FINRA	Corporate Securities Represent	Approved	02/20/2025
B FINRA	Direct Participation Programs	Approved	02/20/2025
B FINRA	General Securities Principal	Approved	02/20/2025
B FINRA	General Securities Representative	Approved	02/20/2025
B California	Agent	Approved	03/07/2025

Branch Office Locations

4695 Macarthur Ct. Ste 480
Newport Beach, CA 92660

Employment 2 of 2

Firm Name: **MARINER**
Main Address: 5700 W. 112TH STREET
SUITE 500
OVERLAND PARK, KS 66211
Firm ID#: 140195

Regulator	Registration	Status	Date
IA California	Investment Adviser Representative	Approved	12/06/2024
IA Texas	Investment Adviser Representative	Restricted	12/05/2024



Qualifications

Regulator	Registration	Status	Date
		Approval	

Branch Office Locations

MARINER
4695 MacArthur Court
Newport Beach, CA 92660



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, 6 general industry/product exams, and 1 state securities law exam.

Principal/Supervisory Exams

Exam	Category	Date
General Securities Principal Examination (S24)	Series 24	01/17/1994

General Industry/Product Exams

Exam	Category	Date
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	04/22/1998
Corporate Securities Limited Representative Examination (S62)	Series 62	10/17/1994
Direct Participation Programs Representative Examination (S22)	Series 22	09/26/1984
Investment Company Products/Variable Contracts Representative Examination (S6)	Series 6	09/11/1984

State Securities Law Exams

Exam	Category	Date
Uniform Combined State Law Examination (S66)	Series 66	02/09/1999

PROFESSIONAL DESIGNATIONS

This section details that the representative has reported 1 professional designation(s).

Chartered Financial Consultant

This representative holds or did hold 1 professional designation(s) that may have been used to qualify as an Investment Advisor



representative. Please check with the appropriate designation authority for verification that the designation is still in effect. The contact information for these professional designation authorities can be found on the website for the North American Securities Administrators Association at <http://www.nasaa.org>



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	12/10/2024 - 12/18/2024	MSEC, LLC	CRD# 154327	OVERLAND PARK, KS
IA	03/28/2005 - 12/09/2024	CAMBRIDGE INVESTMENT RESEARCH ADVISORS, INC.	CRD# 134139	NEWPORT BEACH, CA
B	03/12/1999 - 12/09/2024	CAMBRIDGE INVESTMENT RESEARCH, INC.	CRD# 39543	NEWPORT BEACH, CA
IA	12/19/2011 - 07/20/2015	NEWPORT WEALTH STRATEGIES, INC.	CRD# 159376	NEWPORT BEACH, CA
IA	04/26/2007 - 08/22/2011	NEWPORT ADVISORY, LLC	CRD# 143209	NEWPORT BEACH, CA
IA	02/25/1999 - 03/28/2005	CAMBRIDGE INVESTMENT RESEARCH, INC.	CRD# 39543	NEWPORT BEACH, CA
B	05/07/2001 - 11/25/2003	HARTFORD EQUITY SALES COMPANY INC.	CRD# 6604	HARTFORD, CT
B	05/17/2000 - 12/31/2000	ING AMERICA EQUITIES, INC.	CRD# 36259	WEST CHESTER, PA
B	06/29/1995 - 03/03/1999	FSC SECURITIES CORPORATION	CRD# 7461	ATLANTA, GA
B	09/12/1984 - 05/19/1995	CIGNA FINANCIAL ADVISORS, INC.	CRD# 145	RADNOR, PA

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
02/2025 - Present	MSEC, LLC	Registered Representative	Y	Overland Park, KS, United States
12/2024 - Present	Mariner Wealth Advisors	Investment Advisor Representative	Y	Overland Park, KS, United States
12/2024 - 12/2024	MSEC, LLC	Registered Representative	Y	Overland Park, KS, United States
03/2005 - 11/2024	CAMBRIDGE INVESTMENT RESEARCH ADVISORS, INC.	IA REP	Y	FAIRFIELD, IA, United States
03/1999 - 11/2024	CAMBRIDGE INVESTMENT RESEARCH, INC.	REGISTERED REP	Y	NEWPORT BEACH, CA, United States



Registration & Employment History

EMPLOYMENT HISTORY

Employment Dates	Employer Name	Position	Investment Related	Employer Location
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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.

- 1) JIM REGITZ, JR., 4695 MACARTHUR CT, STE 480, NEWPORT BEACH, CA, 02/1999, INDEPENDENT INSURANCE AGENT FOR VARIOUS INDEPENDENT INSURANCE COMPANIES, INV REL, 10 HR/MO, 10 HR/MO TRADING.
- 2) Love Motorsports Holding Company Once, LLC; Not investment related, Non managing member, Start date: 1/1/2025, 1 hour per month, 0 hours during trading hours, The entity is primarily being established to provide capital to Jesse Love Racing in return for participation in his sponsorship revenues.
- 3) WEST COAST STOCK CAR HALL OF FAME, 208 MONTAIR DRIVE, DANVILLE, CA, 06/2021, BOARD MEMBER, NIR, 5 HR/MO, 5 HR/MO TRADING.
- 4) MARINER WEALTH ADVISORS, 5700 W. 112th St., Suite 500, Overland Park, KS 66211; INVESTMENT RELATED; INVESTMENT ADVISOR REP; 40 HRS/WK DURING SECURITIES HOURS.
- 5) MSEC LLC; 5700 W. 112th St., Suite 500, Overland Park, KS 66211; INVESTMENT RELATED; REG REP; 40 HRS/WK DURING SECURITIES HOURS
- 6) The Thunder House, LLC; Not investment related, Newport Beach, CA, Real Estate, Managing Partner, Start date: 8/7/2025, 5 hours per month, 1 hour during trading hours, Receive rent from tenants and pay the utilities and various bills for the maintenance of the property.
- 7) White Owl Management, LLC; Not investment related, Newport Beach, CA, Holding Company, Managing Member, Start date: 1/30/2025, 10 hours per month, 2 during trading hours, The purpose of this entity primarily remains to facilitate the final payment from asset transfer.



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:	Individual
Regulatory Action Initiated By:	STATE OF CALIFORNIA BUSINESS, TRANSPORTATION AND HOUSING AGENCY DEAPRMENT OF CORPORATIONS
Sanction(s) Sought:	Revocation
Date Initiated:	08/24/2011
Docket/Case Number:	923-5544
Employing firm when activity occurred which led to the regulatory action:	CAMBRIDGE INVESTMENT RESEARCH, INC.
Product Type:	No Product
Allegations:	THE INVESTMENT ADVISER CERTIFICATE ISSUED TO NEWPORT ADVISORY, LLC (FOR FINANCIAL PLANNING ONLY) WAS REVOKED FOR NOT FILING THE ANNUAL UPDATING AMENDMENT AND/OR THE NEW PART 2 (FIRM BROCHURE OF THE FORM ADV) AS REQUIRED BY SECTION 260.241.4(E) OF THE CORPORATE SECURITIES LAW OF 1968.
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?	No
Resolution Date:	08/22/2011



Sanctions Ordered:

Revocation

Broker Statement

Revocation resulted from failure to file the annual brochure amendment.



End of Report

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