



IAPD Report

PAMELA HARLAN WILSON

CRD# 1337224

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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

PAMELA HARLAN WILSON (CRD# 1337224)

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 **09/22/2022**.

CURRENT EMPLOYERS

Firm	CRD#	Registered Since
IA COPPELL ADVISORY SOLUTIONS LLC	CRD# 156549	09/23/2022

QUALIFICATIONS

This representative is currently registered in **0** SRO(s) and **1** 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 CREATIVEONE WEALTH, LLC	281213	Beverly Hills, CA	02/08/2022 - 09/22/2022
IA SEARCHLIGHT INVESTMENTS, LLC	174295	BEVERLY HILLS, CA	06/01/2015 - 03/31/2021
B NATIONAL SECURITIES CORPORATION	7569	BEVERLY HILLS, CA	07/30/2007 - 05/06/2013

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
Civil Event	1
Customer Dispute	1
Termination	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 **1** jurisdiction(s) and **0** SRO(s) through his or her employer(s).

Employment 1 of 1

Firm Name: **COPPELL ADVISORY SOLUTIONS LLC**
Main Address: 9111 CYPRESS WATERS BLVD SUITE 140
DALLAS, TX 75019
Firm ID#: 156549

	Regulator	Registration	Status	Date
IA	California	Investment Adviser Representative	Approved	09/23/2022

Branch Office Locations

COPPELL ADVISORY SOLUTIONS LLC
226 S. Beverly Dr.
Suite 200
Beverly Hills, CA 90212




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



Principal/Supervisory Exams

Exam	Category	Date
 General Securities Principal Examination (S24)	Series 24	10/23/2002

General Industry/Product Exams

Exam	Category	Date
 General Securities Representative Examination (S7)	Series 7	07/20/1985

State Securities Law Exams

Exam	Category	Date
 Uniform Investment Adviser Law Examination (S65)	Series 65	06/06/2013
 Uniform Securities Agent State Law Examination (S63)	Series 63	04/05/1990

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	02/08/2022 - 09/22/2022	CREATIVEONE WEALTH, LLC	CRD# 281213	Beverly Hills, CA
IA	06/01/2015 - 03/31/2021	SEARCHLIGHT INVESTMENTS, LLC	CRD# 174295	BEVERLY HILLS, CA
B	07/30/2007 - 05/06/2013	NATIONAL SECURITIES CORPORATION	CRD# 7569	BEVERLY HILLS, CA
B	09/24/2001 - 07/19/2007	BROOKSTREET SECURITIES CORPORATION	CRD# 14667	BEVERLY HILLS, CA
B	01/19/1999 - 09/19/2001	GRATTAN FINANCIAL SECURITIES, INC.	CRD# 43484	SAN GABRIEL, CA
B	09/04/1998 - 12/31/1998	LINSCO/PRIVATE LEDGER CORP.	CRD# 6413	FORT MILL, SC
B	09/05/1991 - 09/03/1998	LINSCO/PRIVATE LEDGER CORP.	CRD# 6413	FORT MILL, SC
B	02/04/1991 - 07/23/1991	CALIFORNIA ONE	CRD# 27037	
B	07/23/1990 - 12/11/1990	L. H. ALTON & COMPANY	CRD# 15682	SAN FRANCISCO, CA
B	02/27/1990 - 07/05/1990	WESTAMERICA INVESTMENT COMPANY	CRD# 6626	SCOTTSDALE, AZ
B	07/23/1985 - 03/06/1990	RL KOTROZO, INC.	CRD# 12968	

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
09/2022 - Present	Coppell Advisory Solutions	Investment Advisor Representative	Y	Coppell, TX, United States
01/2020 - Present	Beverly Drive Financial & Insurance Solutions	Insurance Agent	Y	Beverly Hills, CA, United States
02/2022 - 09/2022	CreativeOne Wealth, LLC	Investment Advisor Representative	Y	Overland Park, KS, United States



Registration & Employment History

EMPLOYMENT HISTORY

Employment Dates	Employer Name	Position	Investment Related	Employer Location
05/2015 - 03/2021	SEARCHLIGHT INVESTMENTS, LLC	INVESTMENT ADVISOR REPRESENTATIVE	Y	BEVERLY HILLS, CA, United States
05/2013 - 01/2020	SEARCHLIGHT FINANCIAL ADVISORS	INSURANCE AGENT	Y	BEVERLY HILLS, CA, 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.

1) BEVERLY DRIVE FINANCIAL & INSURANCE SOLUTIONS; INSURANCE AGENT; BEVERLY HILLS, CA; INSURANCE SALES AND SERVICES; 01/2020, investment related; 80 hrs/mo.



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
Civil Event	1
Customer Dispute	1
Termination	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

Sanction(s) Sought:

Other Sanction(s) Sought:

Date Initiated: 12/27/2000

Docket/Case Number: C02000070

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

Product Type: No Product

Other Product Type(s):

Allegations: NASD RULES 2110 AND 3040 - WITHOUT ADMITTING OR DENYING THE ALLEGATIONS, WILSON CONSENTED TO THE DESCRIBED SANCTIONS AND TO THE ENTRY OF FINDINGS THAT SHE ENGAGED IN A PRIVATE SECURITIES TRANSACTION WITHOUT PRIOR, WRITTEN NOTICE TO AND APPROVAL FROM HER MEMBER FIRM.

Current Status: Final

Resolution: Acceptance, Waiver & Consent(AWC)

Resolution Date: 12/27/2000



Sanctions Ordered: Monetary/Fine \$10,000.00
Suspension

Other Sanctions Ordered:

Sanction Details: SUSPENDED FROM ASSOCIATION WITH ANY NASD MEMBER IN ANY CAPACITY FOR 10 BUSINESS DAYS. **** WILSON'S SUSPENSION IS EFFECTIVE FEBRUARY 5, 2001, TO THE CLOSE OF BUSINESS ON FEBRUARY 16, 2001

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Reporting Source: Firm

Regulatory Action Initiated By: NATIONAL ASSOCIATION OF SECURITIES DEALERS

Sanction(s) Sought: Suspension

Other Sanction(s) Sought: FINE OF \$10,000

Date Initiated: 01/26/1999

Docket/Case Number: C02000070

Employing firm when activity occurred which led to the regulatory action: LINSKO/PRIVATE LEDGER

Product Type: Mutual Fund(s)

Other Product Type(s):

Allegations: THE ALLEGATION OF THIS REGULATORY ACTION WAS THAT MS. WILSON ENGAGED IN A SECURITIES TRANSACTION WITHOUT PRIOR, WRITTEN APPROVAL FROM HER EMPLOYER.

Current Status: Final

Resolution: Acceptance, Waiver & Consent(AWC)

Resolution Date: 12/27/2000

Sanctions Ordered: Monetary/Fine \$10,000.00
Suspension

Other Sanctions Ordered:

Sanction Details: SUSPENSION IN ALL CAPACITIES COMMENCING FEBRUARY 5, 2001 AND ENDING FEBRUARY 16, 2001.

Firm Statement THE MATTER WAS RESOLVED BY THE EXECUTION OF THE ACCEPTANCE, WAIVER AND CONSENT BY BOTH PARTIES. MS. WILSON AGREED TO A SUSPENSION IN ALL CAPACITIES FOR A TWO-WEEK PERIOD COMMENCING FEBRUARY 5, 2001 AND ENDING FEBRUARY 16, 2001. MS. WILSON ALSO AGREED TO PAY THE APPLICABLE FINE IN THE AMOUNT OF \$10,000.

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Reporting Source: Individual

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



Sanction(s) Sought:	Suspension
Date Initiated:	01/26/1999
Docket/Case Number:	C02000070
Employing firm when activity occurred which led to the regulatory action:	LINSCO/PRIVATE LEDGER
Product Type:	Mutual Fund
Allegations:	THE ALLEGATION OF THIS REGULATORY ACTION IS THAT MRS. WILSON ENGAGED IN A SECURITIES TRANSACTION WITHOUT PRIOR, WRITTEN APPROVAL FROM HER EMPLOYER.
Current Status:	Final
Resolution:	Acceptance, Waiver & Consent(AWC)
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:	12/27/2000
Sanctions Ordered:	Monetary Penalty other than Fines Suspension
Sanction 1 of 1	
Sanction Type:	Suspension
Capacities Affected:	ALL CAPACITIES
Duration:	10 BUSINESS DAYS
Start Date:	02/05/2001
End Date:	02/16/2001
Monetary Sanction 1 of 1	
Monetary Related Sanction:	Monetary Penalty other than Fines
Total Amount:	\$10,000.00
Portion Levied against individual:	\$10,000.00
Payment Plan:	
Is Payment Plan Current:	Yes
Date Paid by individual:	02/16/2001
Was any portion of penalty waived?	No
Amount Waived:	
Broker Statement	THE MATTER HAS BEEN RESOLVED BY THE EXECUTION OF THE ACCEPTANCE, WAIVER AND CONSENT BY BOTH PARTIES. MRS. WILSON HAS AGREED TO A SUSPENSION IN ALL CAPACITIES FOR A TWO-WEEK PERIOD COMMENCING FEBRUARY 5, 2001 AND ENDING FEBRUARY 16,



2001. SHE HAS ALSO AGREED TO PAY THE APPLICABLE FINE IN THE AMOUNT OF \$10,000.



Civil Event

This disclosure event involves an injunction issued by a foreign or domestic court in connection with investment-related activity, a finding by a domestic or foreign court of a violation of any investment-related statute or regulation, or an action dismissed by a domestic or foreign court pursuant to a settlement agreement.

Disclosure 1 of 1

Reporting Source:	Individual
Initiated By:	SECURITIES AND EXCHANGE COMMISSION
Relief Sought:	Injunction
Other Relief Sought:	DISGORGEMENT, CIVIL PENALTY
Date Court Action Filed:	01/31/2006
Product Type:	No Product
Other Product Types:	
Court Details:	UNITED STATES DISTRICT, CENTRAL DISTRICT OF CALIFORNIA, CASE NO. CV 03-5781 FMC.
Employing firm when activity occurred which led to the action:	GRATTAN FINANCIAL
Allegations:	ALLEGED ASSOCIATION WITH A STATUTORILY DISQUALIFIED PERSON.
Current Status:	Final
Resolution:	Judgment Rendered
Resolution Date:	01/31/2006
Sanctions Ordered or Relief Granted:	Disgorgement/Restitution Monetary/Fine \$5,000.00
Other Sanctions:	
Sanction Details:	WHILE THE COURT FOUND THAT THERE WAS NO EVIDENCE OF FRAUD, DECEIT, OR CLIENT LOSSES REPRESENTATIVE WAS ORDERED TO DISGORGE \$73,000.00 JOINTLY AND SEVERALLY AND WAS ORDERED TO PAY A CIVIL PENALTY IN THE AMOUNT OF \$5,000.00.



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 1

Reporting Source: Firm

Employing firm when activities occurred which led to the complaint: GRATTAN FINANCIAL SECURITIES, INC.

Allegations: CLIENT ALLEGED THAT THEY DID NOT KNOW THEY WERE INVESTING IN VARIABLE ANNUITIES AND THAT THEY THOUGHT THERE WAS A GUARANTEE OF THEIR PRINCIPAL. VARIABLE ANNUITY APPLICATIONS WERE SIGNED BY THE CLIENTS ON 8/12/99, 9/12/00 AND 9/14/00.

Product Type: Annuity(ies) - Variable

Alleged Damages:

Customer Complaint Information

Date Complaint Received: 07/24/2001

Complaint Pending? Yes

Settlement Amount:

Individual Contribution Amount:

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: GRATTAN FINANCIAL SECURITIES

Allegations: ALLEGED THAT CLIENTS WERE UNAWARE THAT THEY WERE INVESTING IN VARIABLE ANNUITIES. DISCLOSED PER CRD REQUEST, ALLEGED COMPENSATORY DAMAGES ARE UNKNOWN AT THIS TIME.

Product Type: Annuity-Variable

Alleged Damages: \$5,000.00

Is this an oral complaint? No

Is this a written complaint? Yes

Is this an arbitration/CFTC reparation or civil litigation? No

Customer Complaint Information

Date Complaint Received: 07/24/2001

Complaint Pending? No

Status: Settled



Status Date: 12/03/2003

Settlement Amount: \$100,000.00

Individual Contribution Amount: \$2,250.00

Arbitration Information

Disposition: Settled

Disposition Date: 12/03/2003



Termination

This disclosure event involves a situation where the Investment Adviser Representative voluntarily resigned, was discharged or was permitted to resign after allegations were made that accused the Investment Adviser Representative of violating investment-related statutes, regulations, rules or industry standards of conduct; fraud or the wrongful taking of property; or failure to supervise in connection with investment-related statutes, regulations, rules or industry standards of conduct.

Disclosure 1 of 1

Reporting Source:	Individual
Firm Name:	GRATTAN FINANCIAL SECURITIES, INC.
Termination Type:	Discharged
Termination Date:	09/19/2001
Allegations:	ALLEGEDLY THE FIRM FAILED/OR UNABLE TO OBTAIN E/O INSURANCE FOR PAMELA WILSON. THE FIRM ALSO ALLEGEDLY INVESTIGATING PAMELA WILSON'S HIRED EMPLOYEES.
Product Type:	No Product
Other Product Types:	
Broker Statement	ALLEGEDLY THE FIRM FAILED/OR UNABLE TO OBTAIN E/O INSURANCE. THE FIRM ALSO ALLEGED INAPPROPRIATE HIRING PRACTICES.



End of Report

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