



IAPD Report

JOHN BASIL SIMMONS

CRD# 1355715

<u>Section Title</u>	<u>Page(s)</u>
Report Summary	1
Qualifications	2 - 3
Registration and Employment History	5
Disclosure Information	6

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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

JOHN BASIL SIMMONS (CRD# 1355715)

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 **12/04/2025**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
IA	MORRIS GROUP ADVISORY SERVICE, INC	CRD# 121706	01/01/2018

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
B	MORRIS GROUP, INC.	13181	INDIANAPOLIS, IN	11/21/1988 - 12/04/2025
IA	MORRIS GROUP ADVISORY SERVICE, INC	121706	INDIANAPOLIS, IN	02/13/2002 - 12/31/2017
IA	PREMIERE MANAGEMENT	122298	NOBLESVILLE, IN	04/13/2010 - 12/07/2016

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 **1** jurisdiction(s) and **0** SRO(s) through his or her employer(s).

Employment 1 of 1

Firm Name: **MORRIS GROUP ADVISORY SERVICE, INC**
Main Address: 8445 KEYSTONE CROSSING STE 240
INDIANAPOLIS, IN 46240
Firm ID#: 121706

Regulator	Registration	Status	Date
IA Indiana	Investment Adviser Representative	Approved	01/01/2018

Branch Office Locations

MORRIS GROUP ADVISORY SERVICE, INC
8445 KEYSTONE CROSSING STE 240
INDIANAPOLIS, IN 46240





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


Principal/Supervisory Exams

Exam	Category	Date
 Investment Company Products/Variable Contracts Principal Examination (S26)	Series 26	01/14/1987
 Direct Participation Programs Principal Examination (S39)	Series 39	11/21/1983

General Industry/Product Exams

Exam	Category	Date
 Operations Professional Examination (S99TO)	Series 99TO	01/02/2023
 Municipal Securities Representative Examination (S52TO)	Series 52TO	01/02/2023
 Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
 General Securities Representative Examination (S7)	Series 7	01/20/1990
 Investment Company Products/Variable Contracts Representative Examination (S6)	Series 6	11/13/1986
 Direct Participation Programs Representative Examination (S22)	Series 22	10/19/1983

State Securities Law Exams

Exam	Category	Date
 Uniform Securities Agent State Law Examination (S63)	Series 63	12/03/1984



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	11/21/1988 - 12/04/2025	MORRIS GROUP, INC.	CRD# 13181	INDIANAPOLIS, IN
IA	02/13/2002 - 12/31/2017	MORRIS GROUP ADVISORY SERVICE, INC	CRD# 121706	INDIANAPOLIS, IN
IA	04/13/2010 - 12/07/2016	PREMIERE MANAGEMENT	CRD# 122298	NOBLESVILLE, IN
IA	12/02/1999 - 12/31/2008	PREMIERE MANAGEMENT	CRD# 122298	INDIANAPOLIS, IN
B	02/17/1988 - 01/14/1991	LINCOLN FINANCIAL ADVISORS CORPORATION	CRD# 3978	FORT WAYNE, IN
B	02/17/1988 - 01/14/1991	THE LINCOLN NATIONAL LIFE INSURANCE COMPANY	CRD# 2580	FORT WAYNE, IN
B	11/05/1985 - 06/21/1989	INDIANA MERCHANT BANKING AND BROKERAGE CO., INC.	CRD# 16315	INDIANAPOLIS, IN
B	02/17/1988 - 01/03/1989	LINCOLN NATIONAL PENSION INSURANCE COMPANY	CRD# 10293	

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
10/1988 - Present	MORRIS GROUP, INC.	NOT PROVIDED	Y	INDPLS., IN, 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.

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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:	INDIANA
Sanction(s) Sought:	Civil and Administrative Penalty(ies)/Fine(s)
Date Initiated:	08/16/2010
Docket/Case Number:	10-0221 CA
URL for Regulatory Action:	
Employing firm when activity occurred which led to the regulatory action:	PREMIERE PLANNING, INC.
Product Type:	Other: UNKNOWN
Allegations:	1) SIMMONS TRANSACTED BUSINESS IN INDIANA AS AN INVESTMENT ADVISER REPRESENTATIVE OF PREMIER PLANNING, INC. ("PPI") FROM JANUARY OF 2009 TO JANUARY OF 2010 ALTHOUGH HE WAS NOT REGISTERED AS AN INVESTMENT ADVISER REPRESENTATIVE OR EXEMPT FROM REGISTRATION IN VIOLATION OF IND. CODE 23-19-4-4; 2) SIMMONS ENGAGED IN DISHONEST AND UNETHICAL PRACTICES IN VIOLATION OF IND. CODE 23-19-4-12(D)(13) AND 710 IAC 1-16-22 BY (A) FAILING TO DISLCOSE ON HIS FORM U4 FOR PPI THAT HE WAS AFFILIATED WITH MORRIS GROUP, INC. AND (B) CHARGING ONE OR MORE CLIENTS FEES IN EXCESS OF THE FEE SCHEDULE LISTED ON PART II OF THE FORM ADV
Current Status:	Final
Resolution:	Consent



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:	08/16/2010
Sanctions Ordered:	Civil and Administrative Penalty(ies)/Fine(s)
Monetary Sanction 1 of 1	
Monetary Related Sanction:	Civil and Administrative Penalty(ies)/Fine(s)
Total Amount:	\$5,000.00
Portion Levied against individual:	\$5,000.00
Payment Plan:	SIMMONS PAID \$3,500 ON AUGUST 16, 2010, AND WILL PAY 3 MONTHLY PAYMENTS OF \$500 FROM SEPTEMBER TO NOVEMBER 2010
Is Payment Plan Current:	Yes
Date Paid by individual:	08/16/2010
Was any portion of penalty waived?	No
Amount Waived:
Reporting Source: Individual	
Regulatory Action Initiated By:	INDIANA SECURITIES DIVISION
Sanction(s) Sought:	Civil and Administrative Penalty(ies)/Fine(s)
Date Initiated:	08/16/2010
Docket/Case Number:	NO. 10-0221-CA
Employing firm when activity occurred which led to the regulatory action:	PREMIERE PLANNING INC.
Product Type:	Other: UNKNOWN
Allegations:	CLERICAL ERROR MADE. PREMIERE PRINCIPAL FAILED TO UPDATE REGISTRATION AT YEAR END 2008. SIMMONS HAD BEEN REGISTERED WITH PREMIERE FOR NINE YEARS PRIOR. WHEN ERROR WAS FOUND HIS REGISTRATION WAS COMPLETED. ALL CLIENTS WERE CHARGED THEIR AGREED ON FEE FOR SERVICES. CONSENT AGREEMENT FILED TO AVOID A HEARING.
Current Status:	Final
Resolution:	Consent



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:	08/16/2010
Sanctions Ordered:	Civil and Administrative Penalty(ies)/Fine(s)
Monetary Sanction 1 of 1	
Monetary Related Sanction:	Monetary Penalty other than Fines
Total Amount:	\$5,000.00
Portion Levied against individual:	\$5,000.00
Payment Plan:	\$3500 ON 8/16/2010 AND THREE \$500.00 PAYMENTS.
Is Payment Plan Current:	Yes
Date Paid by individual:	08/16/2010
Was any portion of penalty waived?	No
Amount Waived:	



End of Report

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