



IAPD Report

DONALD PAUL COX

CRD# 1369976

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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

DONALD PAUL COX (CRD# 1369976)

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 **02/03/2026**.

CURRENT EMPLOYERS

This individual is not currently registered as an Investment Adviser Representative.

QUALIFICATIONS

This individual is not currently registered as an Investment Adviser Representative.

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
	COX GLOBAL ASSOCIATES INC	107368	KATY, TX	01/03/2003 - 02/12/2026
	GENEOS WEALTH MANAGEMENT, INC.	120894	KATY, TX	11/17/2016 - 02/03/2026

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
Customer Dispute	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 not currently registered as an Investment Adviser Representative.



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.

No information reported.

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	01/03/2003 - 02/12/2026	COX GLOBAL ASSOCIATES INC	CRD# 107368	KATY, TX
IA	11/17/2016 - 02/03/2026	GENEOS WEALTH MANAGEMENT, INC.	CRD# 120894	KATY, TX

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
11/2006 - Present	GENEOS WEALTH MANAGEMENT INC.	REGISTERED REP	Y	KATY, TX, United States
12/1996 - Present	COX GLOBAL ASSOCIATES INC.	PRESIDENT	Y	KATY, 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.

1) DBA:OWNER OF COX GLOBAL ASSOCIATES INC AN INVESTMENT RELATED BUSINESS LOCATED AT BRANCH LOCATION. 2) PIN OAK ATRIUM BLDG-OWNER. 3) COX EXCALIBUR CATTLE CO-OWNER. 4) MIGHTY MAX CART LLC-BOARD MEMBER AND CO-OWNER. 5) INTERNATIONAL RED BRANGUS BREEDERS ASSOCIATION-BOARD MEMBER. 6) KATY MANAGEMENT DISTRICT 1-BOARD MEMBER.



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
Customer Dispute	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: TEXAS STATE SECURITIES BOARD

Sanction(s) Sought:

Other Sanction(s) Sought:

Date Initiated: 02/16/1996

Docket/Case Number: CEN-1177

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

Product Type:

Other Product Type(s):

Allegations: Not Provided

Current Status: Final

Resolution: Order

Resolution Date: 05/22/1997

Sanctions Ordered: Monetary/Fine \$7,500.00
Suspension

Other Sanctions Ordered:

Sanction Details: ON MAY 22, 1997, THE SECURITIES COMMISSIONER ENTERED A CONSENT ORDER AGAINST DONALD PAUL COX. RESPONDENT



IS
PRESIDENT OF COX GLOBAL ASSOCIATES WHO HAVE ACTED AN AN
INVESTMENT ADVISER IN TEXAS AT A TIME WHEN THEY WERE NOT
PROPERLY REGISTERED WITH THE SECURITIES COMMISSIONER AS
REQUIRED BY SECTION 12 OF THE TEXAS SECURITIES ACT. UNDER
SECTION 14 OF THE TEXAS SECURITIES ACT AN ORDER OF REPRIMAND,
SUSPENSION & PROBATION IS ISSUED. THE PROBATION PERIOD IS FOR
ONE YEAR FROM THE DATE OF ORDER. THE SUSPENSION IS FROM
SOLICITING NEW ACCOUNTS FOR 30 DAYS FROM DATE OF ORDER. UNDER
SECTION 23-1 OF THE SECURITIES ACT AN ADMINISTRATIVE FINE OF
\$7,500.00.

Regulator Statement

CONTACT: JOYCE MILLER (512) 305-8390

Reporting Source: Firm
Regulatory Action Initiated By: STATE OF TEXAS
Sanction(s) Sought:
Other Sanction(s) Sought:
Date Initiated: 02/16/1996
Docket/Case Number: CEN-1177
Employing firm when activity occurred which led to the regulatory action: COX GLOBAL ASSOCIATES

Product Type:
Other Product Type(s):
Allegations: REPRESENTATIVE FAILED TO REGISTER A CORPORATION, COX ARRE & ASSOCIATES, WHICH HE CO-OWNS AND OPERATES AS AN INVESTMENT ADVISER IN THE STATE OF TEXAS.

Current Status: Final
Resolution: Order
Resolution Date: 05/22/1997
Sanctions Ordered: Monetary/Fine \$7,500.00
Suspension

Other Sanctions Ordered:
Sanction Details: PENDING
Firm Statement UPON RECEIPT OF CORRESPONDENCE FROM THE TEXAS STATE SECURITIES BOARD WITH RESPECT TO AN EXAMINATION OF THE REPRESENTATIVES` BRANCH OFFICE, THE FIRM DETERMINED THAT REPRESENTATIVE FAILED TO REGISTER HIS CORPORATION, COX ARRE & ASSOCIATES, AS AN INVESTMENT ADVISER IN THE STATE OF TEXAS.

Reporting Source: Individual
Regulatory Action Initiated By: STATE OF TEXAS
Sanction(s) Sought:



Other Sanction(s) Sought:

Date Initiated: 02/16/1996

Docket/Case Number: CEN-1177

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

Product Type:

Other Product Type(s):

Allegations: RIA WAS REGISTERED WITH THE SEC BUT NOT IN THE STATE OF TEXAS. WE HAVE BEEN GRANTED THE STATE REGISTRATION.

Current Status: Final

Resolution: Order

Resolution Date: 05/22/1997

Sanctions Ordered: Monetary/Fine \$7,500.00
Suspension

Other Sanctions Ordered:

Sanction Details: \$7,500.00 FEE, 30-DAY NON-SOLICITATION OF NEW ACCOUNTS, ONE YEAR PROBATION

Broker Statement THE RIA OF COX, ARRE & ASSOCIATES INC RECEIVED A STATE OF TEXAS CERTIFICATE OF REGISTRATION EACH YEAR. DONALD P COX WAS REGISTERED IN TEXAS AS AN AGENT OF LPL AND BELIEVED THIS CERTIFICATE WHICH STATED INVESTMENT ADVISOR WAS ALL THAT WAS REQUIRED. THE COMPLIANCE DEPARTMENT OF LPL IN 5 SEPARATE AUDITS NEVER BROUGHT IT TO OUR ATTENTION THAT THE RIA WAS NOT REGISTERED IN THE STATE. WE HAVE RESOLVED THIS WITH THE STATE AND HAVE BEEN GRANTED REGISTRATION.



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:	Individual
Employing firm when activities occurred which led to the complaint:	Geneos Wealth Management Inc
Allegations:	Customers allege that representatives misrepresented and omitted material facts in regards to a real estate investment in 2013.
Product Type:	Real Estate Security
Alleged Damages:	\$100,000.00
Alleged Damages Amount Explanation (if amount not exact):	This Claim states no specific damage amount and includes two separate customers who each had a different registered representative. The firm's good faith determination for this registered representative's customer is \$100,000.
Is this an oral complaint?	No
Is this a written complaint?	No
Is this an arbitration/CFTC reparation or civil litigation?	Yes
Arbitration/Reparation forum or court name and location:	FINRA
Docket/Case #:	17-00200
Filing date of arbitration/CFTC reparation or civil litigation:	01/23/2017

Customer Complaint Information

Date Complaint Received:	02/16/2017
Complaint Pending?	No
Status:	Settled
Status Date:	01/30/2018
Settlement Amount:	\$31,819.10
Individual Contribution Amount:	\$25,000.00

Broker Statement	Customers are sophisticated, high net worth, investors who fully understood all of their purchases. My recommendations were based on what Customers told me their investment objectives were, their investment profile, and the investments they already owned. Customers made it very clear they wanted their investments to produce more income than they could get out of traditional investments and they wanted the alternative investments that we discussed. All risks associated with their alternative investments were properly disclosed. Customers attested to their
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understanding by executing all required forms and disclosure documents. I was not a named party, my broker/dealer chose to settle this matter in line with the cost of defense.



End of Report

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