



IAPD Report

WILLIAM WESLEY NEIGHBORS JR

CRD# 1693608

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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

WILLIAM WESLEY NEIGHBORS JR (CRD# 1693608)

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 **12/05/2024**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	LPL FINANCIAL LLC	CRD# 6413	07/23/2012
IA	PRIVATE ADVISOR GROUP, LLC	CRD# 155216	07/27/2012

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **15** 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	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	7691	HUNTSVILLE, AL	04/11/2003 - 07/25/2012
IA	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	7691	HUNTSVILLE, AL	04/11/2003 - 07/25/2012
B	PRUDENTIAL SECURITIES INCORPORATED	7471	NEW YORK, NY	08/25/1989 - 05/01/2003

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
Customer Dispute	2



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

Employment 1 of 2

Firm Name: **LPL FINANCIAL LLC**
Main Address: 1055 LPL WAY
FORT MILL, SC 29715
Firm ID#: 6413

	Regulator	Registration	Status	Date
B	FINRA	General Securities Representative	Approved	07/23/2012
B	Alabama	Agent	Approved	07/30/2012
B	Arkansas	Agent	Approved	04/10/2024
B	California	Agent	Approved	11/05/2019
B	Florida	Agent	Approved	07/23/2012
B	Georgia	Agent	Approved	07/23/2012
B	Illinois	Agent	Approved	02/07/2023
B	Louisiana	Agent	Approved	05/09/2018
B	Missouri	Agent	Approved	02/10/2014
B	New York	Agent	Approved	03/17/2015
B	Ohio	Agent	Approved	09/17/2012
B	Pennsylvania	Agent	Approved	08/15/2013
B	South Carolina	Agent	Approved	01/20/2015



Qualifications

Regulator	Registration	Status	Date
B Tennessee	Agent	Approved	07/23/2012
B Texas	Agent	Approved	07/23/2012
B Virginia	Agent	Approved	10/10/2012

Branch Office Locations

LPL FINANCIAL LLC
 1217 MEMORIAL PKWY NW
 HUNTSVILLE, AL 35801

Employment 2 of 2

Firm Name: **PRIVATE ADVISOR GROUP, LLC**
 Main Address: 305 MADISON AVENUE
 MORRISTOWN, NJ 07960
 Firm ID#: 155216

Regulator	Registration	Status	Date
IA Alabama	Investment Adviser Representative	Approved	07/27/2012
IA Texas	Investment Adviser Representative	Restricted Approval	08/14/2012

Branch Office Locations

PRIVATE ADVISOR GROUP, LLC
 200 CLINTON AVE, STE 405
 HUNTSVILLE, AL 35801



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 0 principal/supervisory exams, 3 general industry/product exams, and 2 state securities law exams.




Principal/Supervisory Exams

Exam	Category	Date
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No information reported.


General Industry/Product Exams

Exam	Category	Date
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 Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
 National Commodity Futures Examination (S3)	Series 3	04/12/1990
 General Securities Representative Examination (S7)	Series 7	12/19/1987

State Securities Law Exams

Exam	Category	Date
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 Uniform Investment Adviser Law Examination (S65)	Series 65	11/21/1992
 Uniform Securities Agent State Law Examination (S63)	Series 63	01/22/1988

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	04/11/2003 - 07/25/2012	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	CRD# 7691	HUNTSVILLE, AL
IA	04/11/2003 - 07/25/2012	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	CRD# 7691	HUNTSVILLE, AL
B	08/25/1989 - 05/01/2003	PRUDENTIAL SECURITIES INCORPORATED	CRD# 7471	NEW YORK, NY
IA	08/25/1989 - 05/01/2003	PRUDENTIAL SECURITIES INCORPORATED	CRD# 7471	HUNTSVILLE, AL
B	02/02/1988 - 08/25/1989	THOMSON MCKINNON SECURITIES INC.	CRD# 829	NEW YORK, NY

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
07/2012 - Present	LPL FINANCIAL LLC	REGISTERED REPRESENTATIVE	Y	HUNTSVILLE, AL, United States
07/2012 - Present	PRIVATE ADVISOR GROUP, LLC	INVESTMENT ADVISOR REPRESENTATIVE	Y	HUNTSVILLE, AL, 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) 07/09/2012: Neighbors Wealth Management - DBA for LPL Business (entity for LPL business) - Investment Related - At Reported Business Location(s)
- 2) 07/16/2012: No Business Name - Other - Not Investment Related - At Reported Business Location(s) - 5% Time Spent - sports talk radio
- 3) 09/12/2012: Private Advisor Group, LLC - Registered Investment Advisor - DBA: Private Advisor Group, LLC - Investment Related - At Reported Business Location(s) - 100% Time Spent - Advisory service provided by RIA
- 4) 02/05/2013: dixon wells - Non-Variable Insurance - Investment Related - At Reported Business Location(s) - 10% Time Spent - INS Types: Life, Disability, LTC
- 5) 09/08/2016: allaince Group - Non-Variable Insurance - Investment Related - 200 west side square suite 400 Huntsville, al 35801 - Start 09/01/2016 - 5 Hr/Mo; 0 Hour(s) During Securities Trading - INS Type: Life, Fixed Annuities.



Registration & Employment History



OTHER BUSINESS ACTIVITIES

- 6) 12/5/2017 - Private Advisor Group - DBA: (Hybrid) Neighbors Wealth Management - Investment Related - At Reported Business Location(s) - Registered Investment Advisor DBA - Started 07/24/2012 - 53 Hours Per Month/43 Hours During Securities Trading - I provide investment advisory services through Private Advisor Group, Inc., an independent investment advisor firm. I started this business activity on 12/05/2017. I expect to spend approximately 53 hours/month on this activity. Please see the advisory firms Form ADV for more information about its address, the nature of its business, its owners, and its services at <http://www.adviserinfo.sec.gov/IAPD>. The firm is separate from and independent of LPL Financial.
- 7) 8/8/2018 - NBC - Not Investment Related - 108 Woodson St. Huntsville, AL 35801 - Other-Radio Station - Start Date:07/01/2018 - 50 Hours Per Month/0 Hours During Trading.
- 8) 08/16/2022- WILLIAM NEIGHBORS FINANCIAL MANAGEMENT LLC - Not Investment Related - Home Based - Business Entity For Tax/Investment Purposes Only -Start Date- 07/31/2022 - 5 Hours Per Month/ 5 Hours During Securities Trading
- 9) 04/16/2024 - No Business Name - Inv Related - Miramar Beach, FL - Real Estate Rental - Started: 4/8/2024 - 0 Hrs/Mo.
- 10) 11/06/2024 - Nabs Real Estate - Real Estate Rental - Investment Related - 1217 North Memorial Parkway Huntsville, AL 35801 - Start Date 09/20/2024 - 0 Hours Per Month/ During trading



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
Customer Dispute	2

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 2

Reporting Source:	Firm
Employing firm when activities occurred which led to the complaint:	PRUDENTIAL SECURITIES INCORPORATED
Allegations:	CLAIMANT ALLEGES THAT VARIABLE ANNUITIES WERE UNSUITABLE FOR HIM, WITH DAMAGES OF A LEAST \$200,000.
Product Type:	Other
Other Product Type(s):	EQUITIES
Alleged Damages:	\$200,000.00

Customer Complaint Information

Date Complaint Received:	03/03/2006
Complaint Pending?	No
Status:	Arbitration/Reparation
Status Date:	03/03/2006

Settlement Amount:

Individual Contribution Amount:

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.:	NASD 06-00787
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Date Notice/Process Served: 03/03/2006

Arbitration Pending? No

Disposition: Settled

Disposition Date: 07/31/2007

Monetary Compensation Amount: \$35,000.00

Individual Contribution Amount: \$0.00

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: PRUDENTIAL SECURITIES INC.

Allegations: CLAIMANT ALLEGES THAT VARIABLE ANNUITIES WERE UNSUITABLE FOR HIM WITH DAMAGES OF AT LEAST \$200,000.00

Product Type: Annuity(ies) - Variable

Other Product Type(s): EQUITIES

Alleged Damages: \$200,000.00

Customer Complaint Information

Date Complaint Received:

Complaint Pending?

Status: Arbitration/Reparation

Status Date:

Settlement Amount:

Individual Contribution Amount:

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: NASD 06-00787

Date Notice/Process Served: 03/03/2006

Arbitration Pending? No

Disposition: Settled

Disposition Date: 07/31/2007

Monetary Compensation Amount: \$35,000.00

Individual Contribution Amount: \$0.00

Disclosure 2 of 2

Reporting Source: Firm



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

Allegations: CLAIMANTS ALLEGE VARIOUS FEDERAL AND STATE AND COMMON LAW VIOLATIONS IN CONNECTION WITH THE SALE OF CERTAIN RESTRICTED AND THE HANDLING FO THEIR ACCOUNTS

Product Type: Other

Other Product Type(s): EQUITIES

Alleged Damages: \$622,600.00

Customer Complaint Information

Date Complaint Received: 09/07/2001

Complaint Pending? No

Status: Arbitration/Reparation

Status Date: 09/07/2001

Settlement Amount:

Individual Contribution Amount:

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: NASD 01-04831

Date Notice/Process Served: 09/07/2001

Arbitration Pending? No

Disposition: Settled

Disposition Date: 06/19/2003

Monetary Compensation Amount: \$0.00

Individual Contribution Amount: \$0.00

Firm Statement CLAIMANTS PAID PSI \$300,000 IN SETTLEMENT OF PSI'S COUNTER CLAIM SEEKING TO COLLECTAN UNSECURED DEBIT



End of Report

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