



IAPD Report

JAMES FRANKLIN BECK

CRD# 1729263

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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

JAMES FRANKLIN BECK (CRD# 1729263)

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 **09/02/2025**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
IA	BECK CAPITAL MANAGEMENT LLC	CRD# 152705	01/20/2010

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	PARTNERVEST ADVISORY SERVICES LLC	113621	AUSTIN, TX	08/02/2006 - 03/02/2010
B	JEFFERSON PILOT SECURITIES CORPORATION	3870	FORT WAYNE, IN	11/24/1997 - 05/30/2000
B	MONY SECURITIES CORP.	4386	NEW YORK, NY	12/08/1988 - 09/09/1997

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
Criminal	1
Investigation	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: **BECK CAPITAL MANAGEMENT LLC**
Main Address: 2009 S. CAPITAL OF TEXAS HWY.
SUITE 200
AUSTIN, TX 78746
Firm ID#: 152705

Regulator	Registration	Status	Date
IA Texas	Investment Adviser Representative	Approved	01/20/2010

Branch Office Locations

BECK CAPITAL MANAGEMENT LLC
2009 S. CAPITAL OF TEXAS HWY.
SUITE 200
AUSTIN, TX 78746



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, 2 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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B General Securities Representative Examination (S7)	Series 7	12/01/1999
B Investment Company Products/Variable Contracts Representative Examination (S6)	Series 6	12/06/1988

State Securities Law Exams

Exam	Category	Date
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IA Uniform Investment Adviser Law Examination (S65)	Series 65	07/13/2006
B Uniform Securities Agent State Law Examination (S63)	Series 63	12/06/1988

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
IA	08/02/2006 - 03/02/2010	PARTNERVEST ADVISORY SERVICES LLC	CRD# 113621	AUSTIN, TX
B	11/24/1997 - 05/30/2000	JEFFERSON PILOT SECURITIES CORPORATION	CRD# 3870	FORT WAYNE, IN
B	12/08/1988 - 09/09/1997	MONY SECURITIES CORP.	CRD# 4386	NEW YORK, NY
B	12/08/1988 - 10/15/1990	THE MUTUAL LIFE INSURANCE COMPANY OF NEW YORK	CRD# 2873	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
12/2009 - Present	BECK CAPITAL MANAGEMENT	MANAGING MEMBER	Y	AUSTIN, 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. WRITES FIXED LIFE INSURANCE, EIA, LTC, AND OR FIXED ANNUITIES THROUGH VARIOUS INSURANCE COMPANIES.



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
Criminal	1
Investigation	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: Individual

Regulatory Action Initiated By: TEXAS SECURITIES BOARD

Sanction(s) Sought:

Other Sanction(s) Sought:

Date Initiated: 08/11/1998

Docket/Case Number:

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

Product Type:

Other Product Type(s):

Allegations: I SHOULD HAVE ANSWERED YES TO QUESTION 22A(3). I THOUGHT THE LEGITIMATE AND ACCURATE ANSWER WAS NO. THE FELONY WAS A 1978 POSSESSION OF A CONTROLLED SUBSTANCE. THE SUBSTANCE WAS NOT MINE AND WITHOUT A TRAIL I AGREED TO A (3 YR) PROBATION AFTER WHICH I WAS "PERMITTED TO WITHDRAW MY PLEA OF GUILTY ENTERED IN THE CASE"... AND I WAS "RELEASED FROM ALL PENALTIES AND DIS- ABILITIES".



Current Status: Pending

Sanctions Ordered:

Other Sanctions Ordered:

Sanction Details: Not Provided

Broker Statement
THE CONTROLLED SUBSTANCE (1978) WAS NOT MINE. I AGREED TO THE DEFERRED AJUDICATION BECAUSE IT WAS EASY AND I WAS "GUANTEED" IT WOULD NOT BE A PART OF MY PERMANANT RECORD
IF I WAS IN NO TROUBLE FOR THE FOLLOWING FOUR YEARS. IT HAS BEEN WELL OVER TWENTY YEARS. I AM A MODEL CITIZEN, I REGULARY SUPPORT CHARTITIES WITH TIME & MONEY. I AM ALSO A GOOD HUSBAND AND FATHER.



Criminal

This disclosure event involves a criminal charge against the Investment Adviser Representative that has resulted in a dismissal, plea, acquittal or conviction. The criminal matter may relate to any felony or certain misdemeanor offenses (e.g., bribery, perjury, forgery, counterfeiting, extortion, fraud, wrongful taking of property).

Disclosure 1 of 1

Reporting Source:	Individual
Organization Name (if charge(s) were brought against an organization over which individual exercised control):	NOT APPLICABLE
Court Details:	COUNTY OF TRAVIS, STATE OF TEXAS, #56,561
Charge Date:	10/07/1978
Charge Details:	POSESSION OF A CONTROLLED SUBSTANCE, FELONY, PLEA OF GUILTY, DEFERRED ADJUDICATION.
Felony?	Yes
Current Status:	Final
Status Date:	04/30/1982
Disposition Details:	1. (A) PROBATION /DEFERRED ADJUDICATION (PLEA OF GUILTY). (B) DATE OF CHARGE 10/7/78, DATE OF PLEA 4/12/79. (C) PROBATION OF FOUR YEARS/DEFERRED ADJUDICATION (D)3 YEARS 18 DAYS, (E) 4/12/79, (F) \$500.00 (G) 4/12/79
Broker Statement	SEVERAL OTHER EMPLOYEES AND I WERE ATTENDING A BARBECUE AT OUR EMPLOYER'S HOME WHEN HE WAS SEARCHED FOR DRUGS. SOME METHAMPHETAMINE WAS FOUND IN HIS HOME AND ALL WERE ARRESTED. WE THE EMPLOYEES WERE ALL OFFERED THE SAME DEAL BY THE COURT. I THOUGHT THIS WAS EXPUNGED.



Investigation

This disclosure event involves any ongoing formal investigation such as a grand jury investigation, a Securities and Exchange Commission investigation, a formal investigation by a self-regulatory organization (e.g., FINRA), or an action or procedure designated as an investigation by a state or other regulator. Subpoenas, preliminary or routine regulatory inquiries, and general requests by these regulatory bodies for information are not considered investigations and therefore are not required to be reported.

Disclosure 1 of 1

Reporting Source: Firm
Initiated By: TEXAS SECURITIES BOARD
Notice Date: 07/19/1999
Details: INVESTIGATION INTO OUTSIDE BUSINESS ACTIVITIES

Reporting Source: Individual
Initiated By: TEXAS SECURITIES BOARD
Notice Date: 07/23/1999
Details: I HAD ALWAYS ANSWERED "NO" TO QUESTION A(1) ON MY U-4 BECAUSE I THOUGHT THAT WAS THE CORRECT ANSWER. I THOUGHT MY 1979 POSSESSION OF A CONTROLLED SUBSTANCE HAD BEEN EXPUNGED AFTER MY DEFERRED ADJUDICATION, RESULTING IN A "NO" ANSWER. THE TEXAS BOARD DISAGREES. I AMENDED MY U-4 SHORTLY AFTER THE NOTIFICATION TO REFLECT "YES".



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: THE MUTUAL LIFE INSURANCE COMPANY OF NEW YORK

Termination Type: Discharged

Termination Date: 08/22/1997

Allegations: ILLEGAL SALES PRACTICE
NO DAMAGES AND THE ALLEGATION IS A LIE. I WAS A LIFE INS MGR I WAS INTERVIEWING WITH OTHER INS. COMPANIES AND MY MGR FOUND OUT. HE WAS CONVNERENED ABOUT OTHER AGENTS FOLLOWING ME, SO HE ASKED FOR MY RESIGNATION, WHICH I PROVIDED. TWO WEEKS LATER HE DISCOVERED THE ABSENCE OF A NO-COMPETE CLAUSE IN MY CONTRACT. HE THEN TRIE TO GET ME TO SIGN ONE, I WOULD NOT, SO HE LIED TO THE NASD AND BACKDATED A TERMINATION.

Product Type: Insurance

Other Product Types:

Broker Statement NA
I WAS WITH MONY/MUTUAL OF NEW YORK FOR TEN YEARS AND I WAS THE AUSTIN SALES MGR. WHEN B. ROPER (THE MGR.) HEARD I WAS INTERVIEWING WITH OTHER COMPANIES HE ASKED FOR MY RESIGNATION (8/22/97) & I SUBMITTED ONE. TWO WEEKS LATER, ON 9/5/97 HE ASKED ME TO SIGN A NO-COMPETE AGREEMENT. HE TOLD ME IF I DID NOT RETURN IT BY NOON THAT SAME DAY, HE WOULD TERMINATE ME FOR CAUSE. (OF COURSE), I DID NOT SIGN THE NO-COMPETE AND ON 9/9/97 HE BEGAN THIS LIE. HE HAS DONE THIS & SLANDERED ME DUE TO HIS FEAR THAT SEVERAL OR MANY OF THE AGENTS WOULD JOIN ME AT MY NEW COMPANY. IT HAS BEEN AN EFFECTIVE MEANS OF SLOWING ME DOWN, BUT IT IS A LIE.



End of Report

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