IAPD Report

JAMES THOMAS MURFEE IV

CRD# 1765445

Section Title	**Page(s)**

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

JAMES THOMAS MURFEE IV (CRD# 1765445)

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 **08/08/2025**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	VOYA FINANCIAL ADVISORS, INC.	CRD# 2882	12/20/2010
IA	VOYA FINANCIAL ADVISORS, INC.	CRD# 2882	01/27/2011

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **19** 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	ING FINANCIAL ADVISERS, LLC	34815	BIRMINGHAM, AL	05/24/2006 - 12/31/2010
IA	ING FINANCIAL ADVISERS, LLC	34815	BIRMINGHAM, AL	05/24/2006 - 12/31/2010
IA	TOWER SQUARE SECURITIES, INC.	833	BIRMINGHAM, AL	01/12/1999 - 06/08/2006

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	3

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

Employment 1 of 1

Firm Name: **VOYA FINANCIAL ADVISORS, INC.**

Main Address: ONE ORANGE WAY
WINDSOR, CT 06095

Firm ID#: 2882

	Regulator	Registration	Status	Date
B	FINRA	General Securities Representative	Approved	12/20/2010
B	FINRA	General Securities Principal	Approved	01/03/2011
B	FINRA	Invest. Co and Variable Contracts	Approved	01/03/2011
B	Alabama	Agent	Approved	01/07/2011
IA	Alabama	Investment Adviser Representative	Approved	01/27/2011
B	Arkansas	Agent	Approved	07/29/2025
B	Florida	Agent	Approved	12/23/2010
B	Georgia	Agent	Approved	01/05/2011
B	Illinois	Agent	Approved	07/09/2020
B	Kentucky	Agent	Approved	01/04/2011
B	Louisiana	Agent	Approved	01/10/2011
B	Minnesota	Agent	Approved	09/23/2022
B	Mississippi	Agent	Approved	01/10/2011

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Qualifications

	Regulator	Registration	Status	Date
B	North Carolina	Agent	Approved	05/11/2023
B	Ohio	Agent	Approved	01/04/2011
B	Oklahoma	Agent	Approved	08/11/2025
B	Pennsylvania	Agent	Approved	04/24/2019
B	South Carolina	Agent	Approved	04/15/2011
B	Tennessee	Agent	Approved	01/15/2019
B	Texas	Agent	Approved	01/18/2011
IA	Texas	Investment Adviser Representative	Restricted Approval	04/30/2020
B	Virginia	Agent	Approved	11/03/2021
B	West Virginia	Agent	Approved	02/03/2021
B	Wyoming	Agent	Approved	03/18/2013

Branch Office Locations

VOYA FINANCIAL ADVISORS, INC.
120 OFFICE PARK DR STE 100
BIRMINGHAM, AL 35223

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

Principal/Supervisory Exams

	Exam	Category	Date
B	General Securities Principal Examination (S24)	Series 24	04/23/1997

General Industry/Product Exams

	Exam	Category	Date
B	Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
B	General Securities Representative Examination (S7)	Series 7	11/02/1994
B	Investment Company Products/Variable Contracts Representative Examination (S6)	Series 6	11/22/1988

State Securities Law Exams

	Exam	Category	Date
B	Uniform Securities Agent State Law Examination (S63)	Series 63	01/25/1988

PROFESSIONAL DESIGNATIONS

This section details that the representative has reported **1** professional designation(s).

Certified Financial Planner

Only professional designations listed in Question 8 of the Form U4 will appear in this section if the appropriate box is checked and verified by the issuing organization at the time of the filing. Learn more about eligible designations at IARD and NASAA.

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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	05/24/2006 - 12/31/2010	ING FINANCIAL ADVISERS, LLC	CRD# 34815	BIRMINGHAM, AL
IA	05/24/2006 - 12/31/2010	ING FINANCIAL ADVISERS, LLC	CRD# 34815	BIRMINGHAM, AL
IA	01/12/1999 - 06/08/2006	TOWER SQUARE SECURITIES, INC.	CRD# 833	BIRMINGHAM, AL
B	01/01/1999 - 06/08/2006	TOWER SQUARE SECURITIES, INC.	CRD# 833	BIRMINGHAM, AL
B	08/15/1994 - 12/31/1998	ADVANTAGE CAPITAL CORPORATION	CRD# 146	ATLANTA, GA
B	09/21/1990 - 08/15/1994	TRAVELERS EQUITIES SALES, INC.	CRD# 833	EL SEGUNDO, CA
B	05/08/1989 - 08/27/1990	F & G SECURITIES, INC.	CRD# 16364	
B	03/01/1989 - 06/17/1989	AMEV INVESTORS, INC.	CRD# 421	

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
09/2014 - Present	VOYA FINANCIAL ADVISORS	REG REP	Y	BIRMINGHAM, AL, United States
03/1993 - Present	MURFEE MEADOWS INC	OTHER - OWNER	N	BIRMINGHAM, AL, United States
03/1993 - Present	THE MURFEE GROUP	AGENT - Agent	N	BIRMINGHAM, 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.

NAME OF ENTITY:Murfee-Ard Properties, LLC; No; 120 OFFICE PARK DR #100; BIRMINGHAM; AL; 35223; Commercial Bldg Ownership; President; 1/1/2012; 0; 0; collect rent within a commercial office building|NAME OF ENTITY:MURFEE MEADOWS, INC; Yes; 120 OFFICE PARK DRIVE SUITE 100; BIRMINGHAM; AL; 35223; FINANCIAL SERVICES/DBA; PRESIDENT/OWNER; 3/1/1993; 80; 80; SALE AND SERVICE INSURANCE,SECURITIES AND INVESTMENT

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Registration & Employment History

OTHER BUSINESS ACTIVITIES

PRODUCTS.MANAGE THIRD PARTY ADMINISTRATION.|NAME OF ENTITY:Murfee-Capstone Properties, LLC; No; 120 OFFICE PARK DRIVE #100; BIRMINGHAM; AL; 35223; Condo rental; President/Owner; 1/1/2012; 4; 4; collect rent and untilities from tenants of single condominium owned by rep.|NAME OF ENTITY: INDEPENDENT INSURANCE AGENT; Yes; 120 OFFICE PARK DRIVE SUITE 100; BIRMINGHAM; AL; 35223; FIXED INSURANCE SALES; INDEPENDENT INSURANCE AGENT; 12/20/2010; 160; 160; SALE OF FIXED INSURANCE PRODUCTS|

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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.

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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	3

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 3

Reporting Source:	Firm
Employing firm when activities occurred which led to the complaint:	ING FINANCIAL ADVISERS LLC
Allegations:	CLIANT ALLEGES THAT THE NON-TRADED REAL ESTATE INVESTMENT TRUST SOLD TO HIM IN EARLY 2008 WAS MISREPRESENTED AND UNSUITABLE FOR HIM
Product Type:	Real Estate Security
Alleged Damages:	$0.00
Alleged Damages Amount Explanation (if amount not exact):	CLIANT ALLEGES ACTUAL DAMAGES OF LESS THAN $50,000 THE PRECEISE AMOUNT TO BE PROVEN INCLUDING THE COST OF ARBITRATION, FINRA FILING FEES, EXPERT WITNESS FEES, ARBITRATOR FEES AND EXPENSES PURSUAJNT TO THE ALABAMA SECURITIES ACT.
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 #:	13-00909
Filing date of arbitration/CFTC reparation or civil litigation:	03/25/2013

Customer Complaint Information

Date Complaint Received:	04/26/2013
Complaint Pending?	No
Status:	Settled
Status Date:	07/26/2013
Settlement Amount:	$19,500.00
Individual Contribution Amount:	$0.00

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	ING FINANCIAL ADVISERS, LLC
Allegations:	CLAIMANT ALLEGES THAT THE NON-TRADED REAL ESTATE INVESTMENT TRUST SOLD TO HIM IN EARLY 2008 WAS MISREPRESENTED AND UNSUITABLE FOR HIM.
Product Type:	Real Estate Security
Alleged Damages:	$0.00
Alleged Damages Amount Explanation (if amount not exact):	CLAIMANT DEMANDS ACTUAL DAMAGES OF LESS THAN $50,000, THE PRECISE AMOUNT TO BE PROVEN, INCLUDING COST OF ARBITRATION, FINRA FILING FEES, EXPERT WITNESS FEES, ATTORNEY'S FEES, ARBITRATOR FEES AND EXPENSES PURSUANT TO THE ALABAMA SECURITIES ACT.
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 #:	13-00909
Filing date of arbitration/CFTC reparation or civil litigation:	03/25/2013

Customer Complaint Information

Date Complaint Received:	04/01/2013
Complaint Pending?	No
Status:	Settled
Status Date:	08/16/2013
Settlement Amount:	$19,500.00
Individual Contribution Amount:	$0.00

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Disclosure 2 of 3

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	ING FINANCIAL ADVISERS, LLC
Allegations:	CUSTOMER ALLEGES THE REPRESENTATIVE MISREPRESENTED THE SAFETY OF HIS INVESTMENT. HE INFORMED REPRESENTATIVE HE DESIRED A CONSERVATIVE INVESTMENT THAT WOULD NEVER DECREASE AND HAS LOST APPROXIMATELY $20,000.
Product Type:	Other: IRA
Alleged Damages:	$20,000.00
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:	07/06/2009
Complaint Pending?	No
Status:	Denied
Status Date:	08/21/2009
Settlement Amount:	$0.00
Individual Contribution Amount:	$0.00
Broker Statement	I DISPUTE THE FACTS AND CHRONOLOGY OF THIS COMPLAINT. FOR EX, 9-11-2001 IS LISTED AS AN ACTION DATE. COATS IRA NOT SET UP UNTIL FALL 2003. WE HAVE ALWAYS COMPLIED WITH THE REQUESTS OF THE CLIENT.

Disclosure 3 of 3

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	TOWER SQUARE SECURITIES, INC
Allegations:	TRUSTEE CLAIMS THE PLAN WAS NOT INFORMED OF SURRENDER CHANRGES ASSOCIATED WITH THE INVESTMENT AT THE TIME OF PURCHASE.
Product Type:	Annuity(ies) - Variable
Other Product Type(s):	401K
Alleged Damages:	$100,000.00

Customer Complaint Information

Date Complaint Received:	11/29/2007
Complaint Pending?	No
Status:	Denied

Status Date:	12/03/2007
Settlement Amount:	
Individual Contribution Amount:	
Broker Statement	IN 2000 [CUSTOMER] BECAME A CLIENT OF MR MURFEE AND METLIFE WAS THE INVESTMENT PROVIDER. ALL APPLICABLE PAPERWORK, FORMS, DISCLOSURES AND AGREEMENTS WERE SIGNED BY TRUSTEE, [TRUSTEE]. IN 2007 [TRUSTEE] DECIDED HE WANTED TO MOVE THE PLAN TO ANOTHER INVESMENT PROVIDER (FIDELITY) AND WAS LOOKING TO HAVE THE SURRENDER CHARGES WAIVED. HE ATTEMPTED TO GET THE SURRENDER CHARGES WAIVED BY SENDING A LETTER OF COMPLIANT CONTAINING MULTIPLE ERRONEOUS ALLEGATIONS. MR MURFEE DENIES ALL ALLEGATIONS AND BASED ON ING FINANCIAL ADVISERS REVIEW OF THE DOCUMENTS PROVIDED, BELEIVES THE COMPLIANT HAS NO MERIT.

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End of Report

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