IAPD Report

JAMES WALLACE KING

CRD# 1798229

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 WALLACE KING (CRD# 1798229)

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 **01/12/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
IA	COPPELL ADVISORY SOLUTIONS LLC	CRD# 156549	01/14/2026

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	COPPELL ADVISORY SOLUTIONS LLC	156549	Solana Beach, CA	05/01/2014 - 12/31/2025
IA	J. WALLACE KING LLC	169729	SAN DIEGO, CA	02/21/2014 - 12/31/2014
IA	KEN STERN & ASSOCIATES INC	110092	SAN DIEGO, CA	04/26/2004 - 08/14/2013

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
Judgment/Lien	5

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

Employment 1 of 1

Firm Name: **COPPELL ADVISORY SOLUTIONS LLC**

Main Address: 9111 CYPRESS WATERS BLVD SUITE 140
DALLAS, TX 75019

Firm ID#: 156549

	Regulator	Registration	Status	Date
IA	California	Investment Adviser Representative	Approved - Pending IAR CE	01/14/2026

Branch Office Locations

COPPELL ADVISORY SOLUTIONS LLC
863 Del Mar Downs Rd.
Unit D
Solana Beach, CA 92075

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

Principal/Supervisory Exams

	Exam	Category	Date
	No information reported.		

General Industry/Product Exams

	Exam	Category	Date
B	General Securities Representative Examination (S7)	Series 7	03/18/1989

State Securities Law Exams

	Exam	Category	Date
IA	Uniform Investment Adviser Law Examination (S65)	Series 65	11/09/2001
B	Uniform Securities Agent State Law Examination (S63)	Series 63	04/10/1989

PROFESSIONAL DESIGNATIONS

This section details that the representative has reported **0** professional designation(s).

No information reported.

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
IA	05/01/2014 - 12/31/2025	COPPELL ADVISORY SOLUTIONS LLC	CRD# 156549	Solana Beach, CA
IA	02/21/2014 - 12/31/2014	J. WALLACE KING LLC	CRD# 169729	SAN DIEGO, CA
IA	04/26/2004 - 08/14/2013	KEN STERN & ASSOCIATES INC	CRD# 110092	SAN DIEGO, CA
B	01/02/2002 - 08/09/2013	FIRST ALLIED SECURITIES, INC.	CRD# 32444	SAN DIEGO, CA
B	07/23/1999 - 12/31/2001	ASSET PLANNING SOLUTIONS, INC.	CRD# 46091	SAN DIEGO, CA
B	07/07/1998 - 10/06/1999	FIRST ALLIED SECURITIES, INC.	CRD# 32444	SAN DIEGO, CA
B	02/24/1997 - 07/06/1998	SECURITIES AMERICA, INC.	CRD# 10205	LAVISTA, NE
B	09/29/1994 - 06/20/1995	LIBERTY SECURITIES CORPORATION	CRD# 14416	PURCHASE, NY
B	04/13/1993 - 07/27/1994	EQUICO SECURITIES, INC.	CRD# 6627	NEW YORK, NY
B	04/13/1993 - 07/27/1994	THE EQUITABLE LIFE ASSURANCE SOCIETY OF THE UNITED STATES	CRD# 4039	NEW YORK, NY
B	02/26/1991 - 03/30/1993	TITAN/VALUE EQUITIES GROUP, INC.	CRD# 6359	IRVINE, CA
B	03/30/1989 - 10/28/1989	L.F. THOMPSON & COMPANY	CRD# 21820	
B	03/21/1989 - 04/06/1989	BARABAN SECURITIES, INC.	CRD# 7659	

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
04/2014 - Present	COPPELL ADVISORY SOLUTIONS, LLC	INVESTMENT ADVISER REP.	Y	SAN DIEGO, CA, United States

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Registration & Employment History

EMPLOYMENT HISTORY

Employment Dates	Employer Name	Position	Investment Related	Employer Location
02/2014 - Present	J. WALLACE KING LLC	INVESTMENT ADVISER REP.	Y	SAN DIEGO, CA, United States
08/2013 - Present	INDEPENDENT	INSURANCE AGENT	N	SAN DIEGO, CA, 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.

MR. KING IS A LICENSED FOR FIXED INSURANCE AND LONG TERM CARE.

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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
Regulatory Event	1
Judgment/Lien	5

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:	FINRA
Sanction(s) Sought:	Other: N/A
Date Initiated:	10/31/2012
Docket/Case Number:	2010025271401
Employing firm when activity occurred which led to the regulatory action:	FIRST ALLIED SECURITIES, INC.
Product Type:	No Product
Allegations:	FINRA BY-LAWS ARTICLE V, SECTION 2(C), FINRA RULES 1122, 2010, AND INTERPRETATIVE MATERIAL-1000-1: KING WILLFULLY FAILED TO TIMELY AMEND HIS FORM U4 TO DISCLOSE SOME TAX LIENS AGAINST HIM. IT WAS UPON FINRA'S INVESTIGATION, THAT KING AMENDED HIS FORM- U4 TO DISCLOSE THE LIENS.
Current Status:	Final
Resolution:	Acceptance, Waiver & Consent(AWC)
Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct?	No

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Resolution Date:	10/31/2012
Sanctions Ordered:	Civil and Administrative Penalty(ies)/Fine(s) Suspension
If the regulator is the SEC, CFTC, or an SRO, did the action result in a finding of a willful violation or failure to supervise?	Yes
(1) willfully violated any provision of the Securities Act of 1933, the Securities Exchange Act of 1934, the Investment Advisers Act of 1940, the Investment Company Act of 1940, the Commodity Exchange Act, or any rule or regulation under any of such Acts, or any of the rules of the Municipal Securities Rulemaking Board, or to have been unable to comply with any provision of such Act, rule or regulation?	No
(2) willfully aided, abetted, counseled, commanded, induced, or procured the violation by any person of any provision of the Securities Act of 1933, the Securities Exchange Act of 1934, the Investment Advisers Act of 1940, the Investment Company Act of 1940, the Commodity Exchange Act, or any rule or regulation under any of such Acts, or any of the rules of the Municipal Securities Rulemaking Board? or	No

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(3) failed reasonably to supervise another person subject to your supervision, with a view to preventing the violation by such person of any provision of the Securities Act of 1933, the Securities Exchange Act of 1934, the Investment Advisers Act of 1940, the Investment Company Act of 1940, the Commodity Exchange Act, or any rule or regulation under any such Acts, or any of the rules of the Municipal Securities Rulemaking Board?	No
Sanction 1 of 1	
Sanction Type:	Suspension
Capacities Affected:	ANY CAPACITY
Duration:	TWO MONTHS
Start Date:	11/19/2012
End Date:	01/18/2013
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:	
Is Payment Plan Current:	
Date Paid by individual:	10/09/2013
Was any portion of penalty waived?	No
Amount Waived:	
Regulator Statement	WITHOUT ADMITTING OR DENYING THE FINDINGS, KING CONSENTED TO THE DESCRIBED SANCTIONS AND TO THE ENTRY OF FINDINGS; THEREFORE, HE IS FINED $5,000 AND SUSPENDED FROM ASSOCIATION WITH ANY FINRA MEMBER IN ANY CAPACITY FOR TWO MONTHS. THE SUSPENSION IS IN EFFECT FROM NOVEMBER 19, 2012, THROUGH JANUARY 18, 2013. RESPONDENT UNDERSTANDS THAT THIS SETTLEMENT INCLUDES A FINDING THAT RESPONDENT WILLFULLY OMITTED TO STATE A MATERIAL FACT ON A FORM U4, AND THAT UNDER SECTION 3(A)(39)(F) OF THE SECURITIES EXCHANGE ACT OF 1934 AND ARTICLE III, SECTION 4 OF FINRA'S BY-LAWS, THIS OMISSION MAKES RESPONDENT SUBJECT TO A STATUTORY DISQUALIFICATION WITH RESPECT TO ASSOCIATION WITH A MEMBER. FINE PAID IN FULL 10/09/13.

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Reporting Source:	Individual
Regulatory Action Initiated By:	FINRA
Sanction(s) Sought:	Other: N/A
Date Initiated:	10/31/2012
Docket/Case Number:	2010025271401
Employing firm when activity occurred which led to the regulatory action:	FIRST ALLIED SECURITIES, INC.
Product Type:	No Product
Allegations:	RESPONDENT WILLFULLY FAILED TO TIMELY AMEND HIS FORM U4 TO DISCLOSE TWO TAX LIENS, IN VIOLATION OF FINRA RULES 2010, 1122, IM 1000-1, AND ARTICLE V, SECTION 2(C) OF THE FINRA BY-LAWS
Current Status:	Final
Action Appealed To:	SRO
Date Appeal filed:	09/26/2012
Appeal Limitation Details:	
Resolution:	Acceptance, Waiver & Consent(AWC)
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:	10/31/2012
Sanctions Ordered:	Civil and Administrative Penalty(ies)/Fine(s) Suspension
Sanction 1 of 1	
Sanction Type:	Suspension
Capacities Affected:	ANY CAPACITY
Duration:	TWO MONTHS
Start Date:	11/19/2012
End Date:	01/18/2013
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:	
Is Payment Plan Current:	No

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Date Paid by individual:	
Was any portion of penalty waived?	No
Amount Waived:	
Broker Statement	WITHOUT ADMITTING OR DENYING THE FINDINGS, KING CONSENTED TO THE DESCRIBED SANCTIONS AND TO THE ENTRY OF FINDINGS; THEREFORE, HE IS FINED $5,000 AND SUSPENDED FROM ASSOCIATION WITH ANY FINRA MEMBER IN ANY CAPACITY FOR TWO MONTHS. THE SUSPENSION IS IN EFFECT FROM NOVEMBER 19, 2012, THROUGH JANUARY 18, 2013. RESPONDENT UNDERSTANDS THAT THIS SETTLEMENT INCLUDES A FINDING THAT RESPONDENT WILLFULLY OMITTED TO STATE A MATERIAL FACT ON A FORM U4, AND THAT UNDER SECTION 3(A)(39)(F) OF THE SECURITIES EXCHANGE ACT OF 1934 AND ARTICLE III, SECTION 4 OF FINRA'S BY-LAWS, THIS OMISSION MAKES RESPONDENT SUBJECT TO A STATUTORY DISQUALIFICATION WITH RESPECT TO ASSOCIATION WITH A MEMBER.

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Judgment/Lien

This disclosure event involves an unsatisfied and outstanding judgment or lien against the Investment Adviser Representative.

Disclosure 1 of 5

Reporting Source:	Individual
Judgment/Lien Holder:	IRS
Judgment/Lien Amount:	$21,365.00
Judgment/Lien Type:	Tax
Date Filed:	03/29/2012
Type of Court:	Federal Court
Name of Court:	FEDERAL
Location of Court:	SAN DIEGO COUNTY, CA
Docket/Case #:	SQ20120184813
Judgment/Lien Outstanding?	Yes
Broker Statement	REGISTERED REPRESENTATIVE RECEIVED NOTICE OF LIEN IN MAIL ON 07/17/2012

Disclosure 2 of 5

Reporting Source:	Individual
Judgment/Lien Holder:	STATE OF CALIFORNIA FRANCHISE TAX BOARD
Judgment/Lien Amount:	$57,591.15
Judgment/Lien Type:	Tax
Date Filed:	04/22/2011
Type of Court:	State Court
Name of Court:	STATE COURT
Location of Court:	SAN DIEGO
Docket/Case #:	1208289491
Judgment/Lien Outstanding?	Yes

Disclosure 3 of 5

Reporting Source:	Individual
Judgment/Lien Holder:	IRS DEPARTMENT OF TREASURY
Judgment/Lien Amount:	$55,183.00
Judgment/Lien Type:	Tax
Date Filed:	09/08/2009
Type of Court:	Federal Court
Name of Court:	FEDERAL COURT
Location of Court:	SAN DIEGO, CA

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Judgment/Lien Outstanding?	Yes

Disclosure 4 of 5

Reporting Source:	Individual
Judgment/Lien Holder:	STATE OF CALIFORNIA
Judgment/Lien Amount:	$34,780.62
Judgment/Lien Type:	Tax
Date Filed:	04/07/2009
Type of Court:	Federal Court
Name of Court:	SAN DIEGO COUNTY COURT
Location of Court:	SAN DIEGO, CA
Judgment/Lien Outstanding?	Yes
Broker Statement	THIS IS A STATE OF CA TAX LIEN, NOT A FEDERAL LIEN. FILING WAS INCORRECT WHEN FILED IN 2009

Disclosure 5 of 5

Reporting Source:	Individual
Judgment/Lien Holder:	INTERNAL REVENUE SERVICE
Judgment/Lien Amount:	$25,312.24
Judgment/Lien Type:	Tax
Date Filed:	07/07/2008
Court Details:	DEPT. OF THE TREASURY - INTERNAL REVENUE SERVICE. CINCINNATI, OH
Judgment/Lien Outstanding?	Yes

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End of Report

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