



IAPD Report

VICTOR JAMES MCCLURE

CRD# 1882939

<u>Section Title</u>	<u>Page(s)</u>
Report Summary	1
Qualifications	2 - 3
Registration and Employment History	4
Disclosure Information	5



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

VICTOR JAMES MCCLURE (CRD# 1882939)

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 **04/22/2025**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
IA	MCCLURE CAPITAL ADVISORS, INC.	CRD# 159981	04/24/2012

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
B	DILLON - GAGE SECURITIES, INC.	10821	ADDISON, TX	12/15/1994 - 01/27/2016
IA	DILLON - GAGE SECURITIES	10821	ADDISON, TX	03/12/2007 - 05/04/2015

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

Employment 1 of 1

Firm Name: **MCCLURE CAPITAL ADVISORS, INC.**
Main Address: ONE COWBOYS WAY
SUITE 570
FRISCO, TX 75034
Firm ID#: 159981

Regulator	Registration	Status	Date
IA Texas	Investment Adviser Representative	Approved	04/24/2012

Branch Office Locations

MCCLURE CAPITAL ADVISORS, INC.
ONE COWBOYS WAY
SUITE 570
FRISCO, TX 75034





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



Principal/Supervisory Exams

Exam	Category	Date
 General Securities Principal Examination (S24)	Series 24	04/21/1998
 Municipal Securities Principal Examination (S53)	Series 53	01/14/1998

General Industry/Product Exams

Exam	Category	Date
 Securities Industry Essentials Examination (SIE)	SIE	01/27/2016
 National Commodity Futures Examination (S3)	Series 3	05/30/1995
 General Securities Representative Examination (S7)	Series 7	12/13/1994

State Securities Law Exams

Exam	Category	Date
 Uniform Investment Adviser Law Examination (S65)	Series 65	12/29/2006
 Uniform Securities Agent State Law Examination (S63)	Series 63	12/19/1994

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	12/15/1994 - 01/27/2016	DILLON - GAGE SECURITIES, INC.	CRD# 10821	ADDISON, TX
IA	03/12/2007 - 05/04/2015	DILLON - GAGE SECURITIES	CRD# 10821	ADDISON, 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
11/1994 - Present	MCCLURE CAPITAL ADVISORS, INC.	PRESIDENT	Y	FRISCO, TX, United States
11/1994 - Present	MCCLURE CAPITAL, INC.	PRESIDENT	Y	FRISCO, 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.

Licensed insurance agent with McClure Capital, Inc.



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	2

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 2

Reporting Source: Regulator

Regulatory Action Initiated By: TEXAS

Sanction(s) Sought: Censure

Other Sanction(s) Sought: ADMINISTRATIVE FINE

Date Initiated: 03/08/2007

Docket/Case Number: IC07-CAF-06

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

Product Type: Other

Other Product Type(s):

Allegations: DILLON-GAGE SECURITIES, INC. ENGAGED IN THE SOLICITATION OF CLIENT ACCOUNTS BY AND THROUGH VICTOR JAMES MCCLURE WHEN VICTOR JAMES MCCLURE WAS NOT REGISTERED WITH THE SECURITIES COMMISSIONER AS AN INVESTMENT ADVISOR REPRESENTATIVE.

DILLON-GAGE SECURITIES, INC. IS REPRIMANDED AND ORDERED TO COMPLY WITH TERMS OF AN UNDERTAKING.

VICTOR JAMES MCCLURE WAS NOT REGISTERED WITH THE SECURITIES COMMISSIONER WHILE ENGAGED IN THE SOLICITATION OF CLIENT ACCOUNTS FOR DILLON-GAGE SECURITIES, INC.

VICTOR JAMES MCCLURE IS REPRIMANDED, ASSESSED AN ADMINISTRATIVE FINE IN THE AMOUNT OF \$2,500.00, AND ORDERED TO



CEASE AND DESIST FORM UNREGISTERED ACTIVITY.

Current Status: Final
Resolution: Order
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: 03/08/2007
Sanctions Ordered: Censure
Monetary/Fine \$2,500.00
Other Sanctions Ordered: NOR OTHER SANCTIONS
Sanction Details: .

Reporting Source: Individual
Regulatory Action Initiated By: TEXAS STATE SECURITIES BOARD
Sanction(s) Sought: Reprimand
Other Sanction(s) Sought: ADMINISTRATIVE FINE; CEASE & DESIST
Date Initiated: 02/07/2007
Docket/Case Number: IC07-CAF-06

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

Product Type: Other
Other Product Type(s): INVESTMENT ADVISORY SERVICES

Allegations: IN LETTER DATED 2/7/2007, TEXAS STATE SECURITIES BOARD ALLEGED THAT DILLON-GAGE SECURITIES, INC. ENGAGED IN THE SOLICITATION OF CLIENT ACCOUNTS BY AND THROUGH VICTOR JAMES MCCLURE AT TIMES WHEN WHEN VICTOR JAMES MCCLURE WAS NOT REGISTERED WITH THE SECURITIES COMMISSIONER AS AN INVESTMENT ADVISOR REPRESENTATIVE.

Current Status: Final
Resolution: Order
Resolution Date: 03/08/2007
Sanctions Ordered: Cease and Desist/Injunction
Monetary/Fine \$2,500.00
Other Sanctions Ordered: REPRIMAND
Sanction Details: AS OF ORDER DATED 3/8/2007, DILLON-GAGE SECURITIES, INC. WAS REPRIMANDED AND ORDERED TO COMPLY WITH TERMS OF UNDERTAKING TO NOT ALLOW ANY PERSON TO RENDER SERVICES AS INVESTMENT ADVISOR REPRESENTATIVE UNTIL SUCH PERSON IS



PROPERLY REGISTERED AS SAME. VICTOR JAMES MCCLURE WAS REPRIMANDED, ASSESSED AN ADMINISTRATIVE FINE IN THE AMOUNT OF \$2,500.00 AND ORDERED TO CEASE AND DESIST FROM UNREGISTERED ACTIVITY AS INVESTMENT ADVISOR REPRESENTATIVE. FINE PAID 3/5/2007 WITH CASHIER'S CHECK #2535498. MCCLURE'S STATUS AS INVESTMENT ADVISOR REPRESENTATIVE WAS APPROVED BY TEXAS STATE SECURITIES BOARD ON 3/12/2007.

Broker Statement

I WAS ORIGINALLY ACTING CORRECTLY AS AN AGENT FOR THE BROKER-DEALER, DILLON-GAGE SECURITIES, INC., AND HAD NOT OPENED AN INVESTMENT ADVISORY ACCOUNT SINCE THE 1990'S. THE COMPLIANCE DEPARTMENT DID NOT NOTIFY ME OF THE 2001 RULE CHANGE REQUIRING AGENTS OF BROKER-DEALERS TO BECOME REGISTERED AS INVESTMENT ADVISOR REPRESENTATIVES. ONCE THE TEXAS STATE SECURITIES BOARD MADE ME AWARE OF THE RULE DURING THE FIRM'S 2006 EXAMINATION, I TOOK THE NEXT AVAILABLE CLASS FOR THE S-65 EXAM AND PASSED THE EXAM IMMEDIATELY THEREAFTER. MY REGISTRATION AS INVESTMENT ADVISOR REPRESENTATIVE WAS APPROVED BY THE STATE SECURITIES BOARD EFFECTIVE 3/12/2007.

Disclosure 2 of 2

Reporting Source:	Regulator
Regulatory Action Initiated By:	TEXAS STATE SECURITIES BOARD
Sanction(s) Sought:	
Other Sanction(s) Sought:	
Date Initiated:	01/24/1995
Docket/Case Number:	CDO/CEN-1036
Employing firm when activity occurred which led to the regulatory action:	EQUITY ASSURANCE CORP.
Product Type:	
Other Product Type(s):	
Allegations:	Not Provided
Current Status:	Final
Resolution:	Consent
Resolution Date:	01/24/1995
Sanctions Ordered:	Cease and Desist/Injunction Suspension
Other Sanctions Ordered:	
Sanction Details:	VICTOR JAMES MCCLURE WAS GRANTED REGISTRATION AS AN AGENT OF DILLON-GAGE SECURITIES, INC. ON 1-24-95; HOWEVER, HE AGREED TO A CEASE & DESIST ORDER AND WAS SUSPENDED FROM SOLICITING NEW ACCOUNTS FOR 30 DAYS AND PLACED ON PROBATION FOR 90 DAYS. THE TERMS OF PROBATION INCLUDED THE CONDITION THAT HE NOT SERVE IN A SUPERVISORY POSITION DURING THE PENDENCY OF THE PROBATION. THE SUSPENSION AND PROBATION WAS A RESULT OF



MCCLURE'S PRIOR AFFILIATION WITH EQUITY ASSURANCE CORP.
CONTACT: JOYCE MILLER (512) 305-8390

Regulator Statement

Reporting Source: Individual
Regulatory Action Initiated By: TEXAS STATE SECURITIES BOARD

Sanction(s) Sought:
Other Sanction(s) Sought:

Date Initiated: 01/24/1995
Docket/Case Number: CDO/CEN-1036

Employing firm when activity occurred which led to the regulatory action: EQUITY ASSURANCE CORP.

Product Type:
Other Product Type(s):

Allegations: THAT I SOLD AND OFFERED AND SUPERVISED OTHERS IN THE SALE OF LIMITED PARTNERSHIP INTERESTS WHILE AN EMPLOYEE OF EQUITY ASSURANCE CORP. THEIR STATE SECURITIES BOARD FOUND THAT THE LIMITED PARTNERSHIP INTERESTS WERE NOT PROPERLY REGISTERED OR EXEMPT FROM REGISTRATION.

Current Status: Final
Resolution: Consent
Resolution Date: 01/24/1995
Sanctions Ordered: Cease and Desist/Injunction
Suspension

Other Sanctions Ordered:

Sanction Details: THE TEXAS STATE SECURITIES BOARD GRANTED MY REGISTRATION BUT SUSPENDED FOR 30 DAYS SOLICITATION OF ANY NEW CUSTOMER ACCOUNTS. PLACED ON PROBATION FOR A PERIOD OF 90 DAYS FROM 1/24/95.

Broker Statement WHEN I STARTED WORKING FOR EQUITY ASSURANCE CORP. AROUND APRIL OR MAY OF 1992, I WAS ASSURED BY DOUGLAS KENNETT, THE PRESIDENT AND SOLE STOCKHOLDER OF EQUITY ASSURANCE CORP THAT HIS ATTORNEY HAD PROPERLY SET UP THE PARTNER- SHIP. I HAD NO KNOWLEDGE TO THE CONTRARY. WHILE EMPLOYED I WAS NOT AWARE OF ANY VIOLATIONS OF SECURITIES LAWS. NOT UNTIL THE STATE SECURITIES BOARD STARTED THEIR INVESTIGATION, WAS I EVEN AWARE OF ANY POTENTIAL VIOLATIONS. AS SOON AS I BECAME AWARE OF POTENTIAL VIOLATIONS OF SECURITIES LAWS, I TERMINATED MY RELATIONSHIP WITH EQUITY ASSURANCE CORP.



End of Report

This page is intentionally left blank.