



## IAPD Report

# JAMES ARNOLD HINTZ

CRD# 1916767

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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 ARNOLD HINTZ (CRD# 1916767)

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 **12/26/2024**.

### CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
IA	PHYSICIANS INVESTMENT ADVISORY SERVICES OF TEXAS, LLC	CRD# 226736	10/02/2015
IA	MHA FINANCIAL CORP	CRD# 7462	01/08/2019
B	FOUR POINTS CAPITAL PARTNERS LLC	CRD# 43149	01/08/2019

### QUALIFICATIONS

This representative is currently registered in **1** 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	MHA FINANCIAL CORP	7462	RIDGEWOOD, NJ	01/02/2019 - 01/02/2019
IA	MHA FINANCIAL CORP	7462	Houston, TX	01/13/2014 - 12/31/2018
B	MHA FINANCIAL CORP	7462	HOUSTON, TX	10/25/2013 - 12/31/2018

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	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 1 SRO(s) through his or her employer(s).

### Employment 1 of 3

Firm Name: **FOUR POINTS CAPITAL PARTNERS LLC**  
Main Address: 55A E. RIDGEWOOD AVENUE  
SUITE 12  
RIDGEWOOD, NJ 07450  
Firm ID#: 43149

	Regulator	Registration	Status	Date
	FINRA	General Securities Principal	Approved	01/08/2019
	FINRA	General Securities Representative	Approved	01/08/2019
	FINRA	Introducing BD/Finan Operation Principal	Approved	01/08/2019
	FINRA	Investment Banking Principal	Approved	01/08/2019
	FINRA	Investment Banking Representative	Approved	01/08/2019
	FINRA	Operations Professional	Approved	01/08/2019
	Texas	Agent	Approved	02/20/2019

### Branch Office Locations

Houston, TX

### Employment 2 of 3

Firm Name: **MHA FINANCIAL CORP**  
Main Address: 55A E. RIDGEWOOD AVENUE  
SUITE 12  
RIDGEWOOD, NJ 07450  
Firm ID#: 7462



## Qualifications

Regulator	Registration	Status	Date
IA Texas	Investment Adviser Representative	Approved	01/08/2019

### Branch Office Locations

#### MHA FINANCIAL CORP

Houston, TX

### Employment 3 of 3

Firm Name: **PHYSICIANS INVESTMENT ADVISORY SERVICES OF TEXAS, LLC**  
Main Address: 1518 ANTOINE DR  
HOUSTON, TX 77055  
Firm ID#: 226736

Regulator	Registration	Status	Date
IA Texas	Investment Adviser Representative	Approved	10/02/2015

### Branch Office Locations

#### PHYSICIANS INVESTMENT ADVISORY SERVICES OF TEXAS, LLC

1518 ANTOINE DR  
HOUSTON, TX 77055





## 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, 4 general industry/product exams, and 2 state securities law exams.**



#### Principal/Supervisory Exams

	Exam	Category	Date
	Introducing Broker/Dealer Financial Operations Principal Examination (S28)	Series 28	01/03/2008
	General Securities Principal Examination (S24)	Series 24	12/11/2003

#### General Industry/Product Exams

	Exam	Category	Date
	Investment Banking Registered Representative Examination (S79TO)	Series 79TO	01/02/2023
	Operations Professional Examination (S99TO)	Series 99TO	01/02/2023
	Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
	General Securities Representative Examination (S7)	Series 7	01/21/1989

#### State Securities Law Exams

	Exam	Category	Date
	Uniform Investment Adviser Law Examination (S65)	Series 65	07/17/2006
	Uniform Securities Agent State Law Examination (S63)	Series 63	02/09/1989

### PROFESSIONAL DESIGNATIONS

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

Chartered Financial Consultant

This representative holds or did hold **1** professional designation(s) that may have been used to qualify as an Investment Advisor



representative. Please check with the appropriate designation authority for verification that the designation is still in effect. The contact information for these professional designation authorities can be found on the website for the North American Securities Administrators Association at <http://www.nasaa.org>



## 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	01/02/2019 - 01/02/2019	MHA FINANCIAL CORP	CRD# 7462	RIDGEWOOD, NJ
IA	01/13/2014 - 12/31/2018	MHA FINANCIAL CORP	CRD# 7462	Houston, TX
B	10/25/2013 - 12/31/2018	MHA FINANCIAL CORP	CRD# 7462	HOUSTON, TX
IA	06/20/2013 - 11/11/2013	EDI INVESTMENT ADVISOR CORPORATION	CRD# 124129	DALLAS, TX
B	04/02/2013 - 11/11/2013	EDI FINANCIAL, INC.	CRD# 15699	NEW YORK, NY
IA	03/29/2011 - 03/22/2013	ALLIED BEACON WEALTH MANAGEMENT, LLC	CRD# 134922	RICHMOND, VA
B	01/06/2011 - 03/22/2013	ALLIED BEACON PARTNERS, INC.	CRD# 46227	RICHMOND, VA
IA	07/15/2010 - 06/08/2011	AMERICAN BEACON WEALTH MANAGEMENT, INC.	CRD# 152752	EAU CLAIRE, WI
B	02/06/2007 - 02/22/2011	AMERICAN BEACON PARTNERS, INC.	CRD# 15791	EAU CLAIRE, WI
B	10/03/2008 - 03/03/2009	KCD FINANCIAL, INC.	CRD# 127473	DEPERE, WI
IA	10/12/2007 - 12/31/2007	PRECISION RETIREMENT GROUP, INC	CRD# 144676	EAU CLAIRE, WI
IA	07/18/2006 - 02/06/2007	ONEAMERICA SECURITIES, INC.	CRD# 4173	CHIPPEWA FALLS, WI
B	07/01/2003 - 02/06/2007	ONEAMERICA SECURITIES, INC.	CRD# 4173	CHIPPEWA FALLS, WI
B	01/24/1989 - 06/18/2003	WASHINGTON SQUARE SECURITIES, INC.	CRD# 2882	WINDSOR, CT





## Registration & Employment History

### 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
01/2019 - Present	FOUR POINTS CAPITAL PARTNERS LLC	REGISTERED REPRESENTATIVE	Y	NEW YORK, NY, United States
09/2015 - Present	Physicians Investment Advisory Services of Texas	CEO & CCO	Y	Houston, TX, United States
07/2014 - Present	DOCTORS FINANCIAL SERVICES LLC	OWNER	N	HOUSTON, TX, United States
10/2013 - Present	MHA FINANCIAL CORP	Investment Adviser Representative	Y	WESTWOOD, MA, United States
04/2005 - Present	YMCA	Group Fitness Instructor	N	Houston, TX, United States
10/2013 - 12/2018	MHA FINANCIAL CORP	REGISTERED REPRESENTATIVE	Y	WESTWOOD, MA, 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) PHYSICIANS INVESTMENT ADVISORY SERVICES OF TEXAS, HOUSTON, TX; INVESTMENT RELATED; STARTED 10/2015; OWNER; RIA, 401K PLAN SOLICITING FOR BLINKER CAPITAL; 5 HRS PER MONTH. (2) DOCTORS FINANCIAL SERVICES, HOUSTON, TX; INVESTMENT RELATED; STARTED 10/2015; OWNER; INSURANCE AGENCY, SALES OF LIFE, DISABILITY & HEALTH INSURANCE; 25 HOURS/WEEK DURING TRADING. (3) MHA FINANCIAL CORP., WESTWOOD, MA; INVESTMENT RELATED; STARTED 10/2013; RIA, INVESTMENT ADVISORY REP; 20 HOURS/WEEK DURING TRADING. (4) TROTTER YMCA, HOUSTON, TX; NOT INVESTMENT RELATED; STARTED 4/2014; SPIN INSTRUCTOR; 2 HOURS/WEEK. (5) FOUR POINTS INSURANCE AGENCY LLC, NEW YORK, NY; STARTED 1/2019; VARIABLE INSURANCE AND ANNUITY SALES; 1 HOUR/WEEK DURING TRADING (6) HST TAX ADVISORY GROUP LLC, HOUSTON, TX; STARTED 08/2021; OWNER; TAX PLANNING; 5 HOURS/WEEK. (7) R SQUARED RETIREMENT LLLP, HOUSTON, TX; STARTED 10/2021; MANAGING PARTNER; TURNKEY INSURANCE PREMIUM FINANCE TRUST STRUCTURE; 2 HOURS/WEEK 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	1

### 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 1

<b>Reporting Source:</b>	Regulator
<b>Employing firm when activities occurred which led to the complaint:</b>	PAVEK INVESTMENTS INC. (N/K/A AMERICAN BEACON PARTNERS, INC.)
<b>Allegations:</b>	COMMON LAW FRAUD, VIOLATION OF ILLINOIS SECURITIES LAW OF 1953, AND BREACH OF THE ILLINOIS CONSUMER FRAUD AND DECEPTIVE BUSINESS PRACTICES ACT
<b>Product Type:</b>	Other: BONDED LIFE SETTLEMENTS
<b>Alleged Damages:</b>	\$1,100,000.00

### Arbitration Information

**Arbitration/Reparation Claim filed with and Docket/Case No.:** [FINRA - CASE #08-04952](#)

**Date Notice/Process Served:** 12/23/2008

**Arbitration Pending?** No

**Disposition:** Award

**Disposition Date:** 10/01/2012

**Disposition Detail:** RESPONDENT JAMES ARNOLD HINTZ IS LIABLE FOR AND SHALL PAY TO CLAIMANT THE SUM OF \$80,000 IN COMPENSATORY DAMAGES.

**Reporting Source:** Individual



**Employing firm when activities occurred which led to the complaint:**

PAVEK INVESTMENTS, INC.

**Allegations:**

COMMON LAW FRAUD, VIOLATION OF ILLINOIS SECURITIES LAW OF 1953, AND BREACH OF THE ILLINOIS CONSUMER FRAUD AND DECEPTIVE BUSINESS PRACTICES ACT.

**Product Type:**

Other: BONDED LIFE SETTLEMENTS

**Alleged Damages:**

\$1,100,000.00

### **Arbitration Information**

**Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.):**

FINRA

**Docket/Case #:**

[08-04952](#)

**Date Notice/Process Served:**

10/04/2012

**Arbitration Pending?**

No

**Disposition:**

Award to Customer

**Disposition Date:**

10/01/2012

**Monetary Compensation Amount:**

\$80,000.00

**Individual Contribution Amount:**

\$80,000.00

**Broker Statement**

MR. HINTZ DENIES ALL ALLEGATIONS AND WAS NAMED SOLEY AS AN "ALLEGED" CONTROL PERSON OF THE FIRM. MR. HINTZ WAS NOT AN OWNER, SUPERVISING PRINCIPAL NOR SUPERVISED ANY OF THE FIRM'S REPRESENTATIVES OR TRANSACTIONS.



## End of Report

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