



IAPD Report

WILLIAM NOBLE JENKINS

CRD# 1949918

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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

WILLIAM NOBLE JENKINS (CRD# 1949918)

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	TCFG INVESTMENT ADVISORS, LLC	CRD# 166606	01/03/2017
B	TCFG WEALTH MANAGEMENT, LLC	CRD# 164153	01/06/2017

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **11** 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	SECURITIES AMERICA ADVISORS, INC.	110518	LA VISTA, NE	12/08/2016 - 12/19/2016
B	SECURITIES AMERICA, INC.	10205	LAVISTA, NE	12/08/2016 - 12/19/2016
B	FOOTHILL SECURITIES, INC.	1027	CHICO, CA	07/07/2008 - 12/08/2016

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	2
Termination	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 **11** jurisdiction(s) and 1 SRO(s) through his or her employer(s).

Employment 1 of 2

Firm Name: **TCFG WEALTH MANAGEMENT, LLC**
Main Address: 28202 CABOT ROAD, SUITE 305
LAGUNA NIGUEL, CA 92677
Firm ID#: 164153

	Regulator	Registration	Status	Date
	FINRA	General Securities Representative	Approved	01/06/2017
	California	Agent	Approved	01/06/2017
	Montana	Agent	Approved	03/24/2026
	New York	Agent	Approved	05/17/2025
	North Carolina	Agent	Approved	10/28/2022
	Oregon	Agent	Approved	06/22/2022
	Tennessee	Agent	Approved	05/14/2019
	Texas	Agent	Approved	04/10/2017
	Utah	Agent	Approved	11/02/2023

Branch Office Locations

Smoky Lake, Alberta, Canada

Employment 2 of 2

Firm Name: **TCFG INVESTMENT ADVISORS, LLC**
Main Address: 28202 CABOT RD
SUITE 300
LAGUNA NIGUEL, CA 92677



Qualifications

Firm ID#: 166606

	Regulator	Registration	Status	Date
IA	California	Investment Adviser Representative	Approved	01/03/2017
IA	Colorado	Investment Adviser Representative	Approved	02/07/2019
IA	Montana	Investment Adviser Representative	Approved	03/24/2026
IA	North Carolina	Investment Adviser Representative	Approved	02/17/2022
IA	Oklahoma	Investment Adviser Representative	Approved	03/26/2020
IA	Oregon	Investment Adviser Representative	Approved	06/22/2021
IA	Pennsylvania	Investment Adviser Representative	Approved	01/14/2022
IA	Texas	Investment Adviser Representative	Restricted Approval	02/06/2019

Branch Office Locations

TCFG INVESTMENT ADVISORS, LLC
Smoky Lake, Alberta, Canada



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

Principal/Supervisory Exams

	Exam	Category	Date
B	General Securities Principal Examination (S24)	Series 24	10/02/1992

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	07/15/1989

State Securities Law Exams

	Exam	Category	Date
IA B	Uniform Combined State Law Examination (S66)	Series 66	06/29/2007
B	Uniform Securities Agent State Law Examination (S63)	Series 63	03/07/1991



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](#).



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	12/08/2016 - 12/19/2016	SECURITIES AMERICA ADVISORS, INC.	CRD# 110518	LA VISTA, NE
B	12/08/2016 - 12/19/2016	SECURITIES AMERICA, INC.	CRD# 10205	LAVISTA, NE
B	07/07/2008 - 12/08/2016	FOOTHILL SECURITIES, INC.	CRD# 1027	CHICO, CA
IA	07/07/2008 - 12/08/2016	FOOTHILL SECURITIES, INC.	CRD# 1027	RENO, NV
IA	09/27/2007 - 07/07/2008	CROCKER SECURITIES LLC	CRD# 119523	CHICO, CA
B	01/21/2003 - 07/07/2008	CROCKER SECURITIES LLC	CRD# 119523	CHICO, CA
IA	11/15/2001 - 01/23/2003	MORGAN STANLEY	CRD# 7556	CITRUS HEIGHTS, CA
B	07/01/1998 - 01/23/2003	MORGAN STANLEY DW INC.	CRD# 7556	PURCHASE, NY
B	06/08/1995 - 07/01/1998	CANTELLA & CO., INC.	CRD# 13905	MALDEN, MA
B	05/22/1991 - 06/27/1995	C. R. BOGGS FINANCIAL SERVICES, INC.	CRD# 16974	FAIR OAKS, CA
B	07/18/1989 - 05/16/1991	FINANCIAL NETWORK INVESTMENT CORPORATION	CRD# 13572	EL SEGUNDO, CA

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
01/2017 - Present	TCFG Investment Advisors, LLC	Investment Advisory Representative	Y	Laguna Niguel, CA, United States
01/2017 - Present	TCFG Wealth Management, LLC	Registered Representative	Y	Laguna Niguel, CA, United States
12/2016 - 12/2016	SECURITIES AMERICA ADVISORS, INC.	Mass Transfer	Y	LA VISTA, NE, United States
12/2016 - 12/2016	SECURITIES AMERICA, INC.	Mass Transfer	Y	Santa Clara, CA, United States



Registration & Employment History



EMPLOYMENT HISTORY

Employment Dates	Employer Name	Position	Investment Related	Employer Location
07/2008 - 12/2016	FOOTHILL SECURITIES, INC.	REGISTERED PRINCIPAL	Y	CHICO, 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.

Alberta ltd 1913693 | Not investment related | PO Box 760 Smoky Lake Alberta, Canada | Owner/Operator | farming grain, canola, cattle |

TCFG Investment Advisors, LLC | Investment related | Laguna Niguel, CA | Investment Advisor | 50 hours/month |



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	2
Termination	2

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 2

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	CROCKER SECURITIES AND FOOTHILL SECURITIES, INC.
Allegations:	UNSUITABLE INVESTMENT STRATEGIES, BREACHED FIDUCIARY DUTIES, LACK OF SUPERVISION OF ADVISOR JENKINS
Product Type:	Equity-OTC
Alleged Damages:	\$350,000.00
Alleged Damages Amount Explanation (if amount not exact):	\$350,000.00 PLUS DAMAGES AND DISGORGING RESPONDENT'S REVENUE
Is this an oral complaint?	No
Is this a written complaint?	Yes
Is this an arbitration/CFTC reparation or civil litigation?	Yes
Arbitration/Reparation forum or court name and location:	FINRA
Docket/Case #:	10-03309
Filing date of arbitration/CFTC reparation or civil litigation:	07/29/2010



Customer Complaint Information

Date Complaint Received: 07/29/2010
Complaint Pending? No
Status: Settled
Status Date: 07/22/2011
Settlement Amount: \$90,000.00
Individual Contribution Amount: \$0.00

Arbitration Information

Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.): FINRA
Docket/Case #: 10-03309
Date Notice/Process Served: 07/29/2010
Arbitration Pending? No
Disposition: Settled
Disposition Date: 07/22/2011
Monetary Compensation Amount: \$90,000.00
Individual Contribution Amount: \$0.00

Disclosure 2 of 2

Reporting Source: Individual
Employing firm when activities occurred which led to the complaint: DEAN WITTER REYNOLDS INC.
Allegations: CUSTOMER ALELGES UNSUITABLE RECOMMENDATION OF ONE BOND FOR 50% OF PROTFOLIO IN 1998.
Product Type: Other
Other Product Type(s): CORPORATE BOND
Alleged Damages: \$315,000.00

Customer Complaint Information

Date Complaint Received: 03/20/2001
Complaint Pending? No
Status: Denied
Status Date: 05/09/2001
Settlement Amount:
Individual Contribution Amount:

Broker Statement THIS CLAIM WAS DENIED AS WITHOUT MERIT.





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 2

Reporting Source: Firm
Firm Name: SECURITIES AMERICA, INC.
Termination Type: Discharged
Termination Date: 12/16/2016
Allegations: Termed for cause due to failure to disclose being a resident of Canada and failure to register a branch office.
Product Type: No Product

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Reporting Source: Individual
Firm Name: Securities America Advisors, Inc.
Termination Type: Discharged
Termination Date: 12/16/2016
Allegations: Termed for cause due to failure to disclose being a resident of Canada and failure to register a branch office.
Product Type: No Product

Broker Statement Based upon guidance from the compliance department at Foothills, I listed my address as California instead of Canada for 3 years. Upon acquisition by Securities America Advisors, Inc, I informed them of this and they terminated me.

Disclosure 2 of 2

Reporting Source: Firm
Firm Name: SECURITIES AMERICA, INC.
Termination Type: Discharged
Termination Date: 12/16/2016
Allegations: Termed for cause due to failure to disclose being a resident of Canada and failure to register a branch office.
Product Type: No Product

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Reporting Source: Individual
Firm Name: Securities America, Inc.
Termination Type: Discharged
Termination Date: 12/16/2016
Allegations: Termed for cause due to failure to disclose being a resident of Canada and failure to register a branch office.



Product Type:

No Product

Broker Statement

Based upon guidance from the compliance department at Foothills, I listed my address as California instead of Canada for 3 years. Upon acquisition by Securities America, I informed them of this and they terminated me.



End of Report

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