



IAPD Report

JAMES NEAL TURNER

CRD# 2068968

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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

JAMES NEAL TURNER (CRD# 2068968)

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 **10/07/2025**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	LPL ENTERPRISE, LLC	CRD# 8733	11/14/2024
IA	LPL ENTERPRISE, LLC	CRD# 8733	11/14/2024

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **3** 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	PRUCO SECURITIES, LLC.	5685	Plano, TX	06/26/2020 - 11/14/2024
IA	PRUDENTIAL FINANCIAL PLANNING SERVICES	5685	Plano, TX	06/26/2020 - 11/14/2024
IA	FIRST COMMAND ADVISORY SERVICES	281958	Plano, TX	11/29/2016 - 06/25/2020

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

Employment 1 of 1

Firm Name: **LPL ENTERPRISE, LLC**

Main Address: 1055 LPL WAY
FORT MILL, SC 29715

Firm ID#: 8733

	Regulator	Registration	Status	Date
B	FINRA	General Securities Representative	Approved	11/14/2024
B	FINRA	General Securities Sales Supervisor	Approved	11/14/2024
B	Ohio	Agent	Approved	11/14/2024
B	Oklahoma	Agent	Approved	11/14/2024
B	Texas	Agent	Approved	11/14/2024
IA	Texas	Investment Adviser Representative	Approved	11/14/2024

Branch Office Locations

LPL ENTERPRISE, LLC
5700 GRANITE PKWY
SUITE 360
PLANO, TX 75024



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

Principal/Supervisory Exams

	Exam	Category	Date
	General Securities Sales Supervisor - Options Module Examination (S9)	Series 9	01/02/2023
	General Securities Sales Supervisor - General Module Examination (S10)	Series 10	01/02/2023
	General Securities Sales Supervisor Examination (Options Module & General Module) (S8)	Series 8	08/16/1993

General Industry/Product Exams

	Exam	Category	Date
	Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
	National Commodity Futures Examination (S3)	Series 3	09/16/1993
	General Securities Representative Examination (S7)	Series 7	07/23/1990

State Securities Law Exams

	Exam	Category	Date
	Uniform Investment Adviser Law Examination (S65)	Series 65	09/14/1994
	Uniform Securities Agent State Law Examination (S63)	Series 63	07/30/1990

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
B	06/26/2020 - 11/14/2024	PRUCO SECURITIES, LLC.	CRD# 5685	Plano, TX
IA	06/26/2020 - 11/14/2024	PRUDENTIAL FINANCIAL PLANNING SERVICES	CRD# 5685	Plano, TX
IA	11/29/2016 - 06/25/2020	FIRST COMMAND ADVISORY SERVICES	CRD# 281958	Plano, TX
B	11/23/2016 - 06/25/2020	FIRST COMMAND BROKERAGE SERVICES, INC.	CRD# 3641	PLANO, TX
B	09/10/2015 - 05/10/2016	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	CRD# 7691	PLANO, TX
IA	09/10/2015 - 05/10/2016	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	CRD# 7691	PLANO, TX
IA	04/21/2014 - 08/10/2015	IMS FINANCIAL ADVISORS, INC.	CRD# 130914	PLANO, TX
B	04/21/2014 - 08/10/2015	IMS SECURITIES, INC.	CRD# 35567	DALLAS, TX
IA	04/29/2009 - 04/22/2014	WFG ADVISORS, LP	CRD# 125073	PLANO, TX
B	04/29/2009 - 04/22/2014	WFG INVESTMENTS, INC.	CRD# 22704	PLANO, TX
IA	11/09/2007 - 05/28/2009	SUMMITALLIANCE ADVISORS, L.L.C.	CRD# 116083	GIG HARBOR, WA
B	10/10/2007 - 05/28/2009	SUMMITALLIANCE SECURITIES, L.L.C.	CRD# 45915	DALLAS, TX
IA	10/09/2007 - 11/07/2007	SUMMITALLIANCE ADVISORS, L.L.C.	CRD# 116083	GIG HARBOR, WA
B	10/17/2005 - 11/05/2007	UBS FINANCIAL SERVICES INC.	CRD# 8174	DALLAS, TX
IA	10/17/2005 - 11/05/2007	UBS FINANCIAL SERVICES INC.	CRD# 8174	DALLAS, TX
B	06/24/2002 - 10/20/2005	CITIGROUP GLOBAL MARKETS INC.	CRD# 7059	NEW YORK, NY
IA	06/24/2002 - 10/20/2005	CITIGROUP GLOBAL MARKETS INC.	CRD# 7059	SAN ANTONIO, TX



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	03/02/1998 - 07/08/2002	RBC DAIN RAUSCHER INC.	CRD# 31194	NEW YORK, NY
B	01/02/1998 - 03/02/1998	DAIN RAUSCHER INCORPORATED	CRD# 7600	
B	09/27/1996 - 01/02/1998	RAUSCHER PIERCE REFSNES, INC.	CRD# 6663	DALLAS, TX
B	07/26/1990 - 10/22/1996	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	CRD# 7691	NEW YORK, NY

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
11/2024 - Present	LPL ENTERPRISE, LLC	Mass Transfer	Y	Plano, TX, United States
06/2020 - Present	Prudential Insurance Company of America	Financial Professional	Y	Irving, TX, United States
06/2020 - 11/2024	Pruco Securities, LLC.	Registered Representative	Y	Irving, TX, United States
12/2016 - 06/2020	FIRST COMMAND ADVISORY SERVICES	REGISTERED REP	Y	FORT WORTH, TX, United States
12/2016 - 06/2020	FIRST COMMAND FINANCIAL PLANNING , INC	Investment ADV Rep.	Y	FORT WORTH, TX, United States
12/2016 - 06/2020	FIRST COMMAND INSURANCE SERVICES INC.	Insurance Agent	Y	FORT WORTH, TX, United States
05/2016 - 12/2016	unemployed	unemployed	N	FORT WORTH, 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.

1) 08/28/2024- Dana Frazier Irrevocable Trust- Act in a Fiduciary Capacity- Not INV Related- At Plano, TX- Start date 12/29/2017- 1 HRS MTH- 0 HRS 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

Reporting Source:	Firm
Employing firm when activities occurred which led to the complaint:	WFG Investments, Inc.
Allegations:	Claimants allege the following allegations against WFG Investments, Inc. and Jefferies, LLC: misrepresentation contained within offering documents, failure to conduct reasonable due diligence and failure to execute due care in the sale of unsuitable investments. The Statement of Claim does not name any individual registered representatives, but Neal Turner was the Registered Representative who sold the investment at issue to the two referenced customers.
Product Type:	Other: Convertible Preferred Stock
Alleged Damages:	\$75,000.00
Alleged Damages Amount Explanation (if amount not exact):	This claimant is a number of claimants involved in this arbitration 16-03688.
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 #:	16-03688



Filing date of arbitration/CFTC reparation or civil litigation: 12/20/2016

Customer Complaint Information

Date Complaint Received: 01/03/2017

Complaint Pending? Yes

Settlement Amount:

Individual Contribution Amount:

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: WFG, Investments, Inc.

Allegations: Claimants allege the following allegations against respondents WFG Investments, Inc. and Jefferies, LLC: misrepresentation contained within offering documents, failure to conduct reasonable due diligence and failure to execute due care. I am a non party to this arbitration.

Product Type: Other: Convertable Preferred

Alleged Damages: \$75,000.00

Alleged Damages Amount Explanation (if amount not exact): This claimant is a number of claimants involved in this arbitration.

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 #: 16-03688

Filing date of arbitration/CFTC reparation or civil litigation: 12/20/2016

Customer Complaint Information

Date Complaint Received: 01/30/2017

Complaint Pending? No

Status: Withdrawn

Status Date: 11/30/2018

Settlement Amount: \$0.00

Individual Contribution Amount: \$0.00

Broker Statement I am a Non Party and specifically excluded from this arbitration. Claimants allege damages against WFG Investments, Inc. and Jefferies, LLC





End of Report

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