



IAPD Report

WILLIAM MARTIN PERRY

CRD# 2142599

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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 MARTIN PERRY (CRD# 2142599)

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 **04/10/2026**.

CURRENT EMPLOYERS

| | Firm | CRD# | Registered Since |
|-----------|-------------------|-----------|------------------|
| B | LPL FINANCIAL LLC | CRD# 6413 | 05/01/2025 |
| IA | LPL FINANCIAL LLC | CRD# 6413 | 05/01/2025 |

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **22** 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 | SCF INVESTMENT ADVISORS, INC. | 123608 | Longview, TX | 08/11/2017 - 05/01/2025 |
| B | SCF SECURITIES, INC. | 47275 | LONGVIEW, TX | 08/10/2017 - 05/01/2025 |
| IA | WFG ADVISORS, LP | 125073 | LONGVIEW, TX | 01/14/2005 - 08/11/2017 |

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 | 3 |



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

Employment 1 of 1

Firm Name: **LPL FINANCIAL LLC**
Main Address: 1055 LPL WAY
FORT MILL, SC 29715
Firm ID#: 6413

| | Regulator | Registration | Status | Date |
|----------|-------------|--|----------|------------|
| B | FINRA | General Securities Principal | Approved | 05/01/2025 |
| B | FINRA | General Securities Representative | Approved | 05/01/2025 |
| B | FINRA | Introducing BD/Finan Operation Principal | Approved | 05/01/2025 |
| B | FINRA | Municipal Securities Principal | Approved | 05/01/2025 |
| B | FINRA | Municipal Securities Representative | Approved | 05/01/2025 |
| B | FINRA | Operations Professional | Approved | 05/01/2025 |
| B | FINRA | Registered Options Principal | Approved | 05/01/2025 |
| B | Alabama | Agent | Approved | 05/01/2025 |
| B | Arizona | Agent | Approved | 05/01/2025 |
| B | Arkansas | Agent | Approved | 05/01/2025 |
| B | California | Agent | Approved | 05/01/2025 |
| B | Colorado | Agent | Approved | 05/01/2025 |
| B | Connecticut | Agent | Approved | 05/01/2025 |



Qualifications

| Regulator | Registration | Status | Date |
|-------------------------|-----------------------------------|----------|------------|
| B Florida | Agent | Approved | 05/06/2025 |
| B Idaho | Agent | Approved | 05/01/2025 |
| B Indiana | Agent | Approved | 05/01/2025 |
| B Kansas | Agent | Approved | 05/01/2025 |
| B Louisiana | Agent | Approved | 05/01/2025 |
| B Michigan | Agent | Approved | 09/05/2025 |
| B Missouri | Agent | Approved | 07/07/2025 |
| B Montana | Agent | Approved | 05/01/2025 |
| B Nevada | Agent | Approved | 05/01/2025 |
| B North Carolina | Agent | Approved | 06/24/2025 |
| B Oklahoma | Agent | Approved | 05/01/2025 |
| B Oregon | Agent | Approved | 05/01/2025 |
| B Pennsylvania | Agent | Approved | 05/01/2025 |
| B South Carolina | Agent | Approved | 05/01/2025 |
| B Texas | Agent | Approved | 05/01/2025 |
| IA Texas | Investment Adviser Representative | Approved | 05/01/2025 |
| B Utah | Agent | Approved | 05/01/2025 |

Branch Office Locations

LPL FINANCIAL LLC
434 E LOOP 281, STE. 101-1



Qualifications

LONGVIEW, TX 75604







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 4 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 | 04/28/1998 |
|  Municipal Securities Principal Examination (S53) | Series 53 | 06/15/1993 |
|  Registered Options Principal Examination (S4) | Series 4 | 08/25/1992 |
|  General Securities Principal Examination (S24) | Series 24 | 01/10/1992 |

General Industry/Product Exams

| Exam | Category | Date |
|---|-------------|------------|
|  Municipal Securities Representative Examination (S52TO) | Series 52TO | 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 | 07/16/1991 |

State Securities Law Exams

| Exam | Category | Date |
|--|-----------|------------|
|  Uniform Investment Adviser Law Examination (S65) | Series 65 | 06/19/1992 |
|  Uniform Securities Agent State Law Examination (S63) | Series 63 | 06/04/1991 |



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 |
|----|-------------------------|--------------------------------|----------------|-----------------|
| IA | 08/11/2017 - 05/01/2025 | SCF INVESTMENT ADVISORS, INC. | CRD# 123608 | Longview, TX |
| B | 08/10/2017 - 05/01/2025 | SCF SECURITIES, INC. | CRD# 47275 | LONGVIEW, TX |
| IA | 01/14/2005 - 08/11/2017 | WFG ADVISORS, LP | CRD# 125073 | LONGVIEW, TX |
| B | 01/03/2005 - 08/11/2017 | WFG INVESTMENTS, INC. | CRD# 22704 | LONGVIEW, TX |
| B | 04/30/1998 - 01/03/2005 | PRO-INTEGRITY SECURITIES, INC. | CRD# 44707 | LONGVIEW, TX |
| IA | 03/31/1998 - 12/31/2004 | PRO-INTEGRITY SECURITIES, INC. | CRD# 44707 | LONGVIEW, TX |
| B | 07/17/1991 - 03/26/1998 | SUNPOINT SECURITIES, INC. | CRD# 25442 | LONGVIEW, 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 |
|-------------------|-------------------------------|---------------------------|--------------------|-----------------------------|
| 05/2025 - Present | LPL FINANCIAL LLC | Registered Representative | Y | LONGVIEW, TX, United States |
| 08/2017 - 05/2025 | SCF INVESTMENT ADVISORS, INC. | INVESTMENT ADVISOR REP | Y | FRESNO, CA, United States |
| 08/2017 - 05/2025 | SCF SECURITIES, INC. | REGISTERED REP | Y | FRESNO, CA, United States |
| 01/2005 - 08/2017 | WILLIAMS FINANCIAL GROUP | REGISTERED REPRESENTATIVE | Y | LONGVIEW, 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.

- 5/2025 - Pro-Integrity Financial - Business Entity For Tax/Investment Purposes Only - NOT INV REL - Longview, TX - Start



Registration & Employment History



OTHER BUSINESS ACTIVITIES

Date 01/01/2005 - 1hr/MTH

2. 5/2025 - Perry-Hargett Properties - Real Estate Rental- INV REL - At Reported Business Location - Start Date 01/13/2005 - 10hrs/MTH

3. 5/2025 - Pro-Integrity Financial - Non-Variable Insurance Commission Trails - INV REL - At Reported Business Location - Start Date 06/14/1995 - 0hrs/MTH

4. 03/19/2026-Pro-Integrity Financial Company-President-DBA for LPL Business (entity for LPL business)-Inv related-At reported business location(s)-Start date 07/01/2025-160hrs/mth-160hrs/mth 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 | 3 |

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 3

| | |
|--|--|
| Reporting Source: | Individual |
| Employing firm when activities occurred which led to the complaint: | PRO-INTEGRITY |
| Allegations: | MISREPRESENTATION, NEGLIGENCE, EXCESSIVE TRADING, FAILURE TO SUPERVISE |
| Product Type: | Equity - OTC |
| Other Product Type(s): | BONDS, UIT |
| Alleged Damages: | \$100,000.00 |

Customer Complaint Information

| | |
|---------------------------------|------------------------|
| Date Complaint Received: | 02/15/2007 |
| Complaint Pending? | No |
| Status: | Arbitration/Reparation |
| Status Date: | 02/15/2007 |

Settlement Amount:

Individual Contribution Amount:

Arbitration Information

| | |
|---|---------------|
| Arbitration/Reparation Claim filed with and Docket/Case No.: | NASD 06-01619 |
|---|---------------|



Date Notice/Process Served: 02/15/2007
Arbitration Pending? No
Disposition: Settled
Disposition Date: 09/10/2007
Monetary Compensation Amount: \$5,000.00
Individual Contribution Amount: \$5,000.00
Broker Statement I WAS NAMED AS PRINCIPAL AND CONTROL PERSON OF THE FIRM. I WAS NOT THE DIRECT SUPERVISOR OF THE REP. BASED UPON THE REVIEW, THE LOSSES WERE CLOSER TO \$3000 AND WE SEE NO FINDINGS OF WRONG-DOING.

Disclosure 2 of 3

Reporting Source: Individual
Employing firm when activities occurred which led to the complaint: PRO-INTEGRITY SECURITEIS INC.
Allegations: FAILURE TO SUPERVISE REP. WHO DID HANDLED THEIR ACCOUNT. THEY CLAIMED UNSUITABILITY, CHURNING, AND UNAUTHORIZED TRADING.
Product Type: Equity - OTC
Other Product Type(s): EQUITY LISTED AND COVERED CALL OPTIONS.
Alleged Damages: \$900,000.00

Customer Complaint Information

Date Complaint Received: 09/17/2002
Complaint Pending? No
Status: Arbitration/Reparation
Status Date: 09/17/2002
Settlement Amount:

Individual Contribution Amount:

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: NASD 02-02343
Date Notice/Process Served: 09/17/2002
Arbitration Pending? No
Disposition: Settled
Disposition Date: 07/29/2004
Monetary Compensation Amount: \$92,000.00
Individual Contribution Amount:



Broker Statement THE CLIENT CAME OVER WITH AROUND 60% OF THEIR ACCOUNT ON MARGIN DURING A TIME WHEN THE MARKET WAS ON THE SLIDE DOWN. WE ALSO SPOKE WITH THE CLIENT A NUMBER OF TIMES ABOUT THEIR MARGIN ACCOUNT DURING WHICH THEY NEVER COMPLAINED OR RAISED CONCERN.

Disclosure 3 of 3

Reporting Source: Regulator
Employing firm when activities occurred which led to the complaint: SUNPOINT SECURITIES, INC.

Allegations: SUITABILITY; MISREPRESENTATION; ACCOUNT RELATED-NEGLIGENCE; BRCH OF FIDUCIARY DT

Product Type:

Alleged Damages: \$44,671.86

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: [NASD - CASE #96-01829](#)

Date Notice/Process Served: 06/03/1996

Arbitration Pending? No

Disposition: Settled

Disposition Date: 08/12/1997

Disposition Detail: CASE IS CLOSED, WITHDRAWN W/ PREJUDICE
ACTUAL/COMPENSATORY DAMAGES, RELIEF
REQUEST IS OVER FOR OTHER REASONS, AWARD AMOUNT JOINTLY AND
SEVERALLY; ACTUAL/COMPENSATORY DAMAGES, RELIEF REQUEST IS
OVER
FOR OTHER REASONS, AWARD AMOUNT JOINTLY AND SEVERALLY;
INTEREST, RELIEF REQUEST IS OVER FOR OTHER REASONS, AWARD
AMOUNT JOINTLY AND SEVERALLY; INTEREST, RELIEF REQUEST IS OVER
FOR OTHER REASONS, AWARD AMOUNT JOINTLY AND SEVERALLY; OTHER
COSTS, RELIEF REQUEST IS OVER FOR OTHER REASONS, AWARD
AMOUNT
JOINTLY AND SEVERALLY; OTHER COSTS, RELIEF REQUEST IS OVER FOR
OTHER REASONS, AWARD AMOUNT JOINTLY AND SEVERALLY; OTHER
MONETARY RELIEF, RELIEF REQUEST IS OVER FOR OTHER REASONS,
AWARD AMOUNT JOINTLY AND SEVERALLY; OTHER MONETARY RELIEF,
RELIEF REQUEST IS OVER FOR OTHER REASONS, AWARD AMOUNT
JOINTLY
AND SEVERALLY; ACTUAL/COMPENSATORY DAMAGES, RELIEF REQUEST
IS
OVER FOR OTHER REASONS, AWARD AMOUNT JOINTLY AND SEVERALLY;
ACTUAL/COMPENSATORY DAMAGES, RELIEF REQUEST IS OVER FOR
OTHER
REASONS, AWARD AMOUNT JOINTLY AND SEVERALLY; INTEREST, RELIEF
REQUEST IS OVER FOR OTHER REASONS, AWARD AMOUNT JOINTLY AND
SEVERALLY; INTEREST, RELIEF REQUEST IS OVER FOR OTHER REASONS,
AWARD AMOUNT JOINTLY AND SEVERALLY; OTHER COSTS, RELIEF
REQUEST
IS OVER FOR OTHER REASONS, AWARD AMOUNT JOINTLY AND



Firm Statement Sunpoint Securities, Inc. settled the matter for \$25,000. William Perry was named in the complaint when the opposing counsel discovered that he had signed the New Account form.

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: SUNPOINT SECURITIES, INC.

Allegations: THE PLAINTIFFS ATTORNEY ADDED ME TO THE CASE AFTER DISCOVERING THAT I SIGNED THE CLIENTS NEW ACCOUNT APPROVAL FORM AS THE DESIGNATED PRINCIPAL. THE CLIENT ALLEDGES UNSUITABILITY, MISREPRESENTATION, ACCOUNT RELATED NEGLIGENCE ,BREACH OF FIDUCIARY DUTY RELATED TO THE PURCHASE OF LIMITED PARTNERSHIPS. ASKED AMOUNT WAS \$44,671.86

Product Type: Direct Investment(s) - DPP & LP Interest(s)

Alleged Damages: \$44,671.86

Customer Complaint Information

Date Complaint Received: 06/03/1996

Complaint Pending? No

Status: Arbitration/Reparation
Settled

Status Date: 08/12/1997

Settlement Amount: \$25,000.00

Individual Contribution Amount: \$0.00

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: [NATIONAL ASSOC. OF SECURITIES DEALERS; 96-01829](#)

Date Notice/Process Served: 06/03/1996

Arbitration Pending? No

Disposition: Settled

Disposition Date: 08/12/1997

Monetary Compensation Amount: \$25,000.00

Individual Contribution Amount: \$0.00

Broker Statement THE FIRM SETTLED THIS MATTER FOR \$25,000 I DID NOT SIGN OFF ON THE CLIENTS NEW ACCOUNT APPROVAL FORM AS THE DESIGNATED PRINCIPAL. HOWEVER, THIS WAS THE FIRST YEAR THAT I OBTAINED MY PRINCIPAL LICENSE AND I DID NOT HAVE THE AUTHORITY TO DISAPPROVE ANY APPLICATION UNLESS THAT APPLICATION WAS NOT COMPLETE. THE FINAL AUTHORITY OF APPROVAL IN RELATION TO SUITABILITY WAS THE RESPONSIBILITY OF



THE FIRM'S PRESIDENT/SR. PRINCIPAL.



End of Report

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