



## IAPD Report

# KEITH DOW POWELL

CRD# 2143046

<b><u>Section Title</u></b>	<b><u>Page(s)</u></b>
Report Summary	1
Qualifications	2 - 3
Registration and Employment History	4 - 6
Disclosure Information	7



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

### KEITH DOW POWELL (CRD# 2143046)

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 **12/24/2025**.

### CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	GREAT POINT CAPITAL LLC	CRD# 114203	06/27/2023
IA	VANN EQUITY MANAGEMENT LLC	CRD# 174239	08/03/2023

### 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	THE HUGHES GROUP WEALTH MANAGEMENT PARTNERS LLC	291397	AUSTIN, TX	06/16/2021 - 08/01/2023
B	B.B. GRAHAM & COMPANY, INC.	41533	Austin, TX	09/16/2021 - 07/13/2023
IA	THE HUGHES GROUP WEALTH MANAGEMENT PARTNERS LLC	291397	AUSTIN, TX	06/15/2021 - 06/15/2021

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	1
Termination	2
Financial	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 2

Firm Name: **VANN EQUITY MANAGEMENT LLC**  
Main Address: 4975 PRESTON PARK BLVD #490  
PLANO, TX 75093  
Firm ID#: 174239

	Regulator	Registration	Status	Date
IA	Texas	Investment Adviser Representative	Approved	08/03/2023

#### Branch Office Locations

**VANN EQUITY MANAGEMENT LLC**  
11824 Jollyville Rd., Suite 500  
Austin, TX 78759

#### Employment 2 of 2

Firm Name: **GREAT POINT CAPITAL LLC**  
Main Address: 200 WEST JACKSON BLVD.  
SUITE 1000  
CHICAGO, IL 60606  
Firm ID#: 114203

	Regulator	Registration	Status	Date
B	FINRA	General Securities Representative	Approved	06/27/2023
B	Texas	Agent	Approved	06/27/2023

#### Branch Office Locations

11824 Jollyville Road  
Suite 500  
Austin, TX 78759



## 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>B</b> General Securities Sales Supervisor Examination (Options Module & General Module) (S8)	Series 8	12/03/1998

#### General Industry/Product Exams

Exam	Category	Date
<b>B</b> Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
<b>B</b> General Securities Representative Examination (S7)	Series 7	07/12/1991

#### State Securities Law Exams

Exam	Category	Date
<b>IA</b> Uniform Investment Adviser Law Examination (S65)	Series 65	02/22/2005
<b>B</b> Uniform Securities Agent State Law Examination (S63)	Series 63	06/14/1991



### PROFESSIONAL DESIGNATIONS

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

#### Certified Financial Planner

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	06/16/2021 - 08/01/2023	THE HUGHES GROUP WEALTH MANAGEMENT PARTNERS LLC	CRD# 291397	AUSTIN, TX
B	09/16/2021 - 07/13/2023	B.B. GRAHAM & COMPANY, INC.	CRD# 41533	Austin, TX
IA	06/15/2021 - 06/15/2021	THE HUGHES GROUP WEALTH MANAGEMENT PARTNERS LLC	CRD# 291397	AUSTIN, TX
IA	11/21/2013 - 06/03/2021	SCF INVESTMENT ADVISORS, INC.	CRD# 123608	FRESNO, CA
B	11/05/2013 - 06/03/2021	SCF SECURITIES, INC.	CRD# 47275	AUSTIN, TX
IA	10/04/2013 - 10/18/2013	ALAMO ASSET ADVISORS	CRD# 140166	SAN ANTONIO, TX
IA	03/28/2013 - 06/18/2013	ALAMO ASSET ADVISORS	CRD# 140166	SAN ANTONIO, TX
B	03/01/2013 - 06/06/2013	WFG INVESTMENTS, INC.	CRD# 22704	LAKEWAY, TX
B	02/21/2008 - 12/10/2012	WADDELL & REED, INC.	CRD# 866	AUSTIN, TX
IA	02/21/2008 - 12/10/2012	WADDELL & REED, INC.	CRD# 866	AUSTIN, TX
IA	02/02/2006 - 02/11/2008	UNITED CAPITAL FINANCIAL ADVISERS, INC.	CRD# 134600	HOUSTON, TX
B	03/21/2006 - 12/03/2007	GIRARD SECURITIES, INC.	CRD# 18697	HOUSTON, TX
IA	02/18/2005 - 05/01/2006	STABIL CAPITAL MANAGEMENT, INC.	CRD# 108535	AUSTIN, TX
B	07/28/2004 - 01/05/2005	TD WATERHOUSE INVESTOR SERVICES, INC.	CRD# 7870	OMAHA, NE
IA	07/21/2004 - 01/05/2005	TD WATERHOUSE INVESTOR SERVICES, INC.	CRD# 7870	AUSTIN, TX
IA	10/02/2003 - 08/05/2004	RUSHMORE INVESTMENT ADVISORS INC	CRD# 110292	PLANO, 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>B</b>	02/13/1992 - 09/11/2002	CHARLES SCHWAB & CO., INC.	CRD# 5393	WESTLAKE, TX
<b>B</b>	07/15/1991 - 11/05/1991	F.N. WOLF & CO., INC.	CRD# 13051	

### 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
08/2023 - Present	Vann Equity Management LLC	Investment Advisor Representative	Y	Plano, TX, United States
06/2023 - Present	Great Point Capital, LLC	Registered Representative	Y	Chicago, IL, United States
01/2021 - Present	GYPSY SOUL LLC	MANAGER	N	ROUND ROCK, TX, United States
01/2015 - Present	COLLABORATIVE DIVORCE AUSTIN	MEMBER	N	AUSTIN, TX, United States
12/2012 - Present	AUSTIN DIVORCE PLANNERS	PRESIDENT	N	AUSTIN, TX, United States
10/2012 - Present	BUSINESS NETWORK INTERNATIONAL	PRESIDENT	N	CHARLOTTE, NC, United States
11/2011 - Present	KEITH POWELL, SOLE PROPRIETOR	INSURANCE AGENT	Y	AUSTIN, TX, United States
12/2010 - Present	KNS VENTURES, LP dba AUSTIN WEALTH SPECIALISTS	LIMITED PARTNER	Y	AUSTIN, TX, United States
11/2010 - Present	LUCIDLIFE HOLDINGS	PRESIDENT	N	AUSTIN, TX, United States
05/2010 - Present	AUSTIN DIVORCE RESOURCES	PRESIDENT	N	AUSTIN, TX, United States
06/2021 - 08/2023	THE HUGHES GROUP WEALTH MANAGEMENT PARTNERS LLC	INVESTMENT ADVISOR REPRESENTATIVE	Y	AUSTIN, TX, United States
09/2021 - 06/2023	B.B. Graham & Co., Inc.	Registered Representative	Y	Austin, TX, United States
06/2015 - 03/2023	KEILA PROPERTIES	PRESIDENT	Y	AUSTIN, TX, United States
12/2005 - 03/2023	THE TRAM HOUSE.COM	OWNER	Y	AUSTIN, TX, United States



## Registration & Employment History

### EMPLOYMENT HISTORY

Employment Dates	Employer Name	Position	Investment Related	Employer Location
06/2019 - 02/2023	LUCIDLIFE INVESTMENTS	OWNER	Y	AUSTIN, TX, United States
11/2013 - 05/2021	SCF INVESTMENT ADVISORS, INC.	INVESTMENT ADVISOR REP	Y	FRESNO, CA, United States
11/2013 - 05/2021	SCF SECURITIES, INC.	REGISTERED REP	Y	FRESNO, 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.

- (1) KNS Ventures LP - Investment Related; 11824 Jollyville Rd. #500, Austin TX 78759; Flow through entity for other businesses; Limited Partner; Start Date: 11/2010; 5 Hrs./mo., 5 during trading hours; Accounting
- (2) Lucid Life Holdings - Investment Related; 11824 Jollyville Rd. #500, Austin TX 78759; General Partner to KNS Ventures LP; President; Start Date: 11/2010; 0 Hrs./mo.; Accounting
- (3) Austin Divorce Planners - Investment Related; 11824 Jollyville Rd. #500, Austin TX 78759; Divorce Consulting; 100% Owner/President; Start Date: 12/2012; 10 Hrs./mo., 5 during trading hours; Mediation guidance, consulting, expert witness.
- (4) Keith Powell, Sole Proprietor - Investment Related; 11824 Jollyville Rd. #500, Austin TX 78759; Fixed insurance; Insurance Agent; Start Date: 11/2011; 2 Hrs./mo., 2 during trading hours; Insurance sales.
- (5) Austin Divorce Resources - Investment Related; 11824 Jollyville Rd. #500, Austin TX 78759; Networking Group; Member; Start Date: 05/2010; 1.5 Hrs./mo., 1.5 during trading hours; Attend monthly meetings.
- (6) Business Network International - Investment Related; 11525 N. Community House Rd. Charlotte, NC 28277; Networking Group; Member; Start Date: 10/2012; 7.5 Hrs./mo., 7.5 during trading hours; Attend weekly meetings.
- (7) Gypsy Soul LLC - Investment Related; 1006 Pathfinder Way, Round Rock TX 78665; Boat Charter business; Manager; Start Date: 01/2021; 8 Hrs./mo., 0 during trading hours; Captain the boat on charters.
- (8) Collaborative Divorce Austin - Investment Related; 11824 Jollyville Rd. #500, Austin TX 78759; Networking Group for Collaborative Divorce cases; Member; Start Date: 01/2015; 2 Hrs./mo., 2 during trading hours; Attend meetings.
- (9) Collaborative Divorce Texas - Investment Related; 11824 Jollyville Rd. #500, Austin TX 78759; Networking Group for Collaborative Divorce Cases; Member; Start Date: 06/2016; 1.5 Hrs./mo., 1.5 during trading hours; Attend monthly meetings.
- (10) KNS Ventures LP dba Austin Wealth Specialists - Investment Related; 11824 Jollyville Rd. #500, Austin TX 78759; Flow through company from securities business; 48% Partner; Start Date: 12/2010; 80 Hrs./mo., 80 during trading hours; Servicing client accounts.
- (11) Great Point Capital, LLC; Yes; Chicago, IL; Broker-Dealer; Registered Representative
- (12) Keith Powell will be a partner at Compass & Crest, a fixed income sales company. The address of Compass & Crest is 11824 Jollyville Rd., Suite 500, Austin TX, 78759. The start date is May 23, 2024. He plans to spend 5 hours per month during normal trading hours and 10 hours per month outside of normal trading hours. This is investment related.
- (13) Keith Powell is a Managing Partner at The Torus Group. The address of The Torus Group is 11824 Jollyville Rd., Suite 500, Austin, Tx, 78759. The start date is Jun 18, 2024. He plans to spend 1 hour per month during normal trading hours and 3 hours per month outside of normal trading hours. This is not investment related.





## 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	1
Termination	2
Financial	1

### 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 1

<b>Reporting Source:</b>	Regulator
<b>Regulatory Action Initiated By:</b>	FINRA
<b>Sanction(s) Sought:</b>	Other: N/A
<b>Date Initiated:</b>	06/10/2013
<b>Docket/Case Number:</b>	<a href="#">2011028200201</a>
<b>Employing firm when activity occurred which led to the regulatory action:</b>	WADDELL & REED, INC.
<b>Product Type:</b>	No Product
<b>Allegations:</b>	ARTICLE V, SECTION 2(C) OF THE FINRA BY-LAWS, FINRA RULES 1122 AND 2010: POWELL FAILED TO TIMELY AMEND HIS FORM U4 TO DISCLOSE MATERIAL INFORMATION.
<b>Current Status:</b>	Final
<b>Resolution:</b>	Acceptance, Waiver & Consent(AWC)
<b>Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct?</b>	No
<b>Resolution Date:</b>	06/10/2013



**Sanctions Ordered:**

Civil and Administrative Penalty(ies)/Fine(s)  
Suspension

**If the regulator is the SEC, CFTC, or an SRO, did the action result in a finding of a willful violation or failure to supervise?**

No

**(1) willfully violated any provision of the Securities Act of 1933, the Securities Exchange Act of 1934, the Investment Advisers Act of 1940, the Investment Company Act of 1940, the Commodity Exchange Act, or any rule or regulation under any of such Acts, or any of the rules of the Municipal Securities Rulemaking Board, or to have been unable to comply with any provision of such Act, rule or regulation?**

**(2) willfully aided, abetted, counseled, commanded, induced, or procured the violation by any person of any provision of the Securities Act of 1933, the Securities Exchange Act of 1934, the Investment Advisers Act of 1940, the Investment Company Act of 1940, the Commodity Exchange Act, or any rule or regulation under any of such Acts, or any of the rules of the Municipal Securities Rulemaking Board? or**



(3) failed reasonably to supervise another person subject to your supervision, with a view to preventing the violation by such person of any provision of the Securities Act of 1933, the Securities Exchange Act of 1934, the Investment Advisers Act of 1940, the Investment Company Act of 1940, the Commodity Exchange Act, or any rule or regulation under any such Acts, or any of the rules of the Municipal Securities Rulemaking Board?

**Sanction 1 of 1**

**Sanction Type:** Suspension  
**Capacities Affected:** ANY CAPACITY  
**Duration:** 15 BUSINESS DAYS  
**Start Date:** 06/17/2013  
**End Date:** 07/08/2013

**Monetary Sanction 1 of 1**

**Monetary Related Sanction:** Civil and Administrative Penalty(ies)/Fine(s)  
**Total Amount:** \$2,500.00  
**Portion Levied against individual:** \$2,500.00  
**Payment Plan:**  
**Is Payment Plan Current:** Yes  
**Date Paid by individual:** 10/04/2013  
**Was any portion of penalty waived?** No

**Amount Waived:****Regulator Statement**

WITHOUT ADMITTING OR DENYING THE FINDINGS, POWELL CONSENTED TO THE DESCRIBED SANCTIONS AND TO THE ENTRY OF FINDINGS; THEREFORE HE IS FINED \$2,500 AND SUSPENDED FROM ASSOCIATION WITH ANY FINRA MEMBER IN ANY CAPACITY FOR 15 BUSINESS DAYS. THE FINE SHALL BE DUE AND PAYABLE EITHER IMMEDIATELY UPON REASSOCIATION WITH A MEMBER FIRM FOLLOWING THE 15 BUSINESS DAY SUSPENSION, OR PRIOR TO ANY APPLICATION OR REQUEST FOR RELIEF FROM ANY STATUTORY DISQUALIFICATION RESULTING FROM THIS OR ANY OTHER EVENT OR PROCEEDING, WHICHEVER IS EARLIER. THE SUSPENSION IS IN EFFECT JUNE 17, 2013 THROUGH JULY 8, 2013. FINE PAID. FINE PAID IN FULL 10/04/13.

**Reporting Source:** Firm



**Regulatory Action Initiated By:** FINRA

**Sanction(s) Sought:** Civil and Administrative Penalty(ies)/Fine(s)  
Suspension

**Date Initiated:** 02/05/2013

**Docket/Case Number:** 2011028200201

**Employing firm when activity occurred which led to the regulatory action:** WADELL & REED INC.

**Product Type:** No Product

**Allegations:** FAILURE TO REPORT TO THE FIRM FIVE COMPROMISES WITH CREDITORS.

**Current Status:** Pending

.....

**Reporting Source:** Firm

**Regulatory Action Initiated By:** FINRA

**Sanction(s) Sought:** Other: N/A

**Date Initiated:** 06/10/2013

**Docket/Case Number:** [2011028200201](#)

**Employing firm when activity occurred which led to the regulatory action:** WADELL & REED INC

**Product Type:** No Product

**Allegations:** ARTICLE V, SECTION 2(C) OF THE FINRA BY-LAWS, FINRA RULES 1122 AND 2010; POWELL FAILED TO TIMELY AMEND HIS FORM U4 TO DISCLOSE MATERIAL INFORMATION.

**Current Status:** Final

**Resolution:** Acceptance, Waiver & Consent(AWC)

**Resolution Date:** 06/10/2013

**Sanctions Ordered:** Civil and Administrative Penalty(ies)/Fine(s)  
Suspension

**If the regulator is the SEC, CFTC, or an SRO, did the action result in a finding of a willful violation or failure to supervise?** No



(1) willfully violated any provision of the Securities Act of 1933, the Securities Exchange Act of 1934, the Investment Advisers Act of 1940, the Investment Company Act of 1940, the Commodity Exchange Act, or any rule or regulation under any of such Acts, or any of the rules of the Municipal Securities Rulemaking Board, or to have been unable to comply with any provision of such Act, rule or regulation?

(2) willfully aided, abetted, counseled, commanded, induced, or procured the violation by any person of any provision of the Securities Act of 1933, the Securities Exchange Act of 1934, the Investment Advisers Act of 1940, the Investment Company Act of 1940, the Commodity Exchange Act, or any rule or regulation under any of such Acts, or any of the rules of the Municipal Securities Rulemaking Board? or

(3) failed reasonably to supervise another person subject to your supervision, with a view to preventing the violation by such person of any provision of the Securities Act of 1933, the Securities Exchange Act of 1934, the Investment Advisers Act of 1940, the Investment Company Act of 1940, the Commodity Exchange Act, or any rule or regulation under any such Acts, or any of the rules of the Municipal Securities Rulemaking Board?

Sanction 1 of 1

Sanction Type:	Suspension
Capacities Affected:	ANY CAPACITY
Duration:	15 BUSINESS DAYS
Start Date:	06/17/2013



**End Date:** 07/08/2013

**Monetary Sanction 1 of 1**

**Monetary Related Sanction:** Civil and Administrative Penalty(ies)/Fine(s)

**Total Amount:** \$2,500.00

**Portion Levied against individual:** \$2,500.00

**Payment Plan:**

**Is Payment Plan Current:**

**Date Paid by individual:**

**Was any portion of penalty waived?** No

**Amount Waived:**

.....

**Reporting Source:** Individual

**Regulatory Action Initiated By:** FINRA

**Sanction(s) Sought:** Civil and Administrative Penalty(ies)/Fine(s)  
Suspension

**Date Initiated:** 06/10/2013

**Docket/Case Number:** 2011028200201

**Employing firm when activity occurred which led to the regulatory action:** WADDELL & REED, INC.

**Product Type:** No Product

**Allegations:** FAILURE TO REPORT TO THE FIRM AND FINRA FIVE COMPROMISES WITH CREDITORS.

**Current Status:** Final

**Resolution:** Acceptance, Waiver & Consent(AWC)

**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:** 06/10/2013

**Sanctions Ordered:** Civil and Administrative Penalty(ies)/Fine(s)  
Suspension

**Sanction 1 of 1**

**Sanction Type:** Suspension

**Capacities Affected:** ANY CAPACITY

**Duration:** 15 BUSINESSDAYS



<b>Start Date:</b>	06/17/2013
<b>End Date:</b>	07/08/2013
<b>Monetary Sanction 1 of 1</b>	
<b>Monetary Related Sanction:</b>	Civil and Administrative Penalty(ies)/Fine(s)
<b>Total Amount:</b>	\$2,500.00
<b>Portion Levied against individual:</b>	\$2,500.00
<b>Payment Plan:</b>	
<b>Is Payment Plan Current:</b>	No
<b>Date Paid by individual:</b>	10/07/2013
<b>Was any portion of penalty waived?</b>	No
<b>Amount Waived:</b>	





## 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:** ALAMO ASSET ADVISORS  
**Termination Type:** Discharged  
**Termination Date:** 06/06/2013  
**Allegations:** FAILURE TO REPORT TO PREVIOUS FIRM WADDELL & REED INC. AND FINRA FIVE COMPROMISES WITH CREDITORS.  
**Product Type:** No Product

.....

**Reporting Source:** Individual  
**Firm Name:** ALAMO ASSET ADVISORS  
**Termination Type:** Discharged  
**Termination Date:** 06/06/2013  
**Allegations:** FAILURE TO REPORT COMPROMISES TO PREVIOUS FIRM, WADDELL.  
**Product Type:** No Product  
**Broker Statement** THIS TERMINATION IS BEING AMENDED BY THE PRINCIPAL AT ALAMO. IT WAS A MISTAKE TO BEGIN WITH AS THEY REINSTATED ME IN JULY OF 2013

### Disclosure 2 of 2

**Reporting Source:** Firm  
**Firm Name:** WFG INVESTMENTS  
**Termination Type:** Discharged  
**Termination Date:** 06/06/2013  
**Allegations:** FAILURE TO REPORT TO PREVIOUS FIRM WADDELL & REED INC., AND FINRA FIVE COMPROMISES WITH CREDITORS.  
**Product Type:** No Product

.....

**Reporting Source:** Individual  
**Firm Name:** WFG SECURITIES  
**Termination Type:** Discharged  
**Termination Date:** 06/06/2013  
**Allegations:** FAILURE TO REPORT 5 COMPROMISES WITH CREDITORS  
**Product Type:** No Product



## Financial

This disclosure event involves a final bankruptcy, compromise with one or more creditors, or Securities Investor Protection Corporation liquidation that occurred within the last 10 years and that involved the Investment Adviser Representative or an organization/investment adviser that the Investment Adviser Representative controlled that occurred within the last 10 years.

### Disclosure 1 of 1

**Reporting Source:** Individual

**Action Type:** Compromise

**Action Date:** 10/07/2024

**Organization Investment-Related?**

**Type of Court:** State Court

**Name of Court:** Travis County Justice of the Peace 2-1

**Location of Court:** Travis County, Texas

**Docket/Case #:** J2-CV-23-002083

**Action Pending?** No

**Disposition:** Satisfied/Released

**Disposition Date:** 10/21/2024

**If a compromise with creditor, provide:**

**Name of Creditor:** Synchrony Bank

**Original Amount Owed:** \$2,715.44

**Terms Reached with Creditor:** \$1,800.00



## End of Report

This page is intentionally left blank.