IAPD Report

JAMES THOMAS HOPPER

CRD# 2181853

Section Title	Page(s)

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

User Guidance

www.adviserinfo.sec.gov

Report Summary

JAMES THOMAS HOPPER (CRD# 2181853)

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 **09/17/2024**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	LPL FINANCIAL LLC	CRD# 6413	10/05/2015
IA	LPL FINANCIAL LLC	CRD# 6413	10/05/2015

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **23** 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	FIRST CITIZENS FINANCIAL PLUS, INC.	18591	DYERSBURG, TN	06/02/2004 - 11/23/2015
B	FIRST CITIZENS FINANCIAL PLUS, INC.	18591	DYERSBURG, TN	08/10/1995 - 11/23/2015
B	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	7691	NEW YORK, NY	12/23/1992 - 08/02/1995

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

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 **23** 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	10/05/2015
B	FINRA	General Securities Representative	Approved	10/05/2015
B	FINRA	Municipal Securities Principal	Approved	10/05/2015
B	FINRA	Municipal Securities Representative	Approved	10/05/2015
B	Alabama	Agent	Approved	09/18/2024
B	Arizona	Agent	Approved	12/10/2015
B	Arkansas	Agent	Approved	11/04/2015
IA	Arkansas	Investment Adviser Representative	Approved	03/01/2023
B	Colorado	Agent	Approved	08/20/2020
B	Florida	Agent	Approved	11/13/2015
B	Georgia	Agent	Approved	10/05/2015
B	Illinois	Agent	Approved	11/12/2015
B	Kansas	Agent	Approved	05/19/2020

Qualifications

	Regulator	Registration	Status	Date
B	Kentucky	Agent	Approved	10/05/2015
B	Louisiana	Agent	Approved	10/05/2015
B	Maryland	Agent	Approved	11/06/2015
B	Michigan	Agent	Approved	11/16/2015
B	Mississippi	Agent	Approved	10/05/2015
B	Missouri	Agent	Approved	10/05/2015
B	New Mexico	Agent	Approved	06/14/2017
B	New York	Agent	Approved	07/21/2020
B	Oklahoma	Agent	Approved	11/12/2015
B	Rhode Island	Agent	Approved	11/05/2015
B	South Carolina	Agent	Approved	12/16/2016
B	Tennessee	Agent	Approved	10/08/2015
IA	Tennessee	Investment Adviser Representative	Approved	10/08/2015
IA	Texas	Investment Adviser Representative	Approved	10/05/2015
B	Texas	Agent	Approved	02/03/2017
B	Virginia	Agent	Approved	05/16/2023
B	Wyoming	Agent	Approved	03/23/2021

Branch Office Locations

LPL FINANCIAL LLC
101 S MILL AVE

Qualifications

DYERSBURG, TN 38024

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

Principal/Supervisory Exams

	Exam	Category	Date
B	Municipal Securities Principal Examination (S53)	Series 53	02/08/1996
B	General Securities Principal Examination (S24)	Series 24	08/25/1995

General Industry/Product Exams

	Exam	Category	Date
B	Municipal Securities Representative Examination (S52TO)	Series 52TO	01/02/2023
B	Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
B	General Securities Representative Examination (S7)	Series 7	11/25/1991

State Securities Law Exams

	Exam	Category	Date
IA	Uniform Investment Adviser Law Examination (S65)	Series 65	10/26/1994
B	Uniform Securities Agent State Law Examination (S63)	Series 63	12/04/1991

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	06/02/2004 - 11/23/2015	FIRST CITIZENS FINANCIAL PLUS, INC.	CRD# 18591	DYERSBURG, TN
B	08/10/1995 - 11/23/2015	FIRST CITIZENS FINANCIAL PLUS, INC.	CRD# 18591	DYERSBURG, TN
B	12/23/1992 - 08/02/1995	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	CRD# 7691	NEW YORK, NY
B	11/26/1991 - 12/23/1992	POWELL & SATTERFIELD, INC.	CRD# 7030	LITTLE ROCK, AR

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
10/2015 - Present	FIRST CITIZENS NATIONAL BANK	FINANCIAL CONSULTANT	Y	DYERSBURG, TN, United States
10/2015 - Present	LPL FINANICAL LLC	Registered Representative	Y	Dyersburg, TN, 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. 10/05/2015 - White & Associates/First Citizens Insurance - INV REL - 220 N Main Dyersburg TN 38024 - Non-Variable Insurance - START 09/01/2015 - 1% TIME SPENT - agent, Fixed Annuities, Life, Long Term Care

2. 10/05/2015 - First Citizens Investment Services - INV REL - AT REPORTED LOCATION - DBA for LPL Business (entity for LPL business) - START 11-18-15 - 100% TIME SPENT

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

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

Reporting Source:	Regulator
Regulatory Action Initiated By:	NASD
Sanction(s) Sought:	
Date Initiated:	05/08/2007
Docket/Case Number:	2006003762801
Employing firm when activity occurred which led to the regulatory action:	FIRST CITIZENS FINANCIAL PLUS, INC.
Product Type:	No Product
Allegations:	NASD RULES 2110, 2210(C)(2), 2210(D)(1)(A), 2210(D)(1)(B), 2210(D)(2)(B), 2210(D)(2)(C) - RESPONDENT ACTING ON BEHALF OF HIS MEMBER FIRM, ISSUED SALES LITERATURE TO PUBLIC CUSTOMERS THAT OMITTED MATERIAL FACTS AND FAILED TO PRE-FILE WITH NASD'S ADVERTISING DEPARTMENT TEN DAYS PRIOR TO FIRST USE.
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:	05/08/2007

Sanctions Ordered:	Censure Civil and Administrative Penalty(ies)/Fine(s)
Regulator Statement	WITHOUT ADMITTING OR DENYING THE FINDINGS, HOPPER CONSENTED TO THE DESCRIBED SANCTIONS AND TO THE ENTRY OF FINDINGS, THEREFORE, HE IS CENSURED AND FINED $10,000, JOINTLY AND SEVERALLY. FINES PAID ON 08/10/2007.

Reporting Source:	Individual
Regulatory Action Initiated By:	NATIONAL ASSOCIATION OF SECURITIES DEALERS
Sanction(s) Sought:	Censure
Other Sanction(s) Sought:	
Date Initiated:	02/01/2006
Docket/Case Number:	2006003762801
Employing firm when activity occurred which led to the regulatory action:	FIRST CITIZENS FINANCIAL PLUS
Product Type:	No Product
Other Product Type(s):	
Allegations:	WITHOUT AGREEING OR DENYING, THE NASD ALLEGES MYSELF AND THE FIRM JOINTLY VIOLATED RULES 2210, 2210(C)2), 2210(D)(1)(A), AND 2210(D)(2)(C) BY NOT PRE-FILING 10 DAYS PRIOR TO USE, SIX PIECES OF SALES LITERATURE DURING THE AUDIT PERIOD.
Current Status:	Final
Resolution:	Acceptance, Waiver & Consent(AWC)
Resolution Date:	05/08/2007
Sanctions Ordered:	Censure Monetary/Fine $10,000.00
Other Sanctions Ordered:	
Sanction Details:	NOT PAID AS OF 5/15/2007 - AWAITING REGISTRATION AND DISCLOSURE AND FINANCE DEPARTMENT.

End of Report

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