



IAPD Report

FREEMAN BUCKNER IRBY III

CRD# 2223441

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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

FREEMAN BUCKNER IRBY III (CRD# 2223441)

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 **05/20/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
IA	ADVICE AND PLANNING SERVICES	CRD# 20472	04/03/2024
B	TIAA-CREF INDIVIDUAL & INSTITUTIONAL SERVICES, LLC	CRD# 20472	04/03/2024

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **25** 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	PLANO, TX	11/06/2015 - 03/21/2024
B	SECURITIES AMERICA, INC.	10205	PLANO, TX	11/06/2015 - 03/21/2024
IA	MML INVESTORS SERVICES, LLC	10409	DALLAS, TX	02/24/2015 - 11/19/2015

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

Employment 1 of 1

Firm Name: **ADVICE AND PLANNING SERVICES**
Main Address: 730 THIRD AVENUE
NEW YORK, NY 10017-3206
Firm ID#: 20472

Regulator	Registration	Status	Date
B FINRA	General Securities Representative	Approved	04/03/2024
B Arkansas	Agent	Approved	04/04/2024
B California	Agent	Approved	05/06/2025
B Colorado	Agent	Approved	05/07/2025
B Connecticut	Agent	Approved	05/07/2025
B Florida	Agent	Approved	05/07/2025
B Georgia	Agent	Approved	05/07/2025
B Idaho	Agent	Approved	05/06/2025
B Illinois	Agent	Approved	10/29/2024
B Iowa	Agent	Approved	10/11/2024
B Kansas	Agent	Approved	10/07/2024
B Louisiana	Agent	Approved	04/08/2024
B Maine	Agent	Approved	05/07/2025



Qualifications

Regulator	Registration	Status	Date
B Maryland	Agent	Approved	05/12/2025
B Massachusetts	Agent	Approved	05/07/2025
B Minnesota	Agent	Approved	10/07/2024
B Missouri	Agent	Approved	10/08/2024
B Nebraska	Agent	Approved	10/07/2024
B New Mexico	Agent	Approved	05/07/2025
B Oklahoma	Agent	Approved	04/03/2024
B Oregon	Agent	Approved	05/08/2025
B South Dakota	Agent	Approved	05/06/2025
B Tennessee	Agent	Approved	05/07/2025
B Texas	Agent	Approved	04/03/2024
IA Texas	Investment Adviser Representative	Approved	04/03/2024
B Virginia	Agent	Approved	05/07/2025
B Wisconsin	Agent	Approved	10/10/2024

Branch Office Locations

ADVICE AND PLANNING SERVICES
Carrollton, TX

ADVICE AND PLANNING SERVICES
3965 Dallas Parkway
Frisco Regional
Frisco, TX 75034



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

Principal/Supervisory Exams

Exam	Category	Date
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No information reported.

General Industry/Product Exams

Exam	Category	Date
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B Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
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B General Securities Representative Examination (S7)	Series 7	05/20/1992
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State Securities Law Exams

Exam	Category	Date
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IA Uniform Investment Adviser Law Examination (S65)	Series 65	05/08/2012
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B Uniform Securities Agent State Law Examination (S63)	Series 63	08/10/1992
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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	11/06/2015 - 03/21/2024	SECURITIES AMERICA ADVISORS, INC.	CRD# 110518	PLANO, TX
B	11/06/2015 - 03/21/2024	SECURITIES AMERICA, INC.	CRD# 10205	PLANO, TX
IA	02/24/2015 - 11/19/2015	MML INVESTORS SERVICES, LLC	CRD# 10409	DALLAS, TX
B	01/16/2015 - 11/19/2015	MML INVESTORS SERVICES, LLC	CRD# 10409	DALLAS, TX
IA	05/10/2012 - 10/13/2014	CURIAN CAPITAL, LLC	CRD# 120270	DENVER, CO
B	01/26/2010 - 10/13/2014	CURIAN CLEARING, LLC	CRD# 132938	DENVER, CO
B	01/12/2009 - 12/31/2009	JACKSON NATIONAL LIFE DISTRIBUTORS LLC	CRD# 40178	FRANKLIN, TN
B	07/02/2002 - 01/07/2009	ICON DISTRIBUTORS, INC.	CRD# 28568	GREENWOOD VILLAGE
B	03/16/1999 - 01/16/2002	SEI INVESTMENTS DISTRIBUTION CO.	CRD# 10690	OAKS, PA
B	09/03/1997 - 01/21/1998	FIRST SOUTHWEST COMPANY	CRD# 316	DALLAS, TX
B	07/08/1992 - 07/29/1996	STEPHENS INC.	CRD# 3496	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
03/2024 - Present	TIAA	Wealth Management Advisor	Y	Frisco, TX, United States
03/2024 - Present	TIAA-CREF INDIVIDUAL & INSTITUTIONAL SERVICES, LLC	Registered Representative	Y	Frisco, TX, United States
11/2015 - 03/2024	SECURITIES AMERICA ADVISORS	Registered Investment Advisor	Y	Plano, TX, United States



Registration & Employment History

EMPLOYMENT HISTORY

Employment Dates	Employer Name	Position	Investment Related	Employer Location
11/2015 - 03/2024	SECURITIES AMERICA INC	REGISTERED REP	Y	Plano, 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.

No information reported.



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: SECURITIES AND EXCHANGE COMMISSION

Sanction(s) Sought:

Other Sanction(s) Sought:

Date Initiated: 11/26/1997

Docket/Case Number:

Employing firm when activity occurred which led to the regulatory action: STEPHENS INC.

Product Type:

Other Product Type(s):

Allegations:

Current Status: Final

Resolution: Consent

Resolution Date: 11/26/1997

Sanctions Ordered: Cease and Desist/Injunction
Censure

Other Sanctions Ordered:

Sanction Details:

Regulator Statement 12-01-97, SEC NEWS DIGEST ISSUE NO. 97-229, DATED NOVEMBER 28, 1997, ENFORCEMENT PROCEEDINGS DISCLOSE: "FREEMAN B. IRBY



III CENSURED"; ON NOVEMBER 26, THE COMMISSION INSTITUTED A PUBLIC ADMINISTRATIVE PROCEEDING PURSUANT TO SECTIONS 15(b)(6) AND 21C OF THE SECURITIES EXCHANGE ACT OF 1934 AGAINST FREEMAN B. IRBY III, WHO HAD BEEN ASSOCIATED WITH STEPHENS INC., A REGISTERED BROKER-DEALER AND MUNICIPAL SECURITIES DEALER. WITHOUT ADMITTING OR DENYING THE FINDINGS CONTAINED IN THE COMMISSION ORDER, IRBY CONSENTED TO THE ISSUANCE OF THE ORDER, WHICH CENSURES HIM; DIRECTS HIM TO CEASE AND DESIST FROM AIDING AND ABETTING AND BEING A CAUSE OF FUTURE VIOLATIONS OF SECTION 17(a) OF THE SECURITIES ACT OF 1933, SECTION 10(b) OF THE SECURITIES EXCHANGE ACT OF 1934 AND RULE 10b-5 THEREUNDER; AND ORDERS HIM TO PAY A CIVIL PENALTY OF \$5,000.

IN ITS ORDER, THE COMMISSION FOUND THAT IRBY, AT THE INSTRUCTION OF A SUPERVISOR, TOOK STEPS AFFECTING THE UNDERWRITER SELECTION PROCESS FOR A REFUNDING BOND ISSUE OF FULTON COUNTY, GEORGIA. AT THE TIME, STEPHENS INC. WAS SERVING AS A FINANCIAL ADVISOR TO FULTON COUNTY AND ASSISTING WITH SELECTION OF UNDERWRITERS FOR THE REFUNDING BOND ISSUE. THE ORDER FOUND THAT, BY HIS ACTIONS, IRBY AIDED AND ABETTED AND WAS A CAUSE OF HIS SUPERVISOR'S VIOLATIONS OF SECTION 17(a) OF THE SECURITIES ACT, SECTION 10(b) OF THE EXCHANGE ACT AND RULE 10b-5 THEREUNDER. THE ORDER RELATES TO CERTAIN CONDUCT ALLEGED IN THE ACTION STYLED SECURITIES AND EXCHANGE COMMISSION V. RICHARD P. POIRIER, JR., JAMES E. EATON AND MICHAEL S. DEVEGTER, CIVIL ACTION NO. 1:97-CV-3478, N.D. GA., 199 7. SEE LR-15565 (NOVEMBER 20, 1997). REL. 34-39362; FILE NO. 3-9490)

Reporting Source: Individual

Regulatory Action Initiated By: SECURITIES AND EXCHANGE COMMISSION (SEC)

Sanction(s) Sought: Censure

Date Initiated: 11/26/1997

Docket/Case Number: SEC NEWS DIGEST ISSUE NO. 97-229

Employing firm when activity occurred which led to the regulatory action: STEPHENS INC.

Product Type: Debt-Municipal

Allegations: I WAS ALLEGED TO HAVE AIDED AND ABETTED, AND WAS A CONTRIBUTING CAUSE OF MY SUPERVISOR'S VIOLATION OF SECTION 17(A) OF THE SECURITIES ACT AND SECTION 10(B) OF THE EXCHANGE ACT AND RULE 10-B5 THEREUNDER.

Current Status: Final

Resolution: Consent



Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct?

Yes

Resolution Date:

11/26/1997

Sanctions Ordered:

Censure

Broker Statement

I WAS FIRST EMPLOYED BY STEPHENS, INC IN 1992 AND SHORTLY THEREAFTER WAS ASSIGNED TO WORK ON THE FULTON COUNTY FINANCIAL ADVISORY PROJECT. I WAS ASKED TO DRAFT A REQUEST FOR PROPOSAL (RFP), AND I RESPONDED TO THAT RFP. THIS IS THE FIRST TIME I PERFORMED THIS TYPE OF WORK. WHEN MY SUPERVISOR ASKED ME TO REEVALUATE AND RERANK THE RFP RESPONSES IN THE MANNER WHICH FAVORED LAZARD-FRERES, I HAD NO KNOWLEDGE THAT MY SUPERVISOR WAS RECEIVING REMUNERATION FROM LAZARD-FRERES. AT NO TIME DID I RECEIVE ANY REMUNERATION FROM LAZARD-FRERES, OR ANY BENEFIT AS A RESULT OF FOLLOWING MY SUPERVISOR'S REQUEST. THE ORDER ENTERED BY THE SEC ACKNOWLEDGES THE COOPERATION I AFFORDED TO THE COMMISSION'S STAFF IN THEIR INVESTIGATION OF THIS MATTER.



End of Report

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