IAPD Report

James Kirby Webb

CRD# 2381399

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 Kirby Webb (CRD# 2381399)

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 **03/04/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	LPL FINANCIAL LLC	CRD# 6413	02/23/2017
IA	ADVISOR RESOURCE COUNCIL	CRD# 164109	02/23/2017

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **6** 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	EDWARD JONES	250	Terrell, TX	09/27/2006 - 02/24/2017
B	EDWARD JONES	250	Terrell, TX	01/28/2003 - 02/24/2017
B	CHARLES SCHWAB & CO., INC.	5393	WESTLAKE, TX	02/16/1995 - 01/27/2003

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	2

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

Employment 1 of 2

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 Representative	Approved	02/23/2017
B	FINRA	Invest. Co and Variable Contracts	Approved	02/23/2017
B	Alabama	Agent	Approved	01/10/2026
B	Delaware	Agent	Approved	03/04/2026
B	Kansas	Agent	Approved	02/23/2017
B	Oklahoma	Agent	Approved	03/13/2017
B	Texas	Agent	Approved	02/23/2017
B	Virginia	Agent	Approved	02/23/2017

Branch Office Locations

LPL FINANCIAL LLC
15110 DALLAS PKWY SUITE 500
DALLAS, TX 75248

LPL FINANCIAL LLC
TYLER, TX

Employment 2 of 2

Firm Name: **ADVISOR RESOURCE COUNCIL**

Main Address: 15110 DALLAS PARKWAY
SUITE 500
DALLAS, TX 75248

Firm ID#: 164109

Qualifications

	Regulator	Registration	Status	Date
IA	Texas	Investment Adviser Representative	Approved	02/23/2017

Branch Office Locations

ADVISOR RESOURCE COUNCIL
6760 Horizon Road
Suite 100
Heath, TX 75032

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, 3 general industry/product exams, and 1 state securities law exam.

Principal/Supervisory Exams

	Exam	Category	Date
B	General Securities Sales Supervisor Examination (Options Module & General Module) (S8)	Series 8	06/21/1996

General Industry/Product Exams

	Exam	Category	Date
B	Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
B	General Securities Representative Examination (S7)	Series 7	01/24/1994
B	Investment Company Products/Variable Contracts Representative Examination (S6)	Series 6	08/03/1993

State Securities Law Exams

	Exam	Category	Date
B	Uniform Securities Agent State Law Examination (S63)	Series 63	08/13/1993

PROFESSIONAL DESIGNATIONS

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

Certified Financial Planner

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	09/27/2006 - 02/24/2017	EDWARD JONES	CRD# 250	Terrell, TX
B	01/28/2003 - 02/24/2017	EDWARD JONES	CRD# 250	Terrell, TX
B	02/16/1995 - 01/27/2003	CHARLES SCHWAB & CO., INC.	CRD# 5393	WESTLAKE, TX
B	08/04/1993 - 02/17/1995	FIDELITY BROKERAGE SERVICES, INC.	CRD# 7784	SMITHFIELD, RI

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
02/2017 - Present	Advisor Resource Council (Formerly: 360 Wealth Management, LLC)	Investment Adviser Representative	Y	HEATH, TX, United States
02/2017 - Present	LPL Financial, LLC	Registered Representative	Y	HEATH, TX, United States
01/2003 - 02/2017	EDWARD JONES	INVESTMENT REP	Y	ST LOUIS, MO, 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. 4/25/2019 - No Business Name - Investment Related - At Reported Business Location(s) - Non-Variable Insurance - Agent - Start Date: 04/17/2019 - 2 Hours Per Month/1 Hour During Securities Trading.
2. 10/3/2019 - Advisor Resource Council - Investment Related - At Reported Business Location(s) - Registered Investment Advisor - IAR - Start Date: 01/01/2020 - 120 Hours Per Month/120 Hours During Securities Trading - I provide investment advisory services through Advisor Resource Council, an independent investment advisor firm. I started this business activity in Jan 2020. I expect to spend approximately 120 hours per month on this activity. Please see the advisory firm's Form ADV for more information about its address, the nature of its business, its owners, and its services at http://www.adviserinfo.sec.gov/IAPD. The firm is separate from and independent of LPL Financial.10/3/2019 -

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	2

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 2

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	EDWARD JONES
Allegations:	1/26/06-3/21/11; THE CLIENT STATES SHE HAS LOST A SUBSTANTIAL AMOUNT IN THE STOCK MARKET AND THAT HER ACCOUNT WAS NOT PROPERLY MANAGED OR MONITORED. THE CLIENT STATES SHE WAS ADVISED TO TAKE A MORTGAGE AGAINST A CONDO THAT WAS PAID FOR. THE CLIENT STATES SHE WAS ALSO ADVISED TO HAVE LIFE INSURANCE POLICIES THAT WERE NOT APPROPRIATE. THE CLIENT ALSO CLAIMS SHE HAS NOT HEARD FROM THE FINANCIAL ADVISOR WHEN SHE WAS TRANSFERRING OUT OF EDWARD JONES.
Product Type:	Insurance
Alleged Damages:	$5,000.00
Alleged Damages Amount Explanation (if amount not exact):	ALLEGATIONS CLAIM DAMAGES THAT APPEAR TO BE IN EXCESS OF $5,000
Is this an oral complaint?	No
Is this a written complaint?	Yes
Is this an arbitration/CFTC reparation or civil litigation?	No

Customer Complaint Information

Date Complaint Received:	03/24/2011

Complaint Pending?	No
Status:	Closed/No Action
Status Date:	04/20/2011
Settlement Amount:	
Individual Contribution Amount:	
Broker Statement	THE CLIENT STATED TO THE FA THAT A CONDO WAS GOING TO BE PURCHASED FOR RENTAL PURPOSES AND THE CLIENT WAS PROVIDED WITH OPTIONS FOR FINANCING ONE OF WHICH WAS TO TAKE A 15 YR MORTGAGE ON THE CLIENT'S EXISTING PROPERTY AND THIS WAS THE OPTION CHOSEN BY THE CLIENT. IN 2005, THE FA DISCUSSED INSURANCE NEEDS WITH BOTH CLIENTS AND THEY HAD NONE. THE FA OFFERED A COUPLE OF OPTIONS REGARDING OBTAINING INSURANCE AND BOTH CLIENTS CHOSE $100K HARTFORD VUL POLICIES. ACCORDING TO OUR REVIEW, ACCOUNT OBJECTIVES, INVESTMENT EXPERIENCE, AGES AT THE TIME OF PURCHASE, AND APPLICATIONS AND ILLUSTRATIONS SIGNED, BOTH POLICIES MET THE CLIENTS' NEEDS AND WERE NOT UNSUITABLE. NO ACTION TAKEN AT THIS TIME.

Disclosure 2 of 2

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	EDWARD JONES
Allegations:	10/14/08-10/28/08; ATTORNEY STATES HIS CLIENT ADVISED THE FA TO SELL INVESTMENTS HELD IN THE ACCOUNT ON 10/14/08. ATTORNEY STATES HIS CLIENTS WERE TOLD THE TRADES WOULD BE MADE THAT DATE AND THE INFORMATION WAS ENTERED IN THE FA'S COMPUTER WHILE THE CLIENTS WERE IN THE OFFICE. ATTORNEY STATES WHEN TRADE CONFIRMATIONS WERE RECEIVED, HIS CLIENTS DISCOVERED SOME OF THE TRADES WERE NOT MADE UNTIL 10/24/08. ATTORNEY STATES HIS CLIENTS RELIED ON THE REPRESENTATION THAT THE TRADES WOULD BE COMPLETED ON 10/14/08 AND REQUESTS COMPENSATION IN THE AMOUNT OF $53,360.18 FOR THE LOSSES THE CLIENTS HAVE INCURRED.
Product Type:	
Alleged Damages:	$53,360.18

Customer Complaint Information

Date Complaint Received:	01/20/2009
Complaint Pending?	No
Status:	Denied
Status Date:	02/23/2009
Settlement Amount:	
Individual Contribution Amount:	
Broker Statement	ACCORDING TO THE FA, HE MET WITH THE CLIENTS ON OCTOBER 14, 2008 AT WHICH TIME HE EXPLAINED THE ADVISORY SOLUTIONS PROGRAM IN DETAIL. HE HAS INDICATED HE RECEIVED INSTRUCTIONS FROM THE

CLIENTS TO SELL THE SHARES OF DELL INC (DELL) AND LORD ABBETT AFFILIATED FUND (LAFFX) HELD IN ACCOUNT NUMBER [ACCT #] AND TO HAVE THE PROCEEDS WIRED FROM THE ACCOUNT. THE REMAINING ASSETS HELD IN THE ACCOUNT WERE TO BE TRANSFERRED TO THE ADVISORY SOLUTIONS ACCOUNT AND SUBSEQUENTLY SOLD. OUR RECORDS REFLECT DELL AND LAFFX WERE SOLD ON OCTOBER 14, 2008 AND THE PROCEEDS WERE WIRED FROM THE ACCOUNT ON OCTOBER 20, 2008. ACCORDING TO OUR RECORDS THE ADVISORY SOLUTIONS ACCOUNT WAS CREATED ON OCTOBER 14, 2008. ON THE SAME DATE, THE CLIENTS SIGNED AN ACCOUNT AUTHORIZATION AND ACKNOWLEDGEMENT FORM, AN EDWARD JONES ADVISORY SOLUTIONS CLIENT AGREEMENT, AND AN ACKNOWLEDGEMENT LETTER. OUR RECORDS REFLECT THE INVESTMENTS WERE TRANSFERRED TO THE NEW ACCOUNT ON OCTOBER 23, 2008 AND SOLD ON OCTOBER 24, 2008. THE PROCEEDS FROM THE TRANSACTIONS WERE REINVESTED, PURSUANT TO THE TERMS OF THE ADVISORY SOLUTIONS ACCOUNT AGREEMENT, ON OCTOBER 28, 2008. AS THE FA EXPLAINED, ALTHOUGH THE CLIENTS MAY HAVE RECEIVED A LOWER PRICE ON THE SELL SIDE OF THE TRANSACTIONS, IT APPEARS THEY WOULD HAVE ALSO PURCHASED AT A LOWER PRICE ON THE BUY SIDE OF THE TRANSACTIONS. FURTHERMORE, IT DOES NOT APPEAR THE FA ADVISED THE CLIENTS THAT ALL TRANSACTIONS WOULD BE COMPLETED ON OCTOBER 14, 2008. CLAIM DENIED.

End of Report

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