



IAPD Report

KARIN LYNN TYSON

CRD# 2595734

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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

KARIN LYNN TYSON (CRD# 2595734)

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 **01/30/2025**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
IA	PRIME CAPITAL FINANCIAL	CRD# 288712	03/08/2022

QUALIFICATIONS

This representative is currently registered in **0** 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
B	PRIVATE CLIENT SERVICES, LLC	120222	Houston, TX	01/14/2022 - 12/09/2024
IA	20/20 CAPITAL MANAGEMENT, INC	281692	Houston, TX	12/07/2015 - 12/31/2022
B	AMERITAS INVESTMENT COMPANY, LLC	14869	HOUSTON, TX	01/18/2007 - 01/31/2022

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 **1** jurisdiction(s) and **0** SRO(s) through his or her employer(s).

Employment 1 of 1

Firm Name: **PRIME CAPITAL FINANCIAL**
Main Address: 6201 COLLEGE BLVD.
SUITE #150
OVERLAND PARK, KS 66211
Firm ID#: 288712

Regulator	Registration	Status	Date
IA Texas	Investment Adviser Representative	Approved	03/08/2022

Branch Office Locations

PRIME CAPITAL FINANCIAL
2600 S Gessner Rd. Ste 315
Houston, TX 77063



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 1 state securities law exam.

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	04/04/1995
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State Securities Law Exams

Exam	Category	Date
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B Uniform Securities Agent State Law Examination (S63)	Series 63	04/24/1995
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PROFESSIONAL DESIGNATIONS

This section details that the representative has reported **2** professional designation(s).

Certified Financial Planner

Chartered Financial Consultant

This representative holds or did hold **2** 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
B	01/14/2022 - 12/09/2024	PRIVATE CLIENT SERVICES, LLC	CRD# 120222	Houston, TX
IA	12/07/2015 - 12/31/2022	20/20 CAPITAL MANAGEMENT, INC	CRD# 281692	Houston, TX
B	01/18/2007 - 01/31/2022	AMERITAS INVESTMENT COMPANY, LLC	CRD# 14869	HOUSTON, TX
IA	01/24/2007 - 10/02/2017	AMERITAS INVESTMENT CORP	CRD# 14869	HOUSTON, TX
IA	01/01/2003 - 12/31/2012	THE AFP GROUP	CRD# 115952	HOUSTON, TX
IA	04/25/1995 - 01/29/2007	ROYAL ALLIANCE ASSOCIATES, INC.	CRD# 23131	HOUSTON, TX
B	04/05/1995 - 01/29/2007	ROYAL ALLIANCE ASSOCIATES, INC.	CRD# 23131	HOUSTON, TX
B	05/24/1995 - 01/25/2007	1717 CAPITAL MANAGEMENT COMPANY	CRD# 4082	HOUSTON, TX
IA	10/25/2002 - 12/31/2002	THE AFP GROUP	CRD# 115952	HOUSTON, 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
02/2022 - Present	Prime Capital Investment Advisors	Investment Advisor Representative	Y	Overland Park, KS, United States
01/2022 - 12/2024	PRIVATE CLIENT SERVICES	REGISTERED REP	Y	HOUSTON, TX, United States
11/2015 - 01/2023	20/20 Capital Management	Shareholder	Y	Costa Mesa, CA, United States
01/2013 - 01/2023	20/20 FINANCIAL ADVISERS HOUSTON	OWNER MEMBER	Y	HOUSTON, TX, United States
01/2007 - 01/2022	AMERITAS INVESTMENT CORP.	REGISTERED REPRESENTATIVE	Y	LINCOLN, NE, United States



Registration & Employment History

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) CHHSZ HOLDINGS, LLC. 6201 COLLEGE BLVD, SUITE #150, OVERLAND PARK, KS 66211. CHHSZ HOLDINGS LLC IS THE SOLE OWNER OF PRIME CAPITAL INVESTMENT ADVISORS, LLC (PCIA) A FEDERALLY REGISTERED INVESTMENT ADVISORY FIRM. MEMBER PROVIDES PROFESSIONAL (INVESTMENT ADVISORY) SERVICES AS AN IAR OF PCIA. 1 HR/MO; 1 DURING TRADING HRS.

2) LIFE, DISABILITY, LONG-TERM INSURANCE AGENT. PROSPECT, DESIGN, SERVICE AND HELP WITH CLAIMS OF LIFE, DISABILITY AND LONG-TERM CARE PLANNING. INSURANCE AGENT. 20 HRS/MO; 1 DURING TRADING HRS.

3) NOTARY. 2600 SOUTH GESSNER RD, #315, HOUSTON, TX 77063. NOTARIZE DOCUMENTS FOR CLIENTS AND FRIENDS (WILLS, ROLLOVERS, ETC). NOTARY. 1 HR/MO; 1 DURING TRADING HRS.

4) SEMINAR INSTRUCTOR. 2600 SOUTH GESSNER RD, #315, HOUSTON, TX 77063. CONDUCT WORKSHOPS TO THE PUBLIC AND CPA'S CONTINUING EDUCATION ON SOCIAL SECURITY AND IRA PLANNING. INSTRUCTOR/PRESENTER OVER ZOOM OR AT THE LOCAL LIBRARY.

5) FUTURE OF FINANCE SCHOLARSHIP FUND. 6201 COLLEGE BLVD, STE 150, OVERLAND PARK, KS 66211. SCHOLARSHIP FUND. BOARD MEMBER TO EVALUATE AND SELECT INDIVIDUAL CANDIDATES FOR SCHOLARSHIP CONSIDERATION AND FOLLOW OUR LEGAL PURPOSE OF THE SCHOLARSHIP FUND. 1 HR/MO; 1 DURING TRADING HRS.

6) MEMORIAL DRIVE PRESBYTERIAN CHURCH. 11612 MEMORIAL DR, HOUSTON, TX 77024. CHURCH. BOARD MEMBER AT LARGE FINANCE COMMITTEE. 2 HRS/MO; 1 DURING TRADING HRS.

7) PCRM LLC. 6201 COLLEGE BLVD, SUITE #150, OVERLAND PARK, KS 66211. FIXED INSURANCE PRODUCTS, INSURANCE AGENT. SALE OF SERVICE OF FIXED INSURANCE PRODUCTS. 20 HR/MO, 5 HR/MO DURING TRADING HRS. EFFECTIVE 12/2022.



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:	Firm
Employing firm when activities occurred which led to the complaint:	ROYAL ALLIANCE ASSOCIATES, INC.
Allegations:	CHURNING; NEGLIGENCE; UNSUITABILITY; VIOLATIONS OF SECTION 27.01 OF THE TEXAS BUSINESS AND COMMERCE BODY; VIOLATION OF TEXAS SECURITIES ACT ARTICLES 581-33 & 581-33-1; VIOLATION OF CHAPTER 541, TEXAS INSURANCE CODE; COMMON LAW FRAUD; BREACH OF FIDUCIARY DUTY; SELF DEALING
Product Type:	Annuity-Fixed Direct Investment-DPP & LP Interests
Alleged Damages:	\$6,870,000.00

Arbitration Information

Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.):	FINRA
Docket/Case #:	11-00947
Date Notice/Process Served:	03/30/2011
Arbitration Pending?	No
Disposition:	Settled
Disposition Date:	11/02/2012
Monetary Compensation Amount:	\$100,000.00



Individual Contribution Amount: \$0.00

Civil Litigation Information

Type of Court: State Court
Name of Court: DISTRICT COURT OF HARRIS COUNTY, TX
Location of Court: HARRIS COUNTY, TX
Docket/Case #: 2010-41121/COURT 165
Date Notice/Process Served: 07/14/2010
Litigation Pending? No
Disposition: Dismissed
Disposition Date: 11/02/2012

Firm Statement ROYAL ALLIANCE HAD PREVIOUSLY SETTLED THIS MATTER FOR \$95,000.
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Reporting Source: Individual
Employing firm when activities occurred which led to the complaint: AFP GROUP

Allegations: CLIENT IS ALLEGING NEGLIGENCE, BREACH OF FIDUCIARY DUTY, FRAUD, FRAUD BY NON-DISCLOSURE, AND STATUTORY FRAUD.

Product Type: Annuity-Fixed
Direct Investment-DPP & LP Interests

Alleged Damages: \$6,870,000.00

Customer Complaint Information

Date Complaint Received:
Complaint Pending? No
Status: Evolved into Civil litigation (the individual is a named party)
Status Date: 03/07/2011

Settlement Amount:

Individual Contribution Amount:

Arbitration Information

Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.): FINRA

Docket/Case #: 11-00947
Date Notice/Process Served: 03/07/2011
Arbitration Pending? No
Disposition: Settled
Disposition Date: 11/02/2012



Monetary Compensation Amount: \$100,000.00

Individual Contribution Amount: \$0.00

Civil Litigation Information

Type of Court: State Court

Name of Court: DISTRICT COURT OF HARRIS COUNTY, TX

Location of Court: HARRIS COUNTY, TX

Docket/Case #: 2010-41121/COURT 165

Date Notice/Process Served: 07/14/2010

Litigation Pending? No

Disposition: Dismissed

Disposition Date: 11/02/2012

Disclosure 2 of 2

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: 1717 CAPITAL MANAGEMENT COMPANY

Allegations: [CUSTOMERS] ALLEGE THE FOUR VARIABLE ANNUITIES THEY PURCHASED (ONE EACH IN MARCH OF 1998 AND ONE EACH IN SEPTEMBER OF 1998) WERE UNSUITABLE.

Product Type: Annuity(ies) - Variable

Alleged Damages: \$27,000.00

Customer Complaint Information

Date Complaint Received: 07/18/2005

Complaint Pending? No

Status: Denied

Status Date: 10/11/2005

Settlement Amount:

Individual Contribution Amount:



End of Report

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