



IAPD Report

JOSE GUADALUPE LONGORIA JR

CRD# 2624333

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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

JOSE GUADALUPE LONGORIA JR (CRD# 2624333)

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 **08/23/2022**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
IA	DYNAMIC	CRD# 151367	03/21/2018

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
IA	OXFORD ASSET MANAGEMENT, LLC	114571	MCALLEN, TX	09/13/2006 - 05/09/2018
B	SWS FINANCIAL SERVICES	17587	EDINBURG, TX	02/21/2007 - 06/02/2009
IA	SWS FINANCIAL SERVICES	17587	EDINBURG, TX	02/20/2007 - 06/02/2009

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
Criminal	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: **DYNAMIC**
Main Address: 2415 EAST CAMELBACK ROAD
SUITE 700
PHOENIX, AZ 85016
Firm ID#: 151367

Regulator	Registration	Status	Date
IA Texas	Investment Adviser Representative	Approved	03/21/2018

Branch Office Locations

DYNAMIC
3827 N 10th STREET
SUITE 104
McALLEN, TX 78501



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 General Securities Representative Examination (S7)	Series 7	11/20/2001
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B Investment Company Products/Variable Contracts Representative Examination (S6)	Series 6	08/21/1995
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State Securities Law Exams

Exam	Category	Date
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IA Uniform Investment Adviser Law Examination (S65)	Series 65	09/01/2006
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B Uniform Securities Agent State Law Examination (S63)	Series 63	08/28/1995
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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	09/13/2006 - 05/09/2018	OXFORD ASSET MANAGEMENT, LLC	CRD# 114571	MCALLEN, TX
B	02/21/2007 - 06/02/2009	SWS FINANCIAL SERVICES	CRD# 17587	EDINBURG, TX
IA	02/20/2007 - 06/02/2009	SWS FINANCIAL SERVICES	CRD# 17587	EDINBURG, TX
B	05/04/2006 - 12/31/2006	AMERICAN GENERAL SECURITIES INCORPORATED	CRD# 13626	EDINBURG, TX
B	07/01/2003 - 05/01/2006	UNITED SECURITIES ALLIANCE, INC.	CRD# 36487	GREENWOOD VILLAGE
B	06/25/2002 - 06/09/2003	SAMMONS SECURITIES COMPANY, LLC	CRD# 115368	ANN ARBOR, MI
B	06/15/2001 - 05/22/2002	RBR SECURITIES, INC.	CRD# 103560	SAN ANTONIO, TX
B	07/15/1997 - 06/04/2001	WOODBURY FINANCIAL SERVICES, INC.	CRD# 421	OAKDALE, MN
B	08/22/1995 - 07/03/1997	WMA SECURITIES, INC.	CRD# 32625	DULUTH, GA

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
03/2018 - Present	DYNAMIC WEALTH ADVISORS	INVESTMENT ADVISOR REPRESENTATIVE	Y	SCOTTSDALE, AZ, United States
11/2006 - 03/2018	OXFORD ASSET MANAGEMENT, LLC	INVESTMENT ADVISOR REPRESENTATIVE	Y	MCALLEN, TX, 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.

MR. LONGORIA IS AN INSURANCE AGENT SINCE 2006; LOCATED AT 3827 N 10TH STREET, SUITE 104 IN McALLEN TX. HE DEDICATES LESS THAN 1 HOUR A MONTH AND OFFERS MOSTLY FIXED PRODUCTS AND TERM LIFE INSURANCE. HE IS COMPENSATED BY RECEIVING COMMISSION FOR THE PRODUCTS SOLD. THIS IS INVESTMENT RELATED.

MR. LONGORIA'S FAMILY OSWNS AND OPERATES EL PERDIDO RANCH WHERE THEY RAISE AND SELL CATTLE. NOT INVESTEMENT 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
Criminal	2

Criminal

This disclosure event involves a criminal charge against the Investment Adviser Representative that has resulted in a dismissal, plea, acquittal or conviction. The criminal matter may relate to any felony or certain misdemeanor offenses (e.g., bribery, perjury, forgery, counterfeiting, extortion, fraud, wrongful taking of property).

Disclosure 1 of 2

Reporting Source: Individual

Organization Name (if charge(s) were brought against an organization over which individual exercised control): N/A

Court Details: THE FIRST JUDICIAL CIRCUIT, JACKSON COUNTY, ILLINOIS-CT-125 & 76-168 EAST ST. LOUIS DISTRICT SHERIFF'S OFFICE MURPHYSBORO, SHERIFF'S OFFICE, BROWNSVILLE, USM EAST SAINT LOUIS. 76-CT-125 & 13-77-321 76-16B

Charge Date: 08/27/1976

Charge Details: I WAS AT THE WRONG PLACE AT THE WRONGTIME AND WAS AROUND SERVERAL POUNDS OF MARIJUANA (CANABIS) AND WAS BUSTED. THE INITAL ARREST WAS THE STATE OF ILLINOIS (MUPHYSBORO). I WAS GIVEN 2YRS PROBATION. THEN ON THE SAME OFFENSE THE FEDERAL COURT IN BROWNSVILLE TX. CAME AND PICKED LME UP AND COVICTED ME AG AGAIN IN EAST SAINT LOUIS & ALSO GOT 2YRS PROBATION.

Felony? Yes

Current Status: Final

Status Date: 03/03/1977

Disposition Details: I WAS CONVICTED OF A FELONY WHICH HAS HAUNTED ME 20YRS. LATERS, EVEN THOUGH I HAVE BEEN A MODEL CITIZEN. I DON'T REMEMBER THE EXACT AMOUNT BUT IT WAS AROUND \$2,000. FINE. I WAS GIVEN TWO YRS. PROBATION ON BOTH THE STATE & THE FEDERAL COUNT. THE REASON I DIDN'T DISCLOSE IT IS BECAUSE I WAS CONVICED UNDER THE YOUTH CORRECTION ACT, IN WHICH I WAS ADVISED BY MY PROBATION OFFICE THAT I DIDN'T HAVE TO DISCLOSE THIS MATTER.



Broker Statement

THE 2 DIFFERENT ARRESTS WERE FOR THE SAME POSSESSION OF MARIJANA. FIRST THE STATE CONVICTED THEN THE FEDERALS CONVICTED, I GUESS YOU COULD CALL IT A DOUBLE JEPORDY BUT IT HAPPENED. I GOT PROBATION FROM THE STATE AND THE FEDERALS. I TERMINATED MY 2 YRS PROBATION EARLY IN ABOUT A YEAR BECAUSE THEY REVIEW WHAT KIND OF PERSON I REALLY WAS. I HOPE THAT THIS UNLUCKY MIS HAP WILL NOT JEPORDIZE MY REGISTRATION WITH THE NASD OR WMA'S ETC.

Disclosure 2 of 2

Reporting Source:

Individual

Organization Name (if charge(s) were brought against an organization over which individual exercised control):

N/A

Court Details:

THE FIRIST JUDICIAL CIRCUIT, JACKSON COUNTY, ILLINOIS
76-CT-125 & 76-16B EAST ST. LOUIS DISTRICT
SHERIFF'S OFFICE MURHYSBORO, SHERIFF'S
OFFICE BROWNSVILLE,USM EAST SAINT LOUIS.
76-CT-125 & B-77-321 76-16-B

Charge Date:

08/27/1976

Charge Details:

1 COURT POSSESSION OF MARIJUANA 0/500 GRAMS. FELONY CHARGE OF WHICH I PLEADED QUILTY AND WAS GIVEN TWO YEARS PROBATION. STATE CHARGED FIRST THEN FEDERAL FOR THE SAME INCIDENT SAME OFFESE. I WAS AT THE WRONG PLACE AT THE WRONGTIME AND WAS AROUND SERVERAL POUNDS OF MARIJUANA (CANABIS) AND WAS BUSTED. THE INITAL ARREST WAS THE STATE OF ILLINOIS (MUPHYSBORO). I WAS GIVEN 2YRS PROBATION. THEN ON THE SAME OFFENSE THE FEDERAL COURT IN BROWNSVILLE TX. CAME AND PICKED LME UP AND COVICTED ME AG AGAIN IN EAST SAINT LOUIS & ALSO GOT 2YRS PROBATION.

Felony?

Yes

Current Status:

Final

Status Date:

03/03/1977

Disposition Details:

I PLEAD GUILTY TO 1 COURT OF MARIJANA POSSESSION AND WAS GIVEN 2YRS PROBATION ON 3-3-77. IWAS OFF PROBATION WITHIN SIX MONTHS. I WAS CONVICTED UNDER THE YOUTH ACT AND MY CONVICTION SET ASIDE UNDER SEC 5021 TITLE 18. I WAS CONVICTED OF A FELONY WHICH HAS HAUNTED ME 20YRS. LATERS, EVEN THOUGH I HAVE BEEN A MODEL CITIZEN. I DON'T REMEMBER THE EXACT AMOUNT BUT IT WAS AROUND \$2,000. FINE. I WAS GIVEN TWO YRS. PROBATION ON BOTH THE STATE & THE FEDERAL COURT. THE REASON I DIDN'T DISCLOSE IT IS BECAUSE I WAS CONVICED UNDER THE YOUTH CORRECTION ACT, IN WHICH I WAS ADVISED BY MY PROBATION OFFICE THAT I DIDN'T HAVE TO DISCLOSE THIS MATTER.

Broker Statement

8-27-76 I WAS ARRESTED FOR POSSESSION OF MARIJUANA BY THE STATE OF ILLINOS. (PROBATION)
11-4-76 FED ARRESSTED ME AGAIN FOR SAME OFFENSE (2 REF. #S. 76-CF-125 & 76-16-B



THE 2 DIFFERENT ARRESTS WERE FOR THE SAME POSSESSION OF MARIJANA. FIRST THE STATE CONVICTED THEN THE FEDERALS CONVICTED, I GUESS YOU COULD CALL IT A DOUBLE JEPORDY BUT IT HAPPENED. I GOT PROBATION FROM THE STATE AND THE FEDERALS. I TERMINATED MY 2 YRS PROBATION EARLY IN ABOUT A YEAR BECAUSE THEY REVIEW WHAT KIND OF PERSON I REALLY WAS. I HOPE THAT THIS UNLUCKY MIS HAP WILL NOT JEPORDIZE MY REGISTRATION WITH THE NASD OR WMA'S ETC



End of Report

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