



## IAPD Report

### JIM BRYAN PULLEY

CRD# 2641009

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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

### **JIM BRYAN PULLEY (CRD# 2641009)**

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 **05/15/2020**.

### **CURRENT EMPLOYERS**

	Firm	CRD#	Registered Since
<b>B</b>	FORTUNE FINANCIAL SERVICES, INC.	CRD# 42150	10/31/2018
<b>IA</b>	PROSPERITY WEALTH MANAGEMENT, INC.	CRD# 174328	01/03/2020

### **QUALIFICATIONS**

This representative is currently registered in **1** SRO(s) and **3** 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>IA</b>	PROSPERITY WEALTH MANAGEMENT, INC.	174328	WICHITA FALLS, TX	11/05/2018 - 12/31/2019
<b>IA</b>	QUESTAR ASSET MANAGEMENT, INC.	133358	WICHITA FALLS, TX	08/27/2010 - 11/20/2018
<b>B</b>	QUESTAR CAPITAL CORPORATION	43100	WICHITA FALLS, TX	08/27/2010 - 11/20/2018

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

#### Employment 1 of 2

Firm Name: **PROSPERITY WEALTH MANAGEMENT, INC.**

Main Address: 2333 SAN RAMON VALLEY BLVD.  
SUITE 200  
SAN RAMON, CA 94583

Firm ID#: 174328

Regulator	Registration	Status	Date
IA Texas	Investment Adviser Representative	Approved	01/03/2020

#### Branch Office Locations

**PROSPERITY WEALTH MANAGEMENT, INC.**

3415 McNeil Ave  
Suite 104  
Wichita Falls, TX 76308

#### Employment 2 of 2

Firm Name: **FORTUNE FINANCIAL SERVICES, INC.**

Main Address: 3582 BROADHEAD ROAD  
SUITE 202  
MONACA, PA 15061

Firm ID#: 42150

Regulator	Registration	Status	Date
B FINRA	General Securities Representative	Approved	10/31/2018
B FINRA	Invest. Co and Variable Contracts	Approved	10/31/2018
B Florida	Agent	Approved	10/31/2018
B Ohio	Agent	Approved	10/31/2018
B Texas	Agent	Approved	10/31/2018



## Qualifications

### Branch Office Locations

3415 McNeil Avenue  
Suite 104  
Wichita Falls, TX 76310

3415 McNeil Avenue  
Suite 104  
Wichita Falls, TX 76308



## 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 2 state securities law exams.**

#### Principal/Supervisory Exams

Exam	Category	Date
 Investment Company Products/Variable Contracts Principal Examination (S26)	Series 26	07/21/1997

#### General Industry/Product Exams

Exam	Category	Date
 Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
 General Securities Representative Examination (S7)	Series 7	03/31/2005
 Investment Company Products/Variable Contracts Representative Examination (S6)	Series 6	08/01/1995

#### State Securities Law Exams

Exam	Category	Date
 Uniform Investment Adviser Law Examination (S65)	Series 65	01/19/2002
 Uniform Securities Agent State Law Examination (S63)	Series 63	08/01/1995

### 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	11/05/2018 - 12/31/2019	PROSPERITY WEALTH MANAGEMENT, INC.	CRD# 174328	WICHITA FALLS, TX
IA	08/27/2010 - 11/20/2018	QUESTAR ASSET MANAGEMENT, INC.	CRD# 133358	WICHITA FALLS, TX
B	08/27/2010 - 11/20/2018	QUESTAR CAPITAL CORPORATION	CRD# 43100	WICHITA FALLS, TX
IA	12/18/2006 - 08/20/2010	EAGLE STRATEGIES LLC	CRD# 110826	WICHITA FALLS, TX
B	08/18/2006 - 08/20/2010	NYLIFE SECURITIES LLC	CRD# 5167	WICHITA FALLS, TX
B	08/02/1995 - 08/29/2006	PRUCO SECURITIES, LLC.	CRD# 5685	WICHITA FALLS, TX
IA	08/02/1995 - 08/29/2006	PRUDENTIAL FINANCIAL PLANNING SERVICES	CRD# 5685	WICHITA FALLS, 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
11/2018 - Present	PROSPERITY WEALTH MANAGEMENT, INC.	INVESTMENT ADVISORY REPRESENTATIVE	Y	SAN RAMON, CA, United States
10/2018 - Present	Fortune Financial Services, Inc.	registered representative	Y	Monaca, PA, United States
09/2010 - Present	PULLEY INSURANCE & FINANCIAL SERVICE	INSURANCE AGENT	Y	WICHITA FALLS, TX, United States
08/2010 - 10/2018	QUESTAR ASSET MANAGEMENT	REGISTERED INVESTMENT ADVISOR	Y	MINNEAPOLIS, MN, United States
08/2010 - 10/2018	QUESTAR CAPITAL CORPORATION	REGISTERED REPRESENTATIVE	Y	MINNEAPOLIS, MN, 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 PULLEY INSURANCE & FINANCIAL SERVICE.

POSITION: Agent. NATURE: Insurance Agent. INVESTMENT RELATED: Yes NUMBER OF HOURS: 120 SECURITIES TRADING HOURS: 120 START DATE: 09/01/2010

ADDRESS: 3415 McNiel Ave, Suite 104, Wichita Falls TX 76308, United States

DESCRIPTION: Sales and service of life insurance products.

2 RENTAL PROPERTY.

POSITION: Landlord. NATURE: Rent a home to our niece and her family. INVESTMENT RELATED: No NUMBER OF HOURS: 6 SECURITIES TRADING HOURS: 0 START DATE: 08/26/2013

ADDRESS: 331 Hays St, Ada OH 45810, United States

DESCRIPTION: Pay taxes and insurance.

3 JIM B PULLEY.

POSITION: Author. NATURE: Authored "Love, Loneliness, Abuse and Murder." INVESTMENT RELATED: No NUMBER OF HOURS: 4 SECURITIES TRADING HOURS: 4 START DATE: 09/23/2013

ADDRESS: 3415 McNiel Ave, Suite 104, Wichita Falls TX 76308, United States

DESCRIPTION: Marketing sales of book.

4 PULLEY INSURANCE & FINANCIAL SERVICE.

POSITION: Agent. NATURE: Work with attorneys and CPA's who identify clients for whom trust owned life insurance may be appropriate. Premium Financing is offered through a variety of providers. I use NIW out of Dallas, TX. INVESTMENT RELATED: No NUMBER OF HOURS: 2 SECURITIES TRADING HOURS: 2 START DATE: 06/21/2017

ADDRESS: 3415 McNiel Ave, Suite 104, Wichita Falls TX 76308, United States

DESCRIPTION: Explain the life product to the clients, and service the accounts whenever necessary. Client reviews, assist with requests for life insurance related data.

5 IAR with Prosperity Wealth Management



## 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	1

### 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 1

<b>Reporting Source:</b>	Individual
<b>Employing firm when activities occurred which led to the complaint:</b>	PRUCO SECURITIES
<b>Allegations:</b>	REGARDING THE 1998 PURCHASE OF A TRADITIONAL LIFE INSURANCE POLICY, THE CLIENT ALLEGED, "...BECAUSE MY HUSBAND NEVER EVEN SIGNED THE CONTRACT. HE WAS NOT AT THE OFFICE WHEN JIM CAME BY WITH THE PAPERS TO SIGN. JIM LET [REDACTED]SIGN THEM INSTEAD."
<b>Product Type:</b>	Insurance
<b>Alleged Damages:</b>	\$0.00

### Customer Complaint Information

<b>Date Complaint Received:</b>	06/30/1999
<b>Complaint Pending?</b>	No
<b>Status:</b>	Settled
<b>Status Date:</b>	10/18/1999
<b>Settlement Amount:</b>	\$5,295.00
<b>Individual Contribution Amount:</b>	\$0.00
<b>Broker Statement</b>	THE COMPANY WILL RESCIND THE POLICIES AND RETURN THE TOTAL PREMIUMS PAID TO THE CLIENT (ESTIMATED SETTLEMENT COST: \$5,295.00). THIS MATTER IS BEING REPORTED CONSISTENT WITH NASDR RULES PERTAINING TO THE REPORTING OF CERTAIN WRITTEN CUSTOMER COMPLAINTS. THE COMPANY BY THIS FILING MAKES NO



ALLEGATIONS REGARDING THE ACTIONS OF THE REPRESENTATIVE.



## End of Report

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