



IAPD Report

JAMES MICHAEL FRAWLEY

CRD# 2867752

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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

JAMES MICHAEL FRAWLEY (CRD# 2867752)

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 **11/25/2025**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	LPL FINANCIAL LLC	CRD# 6413	04/23/2004
IA	WESTSIDE INVESTMENT MANAGEMENT, LLC	CRD# 154522	08/31/2010

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **40** 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	LPL FINANCIAL LLC	6413	SANTA MONICA, CA	04/16/2004 - 04/28/2011
IA	AMERICAN EXPRESS FINANCIAL ADVISORS, INC.	6363	WOODLAND HILLS, CA	12/15/1997 - 04/29/2004
B	AMERICAN EXPRESS FINANCIAL ADVISORS INC.	6363	MINNEAPOLIS, MN	07/28/1997 - 04/29/2004

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 **40** 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	04/23/2004
B	FINRA	General Securities Principal	Approved	07/02/2007
B	Alabama	Agent	Approved	06/03/2021
B	Arizona	Agent	Approved	01/22/2008
B	California	Agent	Approved	04/23/2004
B	Colorado	Agent	Approved	05/12/2004
B	Connecticut	Agent	Approved	01/29/2020
B	District of Columbia	Agent	Approved	01/16/2013
B	Florida	Agent	Approved	02/02/2012
B	Georgia	Agent	Approved	12/03/2014
B	Hawaii	Agent	Approved	05/12/2004
B	Idaho	Agent	Approved	05/04/2011
B	Illinois	Agent	Approved	06/21/2017



Qualifications

Regulator	Registration	Status	Date
B Indiana	Agent	Approved	09/02/2009
B Kansas	Agent	Approved	01/12/2015
B Louisiana	Agent	Approved	12/05/2014
B Maine	Agent	Approved	03/02/2011
B Maryland	Agent	Approved	10/30/2013
B Massachusetts	Agent	Approved	09/16/2011
B Michigan	Agent	Approved	01/13/2012
B Minnesota	Agent	Approved	04/28/2023
B Missouri	Agent	Approved	03/02/2011
B Montana	Agent	Approved	02/04/2020
B Nebraska	Agent	Approved	11/26/2013
B Nevada	Agent	Approved	05/05/2009
B New Jersey	Agent	Approved	02/19/2013
B New Mexico	Agent	Approved	05/20/2009
B New York	Agent	Approved	02/16/2011
B North Carolina	Agent	Approved	08/31/2009
B North Dakota	Agent	Approved	02/18/2025
B Ohio	Agent	Approved	02/28/2011
B Oklahoma	Agent	Approved	09/11/2009



Qualifications

Regulator	Registration	Status	Date
B Oregon	Agent	Approved	08/25/2004
B Pennsylvania	Agent	Approved	09/06/2017
B South Carolina	Agent	Approved	09/09/2009
B South Dakota	Agent	Approved	06/23/2017
B Tennessee	Agent	Approved	09/23/2024
B Texas	Agent	Approved	05/03/2007
B Vermont	Agent	Approved	01/03/2019
B Virginia	Agent	Approved	07/23/2009
B Washington	Agent	Approved	07/24/2009
B Wyoming	Agent	Approved	04/23/2004

Branch Office Locations

LPL FINANCIAL LLC
 2444 WILSHIRE BLVD #303
 SANTA MONICA, CA 90403

LPL FINANCIAL LLC
 10900 HEFNER POINTE DR STE 502
 OKLAHOMA CITY, OK 73120-5006

LPL FINANCIAL LLC
 33 LONO AVE STE 345
 KAHULUI, HI 96732

Employment 2 of 2

Firm Name: **WESTSIDE INVESTMENT MANAGEMENT, LLC**
 Main Address: 2444 WILSHIRE BLVD
 SUITE 303
 SANTA MONICA, CA 90403
 Firm ID#: 154522

Regulator	Registration	Status	Date
IA California	Investment Adviser Representative	Approved	08/31/2010



Qualifications

Regulator	Registration	Status	Date
IA Hawaii	Investment Adviser Representative	Approved	11/07/2011
IA Oklahoma	Investment Adviser Representative	Approved	11/30/2012
IA Texas	Investment Adviser Representative	Restricted Approval	09/07/2010

Branch Office Locations

WESTSIDE INVESTMENT MANAGEMENT, LLC
2444 WILSHIRE BOULEVARD
SUITE 303
SANTA MONICA, CA 90403




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


Principal/Supervisory Exams

Exam	Category	Date
 General Securities Principal Examination (S24)	Series 24	06/30/2007

General Industry/Product Exams

Exam	Category	Date
 Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
 General Securities Representative Examination (S7)	Series 7	04/28/1997

State Securities Law Exams

Exam	Category	Date
 Uniform Securities Agent State Law Examination (S63)	Series 63	05/05/1997

PROFESSIONAL DESIGNATIONS

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

Chartered Financial Consultant

This representative holds or did hold 1 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
IA	04/16/2004 - 04/28/2011	LPL FINANCIAL LLC	CRD# 6413	SANTA MONICA, CA
IA	12/15/1997 - 04/29/2004	AMERICAN EXPRESS FINANCIAL ADVISORS, INC.	CRD# 6363	WOODLAND HILLS, CA
B	07/28/1997 - 04/29/2004	AMERICAN EXPRESS FINANCIAL ADVISORS INC.	CRD# 6363	MINNEAPOLIS, MN
B	07/28/1997 - 04/29/2004	IDS LIFE INSURANCE COMPANY	CRD# 6321	MINNEAPOLIS, MN

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
04/2022 - Present	Westside Investment Management, LLC	OSJ Managing Partner Advisor Owner	Y	Santa Monica, CA, United States
01/2015 - Present	WESTSIDE INVESTMENT MANAGEMENT, INC.	Investment Adviser Representative	Y	WESTCHESTER, CA, United States
04/2004 - Present	LPL FINANCIAL, LLC	Registered Representative	Y	WESTCHESTER, CA, 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.

- 7/28/2004 - No Business Name - NON-VARIABLE INSURANCE - INV REL - At Reported Business Location(s)
- 1/2/2015: Westside Investment Management, S Corp - DBA FOR LPL BUSINESS (ENTITY FOR LPL BUSINESS) - WESTSIDE INVESTMENT MANAGEMENT, INC. - INVESTMENT RELATED - Start 01/01/15 - 2444 Wilshire Blvd Suite 303 Santa Monica CA 90403 - Fee based advice and investing - 120 HOURS PER MONTH/4 HOURS DURING TRADING - SANTA MONICA, CA.
- 1/23/2015: Westside Investment Management, Inc. - REGISTERED INVESTMENT ADVISOR HYBRID - (Hybrid) Westside Investment Management, Inc. - INV REL - Start 01/01/2015 - 2444 Wilshire Blvd.. Suite 303, Santa Monica, CA 90403 - James Frawley is an investment advisor with Westside Investment Management, Inc. = S corp (from an LLC) - we are an existing business with LPL - 0 Hr/Mo
- 4/28/2017 - TAD HOLDINGS LLC - Investment Related - Tucson, AZ - Real Estate Rental - Start 05/30/17 - 1 Hour Per Month/0 Hours During Securities Trading.
- 8/7/2018 - TAD II Holdings - Investment Related - Phoenix, AZ - Real Estate Rental - Start Date:09/25/2018 - 1 Hours Per Month/0 Hours During Trading.



Registration & Employment History



OTHER BUSINESS ACTIVITIES

6. 10/8/2018 - Tad Pro Inc. - Not Investment Related -At Reported Business Location(s) - Business Entity For Tax/Investment Purposes Only - Start Date:10/01/2018 - 0 Hours Per Month/0 Hours During Trading.

7. 07/23/2019 - No business name - Investment related - At reported business location(s) - Non-Variable Insurance - start date:07/01/2019 - 1 hr/mo - 0 hrs during trading.

8. 08/31/2021 - TAD III Holdings LLC - Investment Related - Tucson, AZ - Real Estate Rental - Start Date: 09/30/2021 - 1 Hour Per Month/0 Hours During Securities Trading - TAD III Holdings LLC set up to buy a new apartment building.

9. 02/08/2022 - Westside Investment Management, LLC - Investment Related - At Reported Business Location(s) - DBA for LPL Business (entity for LPL business) - Start Date: 02/07/2022 - 38 Hours Per Month/4 Hours During Securities Trading.

10. 03/03/2022 - Frawley Capital Management, Inc. - Investment Related - At Reported Business Location(s) - DBA for LPL Business (entity for LPL business) - Start Date - 02/01/2022 - 1 Hours Per Month/0 Hours During Securities Trading.

11. 3/23/2023 - TAD IV Holdings, LLC - Investment Related - Tucson AZ 85713 - Real Estate Rental - Start Date - 05/01/2023 - 1 Hours Per Month/0 Hours During Securities Trading



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:	Individual
Regulatory Action Initiated By:	INSURANCE COMMISSIONER STATE OF CALIFORNIA
Sanction(s) Sought:	Revocation
Date Initiated:	05/01/2000
Docket/Case Number:	SAC 9771-AP
Employing firm when activity occurred which led to the regulatory action:	AMERICAN EXPRESS
Product Type:	No Product
Allegations:	The State of California alleged that Mr. Frawley did not accurately make all required disclosures on his life insurance license renewal application.
Current Status:	Final
Resolution:	Stipulation and 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:	07/10/2000
Sanctions Ordered:	Other: Restricted license issued subject to review after period of two years. Monetary penalty of \$100 assessed.
Broker Statement	Mr. Frawley mistakenly did not disclose an expunged case on his California



insurance license renewal application. Upon being notified of the deficiency, Mr. Frawley promptly submitted all required documentation to the State. As a result, a new restricted license was issued, subject to review after two years. On expiration of the review period, being the subject of no issues or complaints, Mr. Frawley was granted a full active license.



End of Report

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