



## IAPD Report

# BARRY DEWAYNE OXFORD

CRD# 2949375

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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

### BARRY DEWAYNE OXFORD (CRD# 2949375)

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 **02/28/2024**.

### CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
IA	COPPELL ADVISORY SOLUTIONS LLC	CRD# 156549	02/28/2024

### 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	PL WEALTH ADVISORS, LLC	170887	TEMPLETON, CA	11/01/2021 - 05/17/2023
IA	PROSPERITY ECONOMICS PARTNERS, LLC	148122	Templeton, CA	08/29/2019 - 02/11/2021
B	ARIVE CAPITAL MARKETS	8060	STATEN ISLAND, NY	08/07/2013 - 03/19/2015

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
Customer Dispute	3



## 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: **COPPELL ADVISORY SOLUTIONS LLC**  
Main Address: 9111 CYPRESS WATERS BLVD SUITE 140  
DALLAS, TX 75019  
Firm ID#: 156549

Regulator	Registration	Status	Date
 California	Investment Adviser Representative	Approved - Pending IAR CE	01/01/2026

### Branch Office Locations

**COPPELL ADVISORY SOLUTIONS LLC**  
524 South Main St.  
Templeton, CA 93465




## 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
	General Securities Principal Examination (S24)	Series 24	06/28/2001

#### General Industry/Product Exams

	Exam	Category	Date
	Securities Industry Essentials Examination (SIE)	SIE	03/19/2015
	Investment Company Products/Variable Contracts Representative Examination (S6)	Series 6	08/13/2012
	General Securities Representative Examination (S7)	Series 7	03/12/2001

#### State Securities Law Exams

	Exam	Category	Date
	Uniform Investment Adviser Law Examination (S65)	Series 65	07/06/2019
	Uniform Securities Agent State Law Examination (S63)	Series 63	12/04/2012

### 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	11/01/2021 - 05/17/2023	PL WEALTH ADVISORS, LLC	CRD# 170887	TEMPLETON, CA
IA	08/29/2019 - 02/11/2021	PROSPERITY ECONOMICS PARTNERS, LLC	CRD# 148122	Templeton, CA
B	08/07/2013 - 03/19/2015	ARIVE CAPITAL MARKETS	CRD# 8060	STATEN ISLAND, NY
B	10/26/2012 - 07/22/2013	NDX TRADING, INC.	CRD# 39940	NEW BRIGHTON, MN
IA	01/28/2002 - 01/27/2003	SENTRA SECURITIES CORP	CRD# 10249	PASO ROBLES, CA
B	06/16/1998 - 01/27/2003	SENTRA SECURITIES CORPORATION	CRD# 10249	PHOENIX, AZ
B	11/13/1997 - 08/31/1998	INTERSECURITIES, INC.	CRD# 16164	PHILADELPHIA, PA

### 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
02/2024 - Present	Coppell Advisory Solutions LLC	Investment Advisory Representative	Y	Coppell, TX, United States
10/2017 - Present	BD Oxford Financial, Inc. DBA: Secure Retirement Solutions	Insurance	N	Templeton, CA, United States
02/2015 - Present	J.D. Mellberg Financial, LLC	Contracted/Licensed Insurance Agent	N	Tucson, AZ, United States
08/2019 - 02/2022	PROSPERITY ECONOMICS PARTNERS	Investment Adviser Representative	Y	MT. ENTERPRISE, TX, United States
04/2011 - 10/2017	SENIOR ESTATE MANAGEMENT/SECURE RETIREMENT SOL	INSURANCE AGENT	N	TEMPLETON, CA, 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) SENIOR ESTATE MANAGEMENT GROUP/SECURE RETIREMENT SOLUTIONS: INDEPENDENT AGENT SELLING FIXED & FIXED INDEXED ANNUITIES, LIFE INSURANCE, LTC, GROUP AND INDIVIDUAL HEALTH PRODUCTS, 50 HRS/WK, COMPENSATION VARIABLE. LIVING TRUSTS THROUGH JW HARROTT, ESQ, 10-Mo. HRS/MO, COMPENSTATON VARIES. PACIFIC WEST: AGENT LIFE SETTLEMENTS, 10 YR, COMPENSATION <10,000/YR.

2) J.D. Mellberg Financial, LLC. Non-investment related business - 3067 W. Ina Road, Suite 105 Tucson, AZ 85741 - Insurance Agency/Emphasis on annuities - Contracted/Licensed Insurance Agent - Start date 02/2015 - Present - 20-30 hours per week and during trading hours.



## 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
Customer Dispute	3

### 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:** Regulator

**Regulatory Action Initiated By:** CALIFORNIA DEPARTMENT OF CORPORATIONS

**Sanction(s) Sought:** Cease and Desist

**Date Initiated:** 11/15/1999

**Docket/Case Number:** enf

**URL for Regulatory Action:**

**Employing firm when activity occurred which led to the regulatory action:**

**Product Type:** Investment Contract

**Allegations:** DESIST AND REFRAIN ORDERS WERE ISSUED AGAINST THIS INDIVIDUAL FOR VIOLATIONS OF CALIFORNIA CORPORATIONS CODE SECTIONS 25110, SALE OF AN UNQUALIFIED SECURITY; AND 25401, SALE OF A SECURITY BY MEANS OF A COMMUNICATION WHICH INCLUDES A MATERIAL MISREPRESENTATION OR OMISSION. THESE ORDERS WERE BASED ON THE OFFER AND/OR SALE BY THIS INDIVIDUAL OF PROMISSORY NOTES ISSUED BY FIRST LENDERS INDEMNITY CORPORATION OF FLORIDA, BOSTON ACCEPTANCE COMPANY, DBA FIRST LENDERS INDEMNITY COMPANY OF CALIFORNIA, JONATHON PIERPONT BOSTON, FKA JOHN R. MARSELLA, SHIRLEY FAINO, FKA SHIRLEY MARSELLA, AND/OR JIM CUNNINGHAM. THE DEPARTMENT OF CORPORATIONS HAS DETERMINED THAT SUCH PROMISSORY NOTES ARE SECURITIES FOR WHICH NO EXEMPTION FROM QUALIFICATION APPLIES, AND THAT THE ISSUANCE OF SUCH ORDER/ORDERS IS IN THE PUBLIC INTEREST.



<b>Current Status:</b>	Final
<b>Resolution:</b>	Order
<b>Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct?</b>	Yes
<b>Resolution Date:</b>	11/15/1999
<b>Sanctions Ordered:</b>	Cease and Desist
<b>Regulator Statement</b>	DESIST AND REFRAIN ORDER ISSUED.
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<b>Reporting Source:</b>	Individual
<b>Regulatory Action Initiated By:</b>	DEPARTMENT OF CORPORATIONS STATE OF CALIFORNIA
<b>Sanction(s) Sought:</b>	Other: DESIST AND REFRAIN ORDER
<b>Date Initiated:</b>	11/17/1999
<b>Docket/Case Number:</b>	FILE #ALPHA
<b>Employing firm when activity occurred which led to the regulatory action:</b>	I WAS NOT REGISTERED WITH ANY BROKER DEALER WHEN ACTIVITY OCCURED.
<b>Product Type:</b>	Promissory Note Other: PROMISSORY NOTES ISSUED BY FIRST LENDERS INDEMNITY CORP. "FLIC"
<b>Allegations:</b>	FLIC AND THE TRUST INDENTURE BANK(S) FAILED IN THEIR CAPACITY TO PROTECT NOTE PURCHASES. I SETTLED A CIVIL ACTION THROUGH US BANKRUPTCY COURT TRUSTEE DENIS M. MURPHY TO PAY BACK COMMISSIONS EARNED. CASE# SA9716576-RA. STIPULATION FOR DISMISSAL HAS BEEN FILED ON THIS CASE. I AM CURRENTLY A PART OF A CIVIL ACTION OF WHICH BANK ONE IS/HAS NAMED ME A DEFENDANT THERE. CURRENTLY IN NO DISPOSITION ON THE BANK ONE CIVIL ACTION.
<b>Current Status:</b>	Final
<b>Resolution:</b>	CEASE AND REFRAIN ORDER
<b>Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct?</b>	Yes
<b>Resolution Date:</b>	11/17/1999
<b>Sanctions Ordered:</b>	Other: CEASE AND REFRAIN ORDER.
<b>Broker Statement</b>	BANK ONE IS/WAS THE TRUST INDENTURE FOR NOTES SAID BY FLIC. BANK ONE HAS JOINED THE AGENTS IN A CIVIL ACTIONS. FLIC HAS FILED BANKRUPTCY OF WHICH IS CLOSE TO FINALIZED AND PAYMENT HAS BEGUN TO BE MADE TO NOTE HOLDERS. BANK ONE IS A HOLD OUT AND THIS CIVIL ACTION CAN CONTINUE FOR YEARS. I WAS NOT CHARGED



WITH ANY CRIMIAL ACTIONS BUT I HAVE PARTICIPATED FULLY IN THE CIVIL ACTIONS IN AN EFFORT TO ASSIST THE COURT IN RETURNING THE NOTE HOLDERS FUNDS. I DID SETTLE WITH THE BANKRUPTCY COURT.



## 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 3

<b>Reporting Source:</b>	Firm
<b>Employing firm when activities occurred which led to the complaint:</b>	SENTRA SECURITIES CORPORATION
<b>Allegations:</b>	CLAIMANT ALLEGES REPRESENTATIVE MADE UNSUITABLE RECOMMENDATIONS AND FAILED TO DIVERSIFY HIS PORTFOLIO.
<b>Product Type:</b>	Mutual Fund(s)
<b>Alleged Damages:</b>	\$260,939.33

## Customer Complaint Information

<b>Date Complaint Received:</b>	04/25/2005
<b>Complaint Pending?</b>	No
<b>Status:</b>	Arbitration/Reparation
<b>Status Date:</b>	04/25/2005
<b>Settlement Amount:</b>	
<b>Individual Contribution Amount:</b>	

## Arbitration Information

<b>Arbitration/Reparation Claim filed with and Docket/Case No.:</b>	NASDDR NO. 05-01585
<b>Date Notice/Process Served:</b>	04/25/2005
<b>Arbitration Pending?</b>	No
<b>Disposition:</b>	Settled
<b>Disposition Date:</b>	04/18/2006
<b>Monetary Compensation Amount:</b>	\$115,000.00
<b>Individual Contribution Amount:</b>	\$0.00
<b>Firm Statement</b>	AS MR. OXFORD WAS NOT NAMED IN THE CAPTION OF THIS ARBITRATION CASE, IT APPEARS THAT THE INITIAL ELECTRONIC U-5 FILING IN THIS MATTER WAS NOT REQUIRED. THIS INADVERTANT FILING SHOULD NOT BE DEEMED PARTICULARLY SALIENT AS MR. OXFORD HAS NOT BEEN IN THE INDUSTRY FOR SEVERAL YEARS.

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<b>Reporting Source:</b>	Individual
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**Employing firm when activities occurred which led to the complaint:** SENTRA SECURITIES CORP.

**Allegations:** 2001/2002 MARKET DECLINE CLIENTS WERE HIGHLY DIVERSIFIED CONSISTENT WITH RISK TOLERANCES. CLIENT DID NOT FOLLOW MY REALLOCATION RECOMMENDATIONS AND CONTINUED TO TAKE LARGE MONTHLY SYSTEMATIC WITHDRAWALS WHICH ACCELERATED THEIR LOSSES.

**Product Type:** Annuity-Variable  
Mutual Fund

**Alleged Damages:** \$800,000.00

**Is this an oral complaint?** No

**Is this a written complaint?** Yes

**Is this an arbitration/CFTC reparation or civil litigation?** Yes

**Arbitration/Reparation forum or court name and location:** NASDDR

**Docket/Case #:** 05-01585

**Filing date of arbitration/CFTC reparation or civil litigation:** 04/25/2005

### Customer Complaint Information

**Date Complaint Received:** 04/25/2005

**Complaint Pending?** No

**Status:** Settled

**Status Date:** 04/18/2006

**Settlement Amount:** \$115,000.00

**Individual Contribution Amount:** \$0.00

### Arbitration Information

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

**Docket/Case #:** 05-01585

**Date Notice/Process Served:** 04/25/2005

**Arbitration Pending?** No

**Disposition:** Settled

**Disposition Date:** 04/18/2006

**Monetary Compensation Amount:** \$115,000.00

**Individual Contribution Amount:** \$0.00

**Disclosure 2 of 3**

**Reporting Source:** Firm

**Employing firm when activities occurred which led to the complaint:** SENTRA SECURITIES CORPORATION

**Allegations:** CLAIMANT ALLEGES UNSUITABILITY AND EXCESSIVE COMMISSIONS.

**Product Type:** Annuity(ies) - Variable

**Alleged Damages:** \$800,000.00

**Customer Complaint Information**

**Date Complaint Received:** 05/24/2004

**Complaint Pending?** No

**Status:** Arbitration/Reparation

**Status Date:** 05/24/2004

**Settlement Amount:**

**Individual Contribution Amount:**

**Arbitration Information**

**Arbitration/Reparation Claim filed with and Docket/Case No.:** NASDDR #04-03599

**Date Notice/Process Served:** 05/24/2004

**Arbitration Pending?** No

**Disposition:** Settled

**Disposition Date:** 03/29/2005

**Monetary Compensation Amount:** \$136,500.00

**Individual Contribution Amount:** \$0.00

**Reporting Source:** Individual

**Employing firm when activities occurred which led to the complaint:** SENTRA SECURITIES CORP.

**Allegations:** 2001/2002 MARKET DECLINE. CLIENTS WERE HIGHLY DIVERSIFIED CONSISTANT WITH RISK TOLERANCES. CLIENTS DID NOT FOLLOW RECOMMENDATIONS AND CONTINUED TO TAKE LARGE SYSTEMATIC WITHDRAWALS WHICH ACCELERATED LOSSES.

**Product Type:** Annuity-Variable  
Mutual Fund

**Alleged Damages:** \$800,000.00

**Is this an oral complaint?** No

**Is this a written complaint?** Yes

**Is this an arbitration/CFTC** Yes

**reparation or civil litigation?**

**Arbitration/Reparation forum  
or court name and location:** NASDDR

**Docket/Case #:** 04-03599

**Filing date of  
arbitration/CFTC reparation  
or civil litigation:** 05/24/2004

**Customer Complaint Information**

**Date Complaint Received:** 05/24/2001

**Complaint Pending?** No

**Status:** Settled

**Status Date:** 03/29/2005

**Settlement Amount:** \$136,500.00

**Individual Contribution  
Amount:** \$0.00

**Arbitration Information**

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

**Docket/Case #:** 04-03599

**Date Notice/Process Served:** 05/24/2004

**Arbitration Pending?** No

**Disposition:** Settled

**Disposition Date:** 03/29/2005

**Monetary Compensation  
Amount:** \$136,500.00

**Individual Contribution  
Amount:** \$0.00

**Disclosure 3 of 3**

**Reporting Source:** Firm

**Employing firm when  
activities occurred which led  
to the complaint:** SENTRA SECURITIES CORPORATION

**Allegations:** ALLEGATIONS THAT REP FAILED TO RESPOND TO CUSTOMER'S INQUIRIES REGARDING ACCOUTN AND FAILED TO DISCLOSE FEES.

**Product Type:** Annuity(ies) - Variable

**Alleged Damages:** \$109,000.00

**Customer Complaint Information**

**Date Complaint Received:** 04/23/2003

**Complaint Pending?** No

**Status:** Denied



**Status Date:** 05/29/2003

**Settlement Amount:**

**Individual Contribution  
Amount:**





## End of Report

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