IAPD Report

JOHN K WESSELS

CRD# 2950145

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

JOHN K WESSELS (CRD# 2950145)

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 **07/09/2021**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
IA	COPPELL ADVISORY SOLUTIONS LLC	CRD# 156549	10/02/2020

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	MML INVESTORS SERVICES, LLC	10409	SYRACUSE, NY	05/22/2015 - 06/09/2015
B	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	7691	NEW YORK, NY	11/12/2009 - 07/23/2013
B	NORTHWESTERN MUTUAL INVESTMENT SERVICES, LLC	2881	COMMACK, NY	02/08/2002 - 11/16/2009

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
Regulatory Event	1
Customer Dispute	1
Judgment/Lien	12

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
IA	Texas	Investment Adviser Representative	Approved	10/02/2020

Branch Office Locations

COPPELL ADVISORY SOLUTIONS LLC
800 Bering Drive
Suite 310
Houston, TX 77057

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, 3 general industry/product exams, and 3 state securities law exams.

Principal/Supervisory Exams

	Exam	Category	Date
	No information reported.		

General Industry/Product Exams

	Exam	Category	Date
B	Securities Industry Essentials Examination (SIE)	SIE	06/09/2015
B	General Securities Representative Examination (S7)	Series 7	08/30/2006
B	Investment Company Products/Variable Contracts Representative Examination (S6)	Series 6	02/07/2002

State Securities Law Exams

	Exam	Category	Date
IA	Uniform Investment Adviser Law Examination (S65)	Series 65	08/28/2020
IA B	Uniform Combined State Law Examination (S66)	Series 66	12/29/2006
B	Uniform Securities Agent State Law Examination (S63)	Series 63	01/28/2002

PROFESSIONAL DESIGNATIONS

This section details that the representative has reported **0** professional designation(s).

No information reported.

Only professional designations listed in Question 8 of the Form U4 will appear in this section if the appropriate box is checked and verified by the issuing organization at the time of the filing. Learn more about eligible designations at IARD and NASAA.

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	05/22/2015 - 06/09/2015	MML INVESTORS SERVICES, LLC	CRD# 10409	SYRACUSE, NY
B	11/12/2009 - 07/23/2013	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	CRD# 7691	NEW YORK, NY
B	02/08/2002 - 11/16/2009	NORTHWESTERN MUTUAL INVESTMENT SERVICES, LLC	CRD# 2881	COMMACK, NY
B	02/08/2002 - 02/12/2002	ROBERT W. BAIRD & CO. INCORPORATED	CRD# 8158	MILWAUKEE, WI

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
10/2020 - Present	FUSION CAPITAL MANAGEMENT	INVESTMENT ADVISOR REPRESENTATIVE	Y	HOUSTON, TX, United States
01/2017 - Present	Wessels Financial Services	General Agent	Y	Houston, TX, United States
08/2015 - 12/2016	UNEMPLOYED	UNEMPLOYED	N	HOUSTON, TX, 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.

1)Insurace life and annuity sales. 2) Investment related 3)Agent and owner 4)Began in 2017 5)80 hours/week

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	1
Judgment/Lien	12

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:	NEW YORK STATE DEPARTMENT OF FINANCIAL SERVICES
Sanction(s) Sought:	Monetary Penalty other than Fines Other: CIVIL PENALTY
Date Initiated:	11/21/2011
Docket/Case Number:	CSB-2009-656433
Employing firm when activity occurred which led to the regulatory action:	BANK OF AMERICA, NA
Product Type:	Other: EQUITY-INDEXED
Allegations:	ALLEGED THAT THE REGISTERED REP SOLICITED, SOLD AND DELIVERED IN THE STATE OF NEW YORK ANNUITY CONTRACTS ISSUED BY ALLIANZ LIFE INSURANCE COMPANY, AN UNAUTHORIZED ISSUER, AND OTHERWISE AIDED AND FACILITATED ALLIANZ IN DOING AN INSURANCE BUSINESS IN THAT STATE.
Current Status:	Final
Resolution:	STIPULATION

Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct?	No
Resolution Date:	10/21/2013
Sanctions Ordered:	Monetary Penalty other than Fines
Monetary Sanction 1 of 1	
Monetary Related Sanction:	Monetary Penalty other than Fines
Total Amount:	$8,500.00
Portion Levied against individual:	$8,500.00
Payment Plan:	
Is Payment Plan Current:	
Date Paid by individual:	10/18/2013
Was any portion of penalty waived?	No
Amount Waived:	

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

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED
Allegations:	THE CUSTOMER ALLEGES MISREPRESENTATION.
Product Type:	Annuity-Charitable
Alleged Damages:	$47,937.00
Is this an oral complaint?	No
Is this a written complaint?	Yes
Is this an arbitration/CFTC reparation or civil litigation?	No

Customer Complaint Information

Date Complaint Received:	07/06/2011
Complaint Pending?	No
Status:	Settled
Status Date:	11/07/2011
Settlement Amount:	$30,000.00
Individual Contribution Amount:	$0.00

Judgment/Lien

This disclosure event involves an unsatisfied and outstanding judgment or lien against the Investment Adviser Representative.

Disclosure 1 of 12

Reporting Source:	Individual
Judgment/Lien Holder:	New York State Tax Commission
Judgment/Lien Amount:	$18,349.64
Judgment/Lien Type:	Tax
Date Filed with Court:	07/13/2015
Date Individual Learned:	08/20/2018
Type of Court:	State Court
Name of Court:	Onondaga County, New York Clerk
Location of Court:	401 Montgomery St, Syracuse, NY 13202
Docket/Case #:	2015-00006886
Judgment/Lien Outstanding?	Yes

Disclosure 2 of 12

Reporting Source:	Individual
Judgment/Lien Holder:	Internal Revenue Service
Judgment/Lien Amount:	$102,891.81
Judgment/Lien Type:	Tax
Date Filed with Court:	04/13/2015
Date Individual Learned:	08/20/2018
Type of Court:	State Court
Name of Court:	Onondaga County, New York Clerk
Location of Court:	401 Montgomery St, Syracuse, NY 13202
Docket/Case #:	2005-00000099
Judgment/Lien Outstanding?	Yes

Disclosure 3 of 12

Reporting Source:	Individual
Judgment/Lien Holder:	New York State Tax Commission
Judgment/Lien Amount:	$23,716.76
Judgment/Lien Type:	Tax
Date Filed with Court:	04/13/2015
Date Individual Learned:	08/20/2018
Type of Court:	State Court
Name of Court:	Onondaga County, New York Clerk

Location of Court:	401 Montgomery St, Syracuse, NY 13202
Docket/Case #:	2015-00003840
Judgment/Lien Outstanding?	Yes

Disclosure 4 of 12

Reporting Source:	Individual
Judgment/Lien Holder:	Internal Revenue Service
Judgment/Lien Amount:	$504,184.73
Judgment/Lien Type:	Tax
Date Filed with Court:	07/06/2016
Date Individual Learned:	08/20/2018
Type of Court:	State Court
Name of Court:	Onondaga County, New York Clerk
Location of Court:	401 Montgomery St, Syracuse, NY 13202
Docket/Case #:	2016-00000229
Judgment/Lien Outstanding?	Yes

Disclosure 5 of 12

Reporting Source:	Individual
Judgment/Lien Holder:	Internal Revenue Service
Judgment/Lien Amount:	$40,812.32
Judgment/Lien Type:	Tax
Date Filed with Court:	07/11/2018
Date Individual Learned:	08/20/2018
Type of Court:	State Court
Name of Court:	Onondaga County, New York Clerk
Location of Court:	401 Montgomery St, Syracuse, NY 13202
Docket/Case #:	2018-00013566
Judgment/Lien Outstanding?	Yes

Disclosure 6 of 12

Reporting Source:	Individual
Judgment/Lien Holder:	IRS
Judgment/Lien Amount:	$268,937.00
Judgment/Lien Type:	Tax
Date Filed with Court:	04/10/2013
Date Individual Learned:	01/15/2015

Type of Court:	State Court
Name of Court:	NASSAU COUNTY CLERK
Location of Court:	MINEOLA, NY
Docket/Case #:	FT150395
Judgment/Lien Outstanding?	Yes

Disclosure 7 of 12

Reporting Source:	Individual
Judgment/Lien Holder:	IRS
Judgment/Lien Amount:	$104,569.00
Judgment/Lien Type:	Tax
Date Filed with Court:	01/13/2010
Date Individual Learned:	01/15/2015
Type of Court:	State Court
Name of Court:	SUFFOK COUNTY CLERK
Location of Court:	RIVERHEAD, NY
Docket/Case #:	FED00007189
Judgment/Lien Outstanding?	Yes

Disclosure 8 of 12

Reporting Source:	Individual
Judgment/Lien Holder:	JUDY ARONICA
Judgment/Lien Amount:	$193,201.00
Judgment/Lien Type:	Civil
Date Filed with Court:	10/30/2013
Date Individual Learned:	01/15/2015
Type of Court:	Federal Court
Name of Court:	SUFFOLK COUNTY SUPREME COURT
Location of Court:	RIVERHEAD, NY
Docket/Case #:	910725SQ322
Judgment/Lien Outstanding?	Yes

Disclosure 9 of 12

Reporting Source:	Individual
Judgment/Lien Holder:	NEW YORK STATE DEPARTMENT OF TAX AND FINANCE
Judgment/Lien Amount:	$17,670.00
Judgment/Lien Type:	Tax
Date Filed with Court:	11/18/2014

Date Individual Learned:	01/15/2015
Type of Court:	STATE OF NY DEPT OF TAXATION
Name of Court:	STATE OF NEW YORK DEPT OF TAXATION
Location of Court:	ALBANY NY
Docket/Case #:	E918912540W0208
Judgment/Lien Outstanding?	Yes

Disclosure 10 of 12

Reporting Source:	Individual
Judgment/Lien Holder:	NYS DEPARTMENT OF TAX AND FINANCE
Judgment/Lien Amount:	$27,740.00
Judgment/Lien Type:	Tax
Date Filed with Court:	02/08/2010
Date Individual Learned:	01/15/2015
Type of Court:	NY STATE DEPT OF TAXATION & FINANCE
Name of Court:	NY STATE DEPT OF TAXATION & FINANCE
Location of Court:	ALBANY NY
Docket/Case #:	E918912541W0011
Judgment/Lien Outstanding?	Yes

Disclosure 11 of 12

Reporting Source:	Individual
Judgment/Lien Holder:	DISCOVER BANK
Judgment/Lien Amount:	$5,746.99
Judgment/Lien Type:	Civil
Date Filed with Court:	08/14/2013
Date Individual Learned:	01/15/2015
Type of Court:	SUPREME COURT OF THE STATE OF NEW YORK
Name of Court:	SUPREME COURT OF THE STATE OF NEW YORK
Location of Court:	ONONDAGA NY
Docket/Case #:	2013-2156
Judgment/Lien Outstanding?	Yes
Broker Statement	WORKING WITH AGENCY TO REPAY BALANCE.

Disclosure 12 of 12

Reporting Source:	Individual
Judgment/Lien Holder:	INTERNAL REVENUE SERVICE
Judgment/Lien Amount:	$232,467.92

Judgment/Lien Type:	Tax
Date Filed with Court:	09/11/2009
Date Individual Learned:	02/26/2013
Type of Court:	State Court
Name of Court:	SUFFOLK COUNTY COURT
Location of Court:	RIVERHEAD, NY
Docket/Case #:	LFED0006001
Judgment/Lien Outstanding?	Yes
Resolution:	Satisfied
Broker Statement	ORIGINALLY THOUGHT LIEN WAS SATISFIED ON 2/26/2013 BASED ON CREDIT REPORT STATUS. HOWEVER WHEN OBTAINING THE SATISFACTION PAPERWORK IT WAS FOUND THAT THE LIEN WAS ONLY SATISFIED ON BEHALF OF MY EX WIFE JUDITH ARONICA WESSELS. WILL CONTINUE TO WORK WITH TAX FIRM FOR RESOLUTION.

End of Report

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