



IAPD Report

CHARLES B JAMES

CRD# 4208929

<u>Section Title</u>	<u>Page(s)</u>
Report Summary	1
Qualifications	2 - 4
Registration and Employment History	5
Disclosure Information	6



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

CHARLES B JAMES (CRD# 4208929)

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 **03/06/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	&PARTNERS	CRD# 3767	02/27/2026
IA	&PARTNERS	CRD# 3767	02/27/2026

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **14** 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	WELLS FARGO ADVISORS	19616	SUMTER, SC	01/01/2008 - 03/03/2026
B	WELLS FARGO CLEARING SERVICES, LLC	19616	SUMTER, SC	01/01/2008 - 03/03/2026
B	A. G. EDWARDS & SONS, INC.	4	SUMTER, SC	08/10/2000 - 01/03/2008

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

Employment 1 of 1

Firm Name: **&PARTNERS**
Main Address: 40 BURTON HILLS BLVD
SUITE 350
NASHVILLE, TN 37215
Firm ID#: 3767

	Regulator	Registration	Status	Date
B	FINRA	General Securities Representative	Approved	02/27/2026
B	California	Agent	Approved	02/27/2026
B	Florida	Agent	Approved	03/03/2026
B	Georgia	Agent	Approved	03/03/2026
B	Louisiana	Agent	Approved	02/27/2026
B	Maine	Agent	Approved	02/27/2026
B	Maryland	Agent	Approved	02/27/2026
B	Missouri	Agent	Approved	02/27/2026
B	Montana	Agent	Approved	02/27/2026
B	North Carolina	Agent	Approved	02/27/2026
B	Ohio	Agent	Approved	02/27/2026
B	Oregon	Agent	Approved	02/27/2026
B	South Carolina	Agent	Approved	02/27/2026



Qualifications

Regulator	Registration	Status	Date
IA South Carolina	Investment Adviser Representative	Approved	02/27/2026
B Texas	Agent	Approved	03/03/2026
IA Texas	Investment Adviser Representative	Restricted Approval	03/03/2026
B Virginia	Agent	Approved	02/27/2026

Branch Office Locations

&PARTNERS
10 Miller Rd
Sumter, SC 29150




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 Sales Supervisor - Options Module Examination (S9)	Series 9	11/13/2008

General Industry/Product Exams

Exam	Category	Date
 Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
 General Securities Representative Examination (S7)	Series 7	08/09/2000

State Securities Law Exams

Exam	Category	Date
  Uniform Combined State Law Examination (S66)	Series 66	10/05/2000

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	01/01/2008 - 03/03/2026	WELLS FARGO ADVISORS	CRD# 19616	SUMTER, SC
B	01/01/2008 - 03/03/2026	WELLS FARGO CLEARING SERVICES, LLC	CRD# 19616	SUMTER, SC
B	08/10/2000 - 01/03/2008	A. G. EDWARDS & SONS, INC.	CRD# 4	SUMTER, SC
IA	12/04/2001 - 01/01/2008	A. G. EDWARDS & SONS, INC.	CRD# 4	SUMTER, SC

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
02/2026 - Present	&PARTNERS	Financial Advisor	Y	Nashville, TN, United States
11/2016 - 02/2026	WELLS FARGO CLEARING SERVICES, LLC	REGISTERED REP	Y	SUMTER, SC, United States
05/2009 - 11/2016	WELLS FARGO ADVISORS LLC	REGISTERED REP	Y	SUMTER, SC, 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.

THE SUMTER WATEREE CLUB; NOT INV RELATED; WEDGEFIELD, SC; SECRETARY/TREASURER; 05/2025; 2 HOURS PER MONTH; 0 DURING TRADING; TIMBERLAND AND RECREATION |

5J FARMS LLC

POSITION: Owner

NATURE: LLC that is owned by myself 50% and my wife, Rebecca W James, 50%. LLC owns 107 acres of timber land.

INVESTMENT RELATED: Yes

NUMBER OF HOURS: 2 SECURITIES TRADING HOURS: 0 START DATE: 03/14/2025

ADDRESS: Summerton, SC 29148, United States

DESCRIPTION: Owner 50%



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	2

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 2

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	WELLS FARGO ADVISORS LLC
Allegations:	PLAINTIFF ALLEGES THAT THE FA ALLOWED DECEDENT AND HIS WIFE TO OPEN A JOINT ACCOUNT FROM WHICH THE WIFE PROCEEDED TO MAKE UNAUTHORIZED WITHDRAWALS BEGINNING 2009. **ARBITRATION: CLAIMANT ALLEGES THAT THE FA ALLOWED DECEDENT AND HIS WIFE TO OPEN A JOINT ACCOUNT FROM WHICH THE WIFE PROCEEDED TO MAKE UNAUTHORIZED WITHDRAWALS BEGINNING 2009.
Product Type:	Equity Listed (Common & Preferred Stock)
Alleged Damages:	\$0.00
Alleged Damages Amount Explanation (if amount not exact):	LITIGATION: PLAINTIFF SEEKS DAMAGES IN AN AMOUNT TO BE DETERMINED AT TRIAL, BUT A GOOD FAITH BELIEF EXISTS THAT THE CLAIMED DAMAGES ARE IN EXCESS OF \$5,000.**ARBITRATION: CLAIMANT SEEKS DAMAGES IN AN AMOUNT TO BE DETERMINED, BUT A GOOD FAITH BELIEF EXISTS THAT THE CLAIMED DAMAGES ARE IN EXCESS OF \$5,000.
Arbitration Information	
Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.):	FINRA
Docket/Case #:	15-00235
Date Notice/Process Served:	02/10/2015
Arbitration Pending?	No



Disposition: Award to Customer

Disposition Date: 10/24/2016

Monetary Compensation Amount: \$5,987.75

Individual Contribution Amount: \$0.00

Civil Litigation Information

Type of Court: State Court

Name of Court: BEFORE THE COURT OF COMMON PLEAS FOR THE THIRD JUDICIAL CIRCUIT, STATE OF SOUTH CAROLINA, COUNTY OF SUMTER

Location of Court: STATE OF SOUTH CAROLINA, COUNTY OF SUMTER

Docket/Case #: 2013-CP43-1888

Date Notice/Process Served: 10/28/2013

Litigation Pending? No

Disposition: Other: ARBITRATION SERVED ON 02/10/2015

Disposition Date: 02/10/2015

Broker Statement After a full hearing a majority of the Panel found liability solely against WFA and not against the registered rep. The majority of the Panel awarded damages in the amount \$5,987.75 and also awarded interest on \$5,987.75 calculated from 1/30/2015 to 10/24/2016. One Panel member dissented and would have awarded no damages.

Disclosure 2 of 2

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: A.G. EDWARDS & SONS, INC.

Allegations: ALLEGED MISREPRESENTATION OR MISLEADING INFORMATION AND UNSUITABLE RECOMMENDATIONS. ** CUSTOMER'S ALLEGED DAMAGE AMOUNT EQUALS THE PURCHASE AMOUNT. THE LOSS AMOUNT, IF ANY, IS BELIEVED TO BE LESS THAN \$5,000.**

Product Type: Debt - Corporate

Other Product Type(s): LIMITED PARTNERSHIP

Alleged Damages: \$30,000.00

Customer Complaint Information

Date Complaint Received: 08/04/2004

Complaint Pending? No

Status: Closed/No Action

Status Date: 08/25/2005

Settlement Amount:

Individual Contribution Amount:



Broker Statement

BEFORE INVESTING I DISCLOSED ALL DETAILS AND THE SUITABILITY REQUIREMENTS OF THE PRODUCT. THE CLIENT REPRESENTED AND WARRANTED THAT HE HAD RECEIVED AND READ A PROSPECTUS BY SIGNING AND INITIALING THE SUBSCRIPTION AGREEMENT, AND MET THE NET WORTH REQUIREMENTS TO DO SO. AT NO POINT DURING OUR MEETING WAS THE CLIENT GIVEN A PUBLIC TRADING PRICE, WHEN AND IF THE REIT BEGAN TRADING PUBLICLY.

UPON REVIEW OF THE CLIENT'S ACCOUNT AND ITS PAST HOLDINGS, THE CLIENT HAS OFTEN PURCHASED NOT ONLY AGGRESSIVE INVESTMENTS BUT ALSO SPECULATIVE INVESTMENTS. IN MY OPINION AND A. G. EDWARDS, THE CLIENT'S PURCHASE WAS ADEQUATELY EXPLAINED.



End of Report

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