



IAPD Report

JAMES D DAVIS JR

CRD# 4222532

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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

JAMES D DAVIS JR (CRD# 4222532)

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 **12/16/2025**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
IA	INDEPENDENT FINANCIAL PARTNERS	CRD# 125112	11/10/2016
B	IFP SECURITIES, LLC	CRD# 297287	05/22/2019

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **17** 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	LPL FINANCIAL LLC	6413	FRANKLIN, TN	04/14/2010 - 05/23/2019
IA	LPL FINANCIAL LLC	6413	FRANKLIN, TN	04/19/2010 - 03/22/2017
IA	VALIC FINANCIAL ADVISORS, INC.	42803	BRENTWOOD, TN	12/11/2008 - 04/27/2010

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

Employment 1 of 2

Firm Name: **IFP SECURITIES, LLC**
Main Address: 3030 NORTH ROCKY POINT DRIVE WEST,
SUITE 700
TAMPA, FL 33607
Firm ID#: 297287

	Regulator	Registration	Status	Date
B	FINRA	General Securities Principal	Approved	05/22/2019
B	FINRA	General Securities Representative	Approved	05/22/2019
B	FINRA	Invest. Co and Variable Contracts	Approved	05/22/2019
B	Alabama	Agent	Approved	06/12/2019
B	Connecticut	Agent	Approved	04/03/2020
B	Florida	Agent	Approved	06/21/2019
B	Georgia	Agent	Approved	06/14/2019
B	Kansas	Agent	Approved	06/24/2019
B	Michigan	Agent	Approved	06/21/2019
B	Mississippi	Agent	Approved	07/09/2019
B	Missouri	Agent	Approved	06/24/2019
B	Ohio	Agent	Approved	06/24/2019
B	Oklahoma	Agent	Approved	06/14/2019



Qualifications

Regulator	Registration	Status	Date
B Pennsylvania	Agent	Approved	10/23/2025
B South Carolina	Agent	Approved	10/15/2019
B South Dakota	Agent	Approved	01/17/2023
B Tennessee	Agent	Approved	05/22/2019
B Texas	Agent	Approved	11/08/2021
B Virginia	Agent	Approved	06/14/2019
B Washington	Agent	Approved	09/03/2024

Branch Office Locations

611 N. Main Street
Ste D
Columbia, TN 38401

Employment 2 of 2

Firm Name: **INDEPENDENT FINANCIAL PARTNERS**
Main Address: 3030 NORTH ROCKY POINT DRIVE WEST
SUITE 700
TAMPA, FL 33607
Firm ID#: 125112

Regulator	Registration	Status	Date
IA Tennessee	Investment Adviser Representative	Approved	11/10/2016

Branch Office Locations

INDEPENDENT FINANCIAL PARTNERS
611 N. Main Street
Columbia, TN 38401




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	04/11/2011

General Industry/Product Exams

	Exam	Category	Date
	Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
	General Securities Representative Examination (S7)	Series 7	02/17/2010
	Investment Company Products/Variable Contracts Representative Examination (S6)	Series 6	09/20/2000

State Securities Law Exams

	Exam	Category	Date
	Uniform Investment Adviser Law Examination (S65)	Series 65	11/19/2008
	Uniform Securities Agent State Law Examination (S63)	Series 63	10/17/2000

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
B	04/14/2010 - 05/23/2019	LPL FINANCIAL LLC	CRD# 6413	FRANKLIN, TN
IA	04/19/2010 - 03/22/2017	LPL FINANCIAL LLC	CRD# 6413	FRANKLIN, TN
IA	12/11/2008 - 04/27/2010	VALIC FINANCIAL ADVISORS, INC.	CRD# 42803	BRENTWOOD, TN
B	08/11/2008 - 04/27/2010	VALIC FINANCIAL ADVISORS, INC.	CRD# 42803	BRENTWOOD, TN
IA	03/26/2004 - 08/11/2008	LPL FINANCIAL CORPORATION	CRD# 6413	NASHVILLE, TN
B	09/22/2000 - 08/11/2008	LPL FINANCIAL CORPORATION	CRD# 6413	NASHVILLE, TN

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
05/2019 - Present	IFP Securities, LLC	Registered Representative	Y	Franklin, TN, United States
11/2016 - Present	Independent Financial Partners	Investment Advisor Representative	Y	Brentwood, TN, United States
04/2010 - 05/2019	LPL FINANCIAL, LLC	REGISTERED REPRESENTATIVE	Y	BRENTWOOD, TN, 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) 04/13/2010: No Business Name - Non-Variable Insurance - Investment Related - At Reported Business Location(s) - 10% Time Spent - Sale of Fixed Insurance Products

(2) Grow Live Give; DBA; Investment Related; 330 Mallory Station Ed, Ste A-2, Franklin, TN 37067; Owner; Providing education, advice, financial goal-oriented planning, investment management for a fee, sale of ETFs, Mutual Funds, Individual Equities for commission; Start 12/14/2020; 140 hrs/mo, 120 hrs/mo during trading.

(3) James Davis; Fixed Insurance; Non-Variable Insurance; 330 Mallory Station Rd, Ste A-2, Franklin, TN; 37067; Agent; All duties relate to Fixed Insurance: Gathering of personal/financial information, retrieving and distributing illustrations via IFP Insurance Group; Start 12/14/20; 15 hrs/mo, 15 hrs/mo during trading.



Registration & Employment History



OTHER BUSINESS ACTIVITIES

- (4) Zion Presbyterian Church Finance Committee; 2322 Zion Road, Columbia, TN 38401; Not Investment Related; Non Profit 501(c)(3); Board Member; 2/17/2022; Review the church's financial information with the board and give recommendations to the church on financial matters. 1 hr/mo, 0 hr/mo during trading hours
- (5) NORCARLA, LLC - not investment related - 915 MONUMENT RD SUMMERTOWN, TN 38483 - Land consulting, land clearing , Land development - Limited Partner - start date 3/1/2024 - 1 hour/month - This is a business that my son-in-law, Cam McAulay, is buying. I am funding the purchase and will be a silent partner in the LLC that owns the business. I will not have any day-to-day activities.
- (6) Zion Christina Academy - not investment related - 6901 Old Zion Rd. Columbia, TN 38401 - K-12 school - teacher - start date 8/6/2025 - 20 hours/month - 8 hours/month during trading - Geometry teacher



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:	IFP SECURITIES, LLC
Allegations:	Customer filed a FINRA arbitration claim received by the firm on Oct 25, 2022. The claim alleges breaches of state law, fiduciary duty, contract law and a general failure to disclose risk parameters surrounding an investment in a GWG "L Bonds". The subject investment at issue has filed for Federal Bankruptcy protection under Chapter 11 (re-organization). Internal investigation of facts surrounding allegations was completed on approximately Dec 12th 2022, noting that the term of the bond(s) in question and associated risks were appropriately reflected in person and via documentation provided to the client. Customer requests rescission of investment(s) (100K) and compensatory damages. Ascertainment of alleged actual damages is impossible until Chapter 11 proceedings are completed. Both firm and representative deny the claim(s) and intend to rigorously contest the matter.
Product Type:	Debt-Corporate
Alleged Damages:	\$100,000.00
Alleged Damages Amount Explanation (if amount not exact):	Customer requests rescission of investment plus unspecified compensatory damages
Is this an oral complaint?	No
Is this a written complaint?	No
Is this an arbitration/CFTC reparation or civil litigation?	Yes



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

Docket/Case #: 22-01719

**Filing date of
arbitration/CFTC reparation
or civil litigation:** 09/21/2022

Customer Complaint Information

Date Complaint Received: 10/25/2022

Complaint Pending? No

Status: Settled

Status Date: 11/20/2023

Settlement Amount: \$42,000.00

**Individual Contribution
Amount:** \$0.00

Broker Statement Without admitting or denying the allegations, respondent and firm agreed to settle the claim to avoid court costs.

Disclosure 2 of 2

Reporting Source: Individual

**Employing firm when
activities occurred which led
to the complaint:** IFP SECURITIES, LLC

Allegations: Customer filed a FINRA arbitration claim received by the firm on Oct 28, 2022. The claim alleges breaches of fiduciary duty and contract plus violations of various FINRA Rules including 2010, 2120, 2111.05(a), 3110 and general failure to disclose risk parameters surrounding an investment in a GWG "L Bonds". The subject investment at issue has filed for Federal Bankruptcy protection under Chapter 11 (re-organization). Internal investigation of facts surrounding allegations was completed on approximately Dec 4th 2022, noting that the term of the bond(s) in question and associated risk parameters were appropriately reflected in person and via documentation provided to the client. Customer requests rescission of investment(s) (250K) and compensatory damages. Ascertainment of alleged actual damages is impossible until Chapter 11 proceedings are completed. Both firm and representative deny the claim(s) and intend to rigorously contest the matter.

Product Type: Debt-Corporate

Alleged Damages: \$250,000.00

**Alleged Damages Amount
Explanation (if amount not
exact):** Claim is seeking rescission of investment plus unspecified loss of income/compensatory damages.

Is this an oral complaint? No

Is this a written complaint? No

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



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

Docket/Case #: 22-01693

**Filing date of
arbitration/CFTC reparation
or civil litigation:** 07/28/2022

Customer Complaint Information

Date Complaint Received: 08/12/2022

Complaint Pending? No

Status: Settled

Status Date: 10/16/2023

Settlement Amount: \$125,000.00

**Individual Contribution
Amount:** \$0.00

Broker Statement Without admitting or denying the allegations, respondent and firm agreed to settle the claim to avoid court costs.



End of Report

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