



IAPD Report

JAMES MERLE WEISS

CRD# 4505490

<u>Section Title</u>	<u>Page(s)</u>
Report Summary	1
Qualifications	2 - 3
Registration and Employment History	4 - 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

JAMES MERLE WEISS (CRD# 4505490)

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 **02/05/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
IA	WEISS FINANCIAL GROUP, LLC	CRD# 301501	04/10/2019

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	ELITE RETIREMENT PLANNING, LLC	297942	JOHNSTON, IA	08/20/2018 - 04/03/2019
IA	GLOBAL FINANCIAL PRIVATE CAPITAL, LLC	132070	JOHNSTON, IA	12/02/2011 - 08/22/2018
IA	INVESTMENT ADVISORS CORP	117531	JOHNSTON, IA	08/31/2009 - 12/14/2011

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
Criminal	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: **WEISS FINANCIAL GROUP, LLC**
Main Address: DES MOINES, IA
Firm ID#: 301501

Regulator	Registration	Status	Date
IA Iowa	Investment Adviser Representative	Approved	04/10/2019

Branch Office Locations

WEISS FINANCIAL GROUP, LLC
Johnston, IA



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 2 state securities law exams.

Principal/Supervisory Exams

Exam	Category	Date
B Investment Company Products/Variable Contracts Principal Examination (S26)	Series 26	01/13/2003

General Industry/Product Exams

Exam	Category	Date
B General Securities Representative Examination (S7)	Series 7	04/19/2004
B Investment Company Products/Variable Contracts Representative Examination (S6)	Series 6	03/14/2002

State Securities Law Exams

Exam	Category	Date
IA Uniform Investment Adviser Law Examination (S65)	Series 65	02/22/2005
B Uniform Securities Agent State Law Examination (S63)	Series 63	04/14/2003

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	08/20/2018 - 04/03/2019	ELITE RETIREMENT PLANNING, LLC	CRD# 297942	JOHNSTON, IA
IA	12/02/2011 - 08/22/2018	GLOBAL FINANCIAL PRIVATE CAPITAL, LLC	CRD# 132070	JOHNSTON, IA
IA	08/31/2009 - 12/14/2011	INVESTMENT ADVISORS CORP	CRD# 117531	JOHNSTON, IA
B	08/28/2009 - 12/14/2011	BROKER DEALER FINANCIAL SERVICES CORP.	CRD# 8073	JOHNSTON, IA
IA	02/25/2005 - 07/07/2008	PRINCOR FINANCIAL SERVICES CORPORATION	CRD# 1137	DES MOINES, IA
B	04/09/2003 - 07/07/2008	PRINCOR FINANCIAL SERVICES CORPORATION	CRD# 1137	DES MOINES, IA
B	03/15/2002 - 03/21/2003	NEW ENGLAND SECURITIES	CRD# 615	NEW YORK, NY

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
04/2019 - Present	JW Elite Insurance, LLC	President, Secretary, And Insurance Agent	Y	Johnston, IA, United States
04/2019 - Present	Weiss Financial Group, LLC	President, Secretary, Member And CCO	Y	Johnston, IA, United States
04/2019 - Present	Weiss Financial Group, LLC	Investment Adviser Representative	Y	Johnston, IA, United States
08/2018 - 04/2019	Elite Retirement Planning, LLC	Investment Adviser Representative	Y	JOHNSTON, IA, United States
06/2018 - 04/2019	Elite Retirement Planning, LLC	Member and CCO	Y	JOHNSTON, IA, United States
06/2018 - 04/2019	WMF Insurance, LLC	President, Secretary, And Insurance Agent	Y	JOHNSTON, IA, United States
07/2009 - 04/2019	Weiss-Merkle Financial, LLC	President and Secretary	Y	JOHNSTON, IA, United States
12/2011 - 07/2018	GLOBAL FINANCIAL PRIVATE CAPITAL	INVESTMENT ADVISER REPRESENTATIVE	Y	SARASOTA, FL, 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.

Owner of JW Elite Holdings, Inc. This is a holding company which owns JW Elite Financial, LLC (a Branding Company), JW Elite Insurance, LLC (an Insurance Agency), JW Elite Real Estate and Weiss Financial Group, LLC. Approximately 30% of time is spent outside of Weiss Financial Group, LLC.



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
Criminal	3

Criminal

This disclosure event involves a criminal charge against the Investment Adviser Representative that has resulted in a dismissal, plea, acquittal or conviction. The criminal matter may relate to any felony or certain misdemeanor offenses (e.g., bribery, perjury, forgery, counterfeiting, extortion, fraud, wrongful taking of property).

Disclosure 1 of 3

Reporting Source:	Individual
Formal Charges were brought in:	State Court
Name of Court:	POLK COUNTY, STATE OF IOWA
Location of Court:	DES MOINES, IOWA
Docket/Case #:	05771 FECR361198
Charge Date:	07/15/2022
Charge(s) 1 of 1	
Formal Charge(s)/Description:	Dismissed
No of Counts:	1
Felony or Misdemeanor:	Felony
Plea for each charge:	Not Guilty
Disposition of charge:	Dismissed
Date of Amended Charge:	11/05/2025
Charge was Amended or reduced to:	Dismissed by court
Amended No of Counts:	1
Amended Charge:	Felony
Amended Plea:	Dismissed by the courts
Disposition of Amended Charge:	Dismissed
Current Status:	Final



Status Date: 11/05/2025
Disposition Date: 11/05/2025
Sentence/Penalty: Dismissed by court.

Disclosure 2 of 3

Reporting Source: Individual
Formal Charges were brought in: State Court
Name of Court: POLK COUNTY, STATE OF IOWA
Location of Court: DES MOINES, IOWA
Docket/Case #: 05771 FECR357986
Charge Date: 04/02/2022
Charge(s) 1 of 1
Formal Charge(s)/Description: Dismissed by the courts
No of Counts: 1
Felony or Misdemeanor: Felony
Plea for each charge: Not Guilty
Disposition of charge: Dismissed
Date of Amended Charge: 11/05/2025
Charge was Amended or reduced to: Dismissed
Amended No of Counts: 1
Amended Charge: Felony
Amended Plea: Dismissed
Disposition of Amended Charge: Dismissed
Current Status: Final
Status Date: 11/05/2025
Disposition Date: 11/05/2025
Sentence/Penalty: Dismissed by the courts.

Disclosure 3 of 3

Reporting Source: Individual
Court Details: STATE OF IOWA, PLAINTIFF, V. JAMES M. WEISS, DEFENDANT.
CASE NO. CR16927
STORY COUNTY, IN AMES IOWA.
Charge Date: 05/19/1991
Charge Details: 1.ONE 2.FELONY BURGLARY IN THE SECOND DEGREE WAS AMENDED TO THEFT IN THE 5TH DEGREE-A SIMPLE MISDEMEANOR 3.PLEAD GUILTY TO



THEFT IN THE 5TH DEGREE- A SIMPLE MISDEMEANOR 4.N/A

Felony? Yes

Current Status: Final

Status Date: 11/11/1991

Disposition Details: A. FELONY BURGLARY IN THE SECOND DEGREE WAS AMENDED TO THEFT IN THE 5TH DEGREE-A SIMPLE MISDEMEANOR IN VIOLATION OF SECTIONS 714.1(4) AND 714.2(5)IOWA CODE(1991)
B.5/19/1991
C. N/A
D. N/A
E. N/A
F. \$100.00
G. 11/12/1991

Broker Statement I WAS OBSERVED BY OFFICERS OF THE AMES POLICE DEPT. DRIVING IN A SUSPICIOUS MANNOR. THE ABOVE WAS STOPPED BY OFFICERS AND UPON LOOKING IN THE VEHICLE FROM THE OUTSIDE A RADIO WAS OBSERVED BY OFFICERS. THE ABOVE AND TWO OTHER PERSON IN THE VEHICLE ADVISED THAT THE RADIO WAS PURCHASED FROM ANOTHER PERSON FOR \$100.00. FAMILY OF THE SUPPOSED SELLER OF THE RADIO WAS CONTACTED HOWEVER THE STORY OF THE SALE OF THE RADIO COULD NOT BE SUBSTANTIATED. THE OFFICERS BELIEVED THAT THE RADIO HAD BEEN RECENTLY STOLEN AND NOT REPORTED THE THEFT DUE TO LACK OF KNOWLEDGE.



End of Report

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