



IAPD Report

JAMES HENRY PERRY

CRD# 4612862

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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 HENRY PERRY (CRD# 4612862)

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 **08/03/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	LPL FINANCIAL LLC	CRD# 6413	09/12/2014
IA	GATEWAY WEALTH PARTNERS, LLC	CRD# 322789	04/10/2026

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **9** 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	INVISTA ADVISORS	282899	MONTGOMERY, AL	07/08/2016 - 09/01/2025
IA	LPL FINANCIAL LLC	6413	AUBURN, AL	01/29/2015 - 07/07/2016
IA	FINANCIAL TELESIS, INC.	31012	BIRMINGHAM, AL	06/16/2011 - 12/10/2014

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



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

Employment 1 of 2

Firm Name: **GATEWAY WEALTH PARTNERS, LLC**
Main Address: 100 W. LAWRENCE STREET
SUITE 304
APPLETON, WI 54911
Firm ID#: 322789

	Regulator	Registration	Status	Date
IA	Alabama	Investment Adviser Representative	Approved	04/10/2026

Branch Office Locations

GATEWAY WEALTH PARTNERS, LLC
8116 Old Federal Road
Suite C
Montgomery, AL 36117

Employment 2 of 2

Firm Name: **LPL FINANCIAL LLC**
Main Address: 1055 LPL WAY
FORT MILL, SC 29715
Firm ID#: 6413

	Regulator	Registration	Status	Date
B	FINRA	General Securities Representative	Approved	09/12/2014
B	Alabama	Agent	Approved	09/12/2014
B	California	Agent	Approved	04/18/2023
B	Florida	Agent	Approved	05/20/2016
B	Georgia	Agent	Approved	09/12/2014
B	Kansas	Agent	Approved	04/18/2023



Qualifications

Regulator	Registration	Status	Date
B Michigan	Agent	Approved	02/26/2015
B New York	Agent	Approved	04/27/2015
B North Carolina	Agent	Approved	10/20/2015
B Oregon	Agent	Approved	11/29/2021

Branch Office Locations

LPL FINANCIAL LLC
8116 OLD FEDERAL RD STE C
MONTGOMERY, AL 36117



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 2 state securities law exams.

Principal/Supervisory Exams

Exam	Category	Date
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No information reported.

General Industry/Product Exams

Exam	Category	Date
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	Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
	General Securities Representative Examination (S7)	Series 7	10/28/2008
	Investment Company Products/Variable Contracts Representative Examination (S6)	Series 6	12/04/2002

State Securities Law Exams

Exam	Category	Date
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		Uniform Combined State Law Examination (S66)	Series 66	01/30/2009
		Uniform Securities Agent State Law Examination (S63)	Series 63	12/09/2002

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
IA	07/08/2016 - 09/01/2025	INVISTA ADVISORS	CRD# 282899	MONTGOMERY, AL
IA	01/29/2015 - 07/07/2016	LPL FINANCIAL LLC	CRD# 6413	AUBURN, AL
IA	06/16/2011 - 12/10/2014	FINANCIAL TELESIS, INC.	CRD# 31012	BIRMINGHAM, AL
IA	09/18/2014 - 12/09/2014	GLOBAL RETIREMENT PARTNERS LLC	CRD# 172011	BIRMINGHAM, AL
B	06/16/2011 - 09/12/2014	FINANCIAL TELESIS INC	CRD# 31012	BIRMINGHAM, AL
IA	03/10/2010 - 06/03/2011	BERTHEL FISHER & COMPANY FINANCIAL SERVICES, INC.	CRD# 13609	AUBURN, AL
B	03/02/2010 - 06/03/2011	BERTHEL, FISHER & COMPANY FINANCIAL SERVICES, INC.	CRD# 13609	AUBURN, AL
IA	06/26/2009 - 02/23/2010	FIRST LEGACY SECURITIES, LLC	CRD# 47079	MONTGOMERY, AL
B	10/29/2008 - 02/23/2010	FIRST LEGACY SECURITIES, LLC	CRD# 47079	MONTGOMERY, AL
B	04/12/2004 - 10/11/2004	UVEST FINANCIAL SERVICES GROUP, INC.	CRD# 13787	CHARLOTTE, NC
B	12/06/2002 - 03/05/2004	NATIONWIDE INVESTMENT SERVICES CORPORATION	CRD# 7110	COLUMBUS, OH

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
04/2026 - Present	Gateway Wealth Partners, LLC	Investment Adviser Representative	Y	Montgomery, AL, United States
09/2014 - Present	LPL FINANCIAL LLC	REGISTERED REPRESENTATIVE	Y	Montgomery, AL, United States



Registration & Employment History



EMPLOYMENT HISTORY

Employment Dates	Employer Name	Position	Investment Related	Employer Location
07/2016 - 02/2026	Invista Advisors (FKA: McDonald & Hagen Wealth Management, LLC)	Investment Adviser Representative	Y	Montgomery, AL, 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.

1.09/12/2014; ; Non-Variable Insurance; Investment Related; at Reported Business Location(s); Start Date ; hrs/mth; hrs during trading

2.03/03/2016; Investment products and services are offered through LPL Financial LLC using the DBA/trade name McDonald & Hagen Wealth Management; Investment Related; at Reported Business Location(s); Start Date 02/01/2016; 160hrs/mth; 130hrs during trading

3.06/21/2017; U.S. Open Beer & Cider Championships; Beer/Cider Judge; Not Investment Related; Oxford,OH; Start Date 06/08/2017; 10hrs/mth; 0hrs during trading

4.03/04/2021; (Hybrid) Invista Advisors / Invista Advisors; Registered Investment Advisor Hybrid; Investment Related; at Reported Business Location(s); Start Date 03/01/2021; 195hrs/mth; 195hrs during trading; I provide investment advisory services through Invista Advisors, an independent investment advisor firm. I started this business activity in 03/2021. I expect to spend approximately 195 hours per month on this activity. Please see the advisory firm's Form ADV for more information about its address, the nature of its business, its owners, and its services at <http://www.adviserinfo.sec.gov/IAPD>. The firm is separate from and independent of LPL Financial.

5.06/02/2026; (Hybrid) Gateway Wealth Partners LLC; Registered Investment Advisor Hybrid; Investment Related; at Reported Business Location(s); Start Date 04/10/2026; 120hrs/mth; 60hrs during trading; I provide investment advisory services through Gateway Wealth Partners LLC, an independent investment advisor firm. I started this business activity in 04/2026. I expect to spend approximately 120 hours per month on this activity. Please see the advisory firm's Form ADV for more information about its address, the nature of its business, its owners, and its services at <http://www.adviserinfo.sec.gov/IAPD>. The firm is separate from and independent of LPL Financial.

6.06/09/2026; Investment products and services are offered through LPL Financial LLC using the DBA/trade name Hagen Wealth Management; Investment Related; at Reported Business Location(s); Start Date 04/10/2026; 120hrs/mth; 60hrs during trading

7.08/03/2026; (Hybrid) Hagen Wealth Management; Registered Investment Advisor DBA; Investment Related; at Reported Business Location(s); Start Date 04/10/2026; 120hrs/mth; 60hrs during trading;



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

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:	DEPARTMENT OF THE TREASURY OFFICE OF THE COMPTROLLER OF THE CURRENCY
Sanction(s) Sought:	Cease and Desist
Other Sanction(s) Sought:	
Date Initiated:	04/23/2002
Docket/Case Number:	N/A
Employing firm when activity occurred which led to the regulatory action:	FIDELITY NATIONAL BANK
Product Type:	Other
Other Product Type(s):	SELF DIRECTED IRA'S. CUSTODIAL ACCOUNTS CUSTODIAL EMPLOYEE BENEFIT ACCOUNTS
Allegations:	SEE ATTACHED LETTER DATED AUGUST 6, 2002 FROM COMPTROLLER OF CURRENCY FOR FULL DISCLOSURE. ALLEGATIONS THE OCC FOUND THAT THE REPRESENTATIVE (WHO WAS AN EMPLOYEE OF THE BANK AND NOT SECURITIES LICENSED AT THE TIME) ENGAGED IN UNSAFE OR UNSOUND PRACTICES AND/OR CAUSED, BROUGHT ABOUT, PARTICIPATED IN, COUNSELED, OR AIDED OR ABETTED A VIOLATION OF LAW AS FOLLOWS: REPRESENTATIVE HELD KEY POSITIONS AT THE BANK WITH



RESPONSIBILITY FOR THE SAFE, SOUND, AND PRUDENT ADMINISTRATION OF THE BANK'S SDIRA PROGRAM. THE BANK ATTEMPTED TO LIMIT ITS LIABILITY FOR CUSTOMER LOSSES THROUGH EXCULPATORY CONTRACTUAL PROVISIONS, THE EFFECTIVENESS OF WHICH REQUIRED THE BANK TO STRICTLY LIMIT ITS ROLE TO MERE CUSTODIAN FOR THE SDIRA ACCOUNTS. BANK EMPLOYEES UNDER THE REP'S SUPERVISION INAPPROPRIATELY STEPPED OUTSIDE OF THE PURE CUSTODIAL ROLE AND BEGAN TO GIVE VARIOUS FORMS OF INFORMATION (AND COMFORT) ABOUT SPECIFIC SDIRA INVESTMENTS THAT BORDERED ON INVESTMENT ADVICE OR ADVOCACY TO POTENTIAL SDIRA INVESTORS WHO WERE ABOUT TO MAKE INVESTMENT DECISIONS AND TO INVESTMENT ADVISORS (AND OTHERS) WHO WERE DECIDING WHETHER TO RECOMMEND THE INVESTMENTS TO THEIR OWN CLIENTS. THE REP FAILED TO SUPERVISE, TRAIN, AND/OR PUT IN PLACE ADEQUATE CONTROLS TO ENSURE THE BANK DID NOT SIGNIFICANTLY INCREASE ITS LITIGATION RISK BY, FOR EXAMPLE, POTENTIALLY STEPPING OUTSIDE OF ITS CUSTODIAL ROLE TO GIVE SUCH INVESTOR INFORMATION (AND COMFORT). THE REP FAILED - IN LETTER AND SPIRIT - TO STRICTLY ADHERE TO THE BANK'S POLICY OF MARKETING THE SELF-DIRECTED IRA ONLY TO THE "SOPHISTICATED INVESTOR." THE REP FAILED TO HEED NUMEROUS RED FLAGS THAT SHOULD HAVE WARNED THE REP AND THE BANK ABOUT THE POSSIBILITY OF FRAUDULENT SCHEMES. THE REP FAILED TO EXHIBIT ADEQUATE KNOWLEDGE OF THE BANK SECRECY ACT/ANTI-MONEY LAUNDERING RULES AND REQUIREMENTS, INCL THE NEED TO FILE SAR'S AS APPROPRIATE AND TO ENGAGE IN NEEDED DUE DILIGENCE TO DETERMINE WHETHER THE FILING OF AN SAR WAS APPROPRIATE.

Current Status: Final

Appealed To and Date Appeal Filed: N/A

Resolution: Stipulation and Consent

Resolution Date: 10/10/2002

Sanctions Ordered: Cease and Desist/Injunction

Other Sanctions Ordered: PRIOR TO ACCEPTING ANY POSITION THAT CAUSES REP TO BECOME AN "INSTITUTION-AFFILIATED" PARTY, THE REP SHALL PROVIDE THE CEO OF THE INSTITUTION OR AGENCY WITH A COPY OF THE STIPULATION & CONSENT ORDER.

Sanction Details: NONE

Broker Statement THE PROBLEM THAT OCCURRED WAS THE BANK ACTED AS CUSTODIAN FOR MANY SELF-DIRECTED IRA ACCOUNTS (SDIRA) THAT HELD HIGH INTEREST PROMISSORY NOTES THAT WENT BAD. EVENTUALLY THE BANK WAS INVESTIGATED AND I GOT CAUGHT UP IN THE MIDDLE. I ALWAYS TRIED TO DO THE RIGHT THING AND HELP OUR CUSTOMERS AND THE BANK AS I KNEW HOW. BECAUSE OF THE POSITIONS I HELD AND THE ROLES I PLAYED, I ASSUME THE OCC FELT I WAS PARTLY TO BLAME. I NEVER FELT THIS WAS FAIR SINCE, IN THE NORMAL COURSE OF DOING BUSINESS, I ALWAYS SET UP THESE SDIRAS LIKE THE BANK HAD ALWAYS DONE IN THE PAST, EVEN BEFORE MY EMPLOYMENT WITH THE BANK. I EVEN CONTACTED THE BANK'S OUTSIDE LEGAL COUNSEL MANY TIMES TO TRY AND SORT OUT VARIOUS ISSUES. THE BIGGEST REASON I FELT LIKE THIS ISSUE SHOULD NOT HAVE FALLEN ONTO ME WAS BECAUSE THERE WERE INDIVIDUALS IN A HIGHER AUTHORITY OR MANAGEMENT POSITION THAN ME AND PROPER COMMITTEES THAT REVIEWED AND APPROVED THE ACCEPTANCE OF THESE CUSTODIAL ACCOUNTS. IN ADDITION,



THESE ACCOUNTS WERE AUDITED PERIODICALLY BY VARIOUS SOURCES.



End of Report

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