IAPD Report

JAMES ANTHONY PARRISH III

CRD# 4623703

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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 ANTHONY PARRISH III (CRD# 4623703)

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 **06/22/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
IA	KINGSWOOD WEALTH ADVISORS, LLC	CRD# 288792	07/17/2024

QUALIFICATIONS

This representative is currently registered in **0** SRO(s) and **2** 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	EUDAIMONIA ADVISORS LLC	302001	WINCHESTER, TN	07/30/2019 - 01/22/2025
IA	B RILEY WEALTH MANAGEMENT	2543	FRANKLIN, TN	10/03/2016 - 08/01/2019
B	B. RILEY WEALTH MANAGEMENT	2543	FRANKLIN, TN	10/03/2016 - 08/01/2019

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	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 **2** jurisdiction(s) and **0** SRO(s) through his or her employer(s).

Employment 1 of 1

Firm Name: **KINGSWOOD WEALTH ADVISORS, LLC**

Main Address: 11440 W. BERNARDO COURT
SUITE 300
SAN DIEGO, CA 92127

Firm ID#: 288792

	Regulator	Registration	Status	Date
IA	Tennessee	Investment Adviser Representative	Approved	07/17/2024
IA	Texas	Investment Adviser Representative	Approved	10/13/2025

Branch Office Locations

KINGSWOOD WEALTH ADVISORS, LLC
818 18th Avenue South
Ste 950
Nashville, TN 37203

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 1 state securities law exam.

Principal/Supervisory Exams

Exam	Category	Date
No information reported.		

General Industry/Product Exams

	Exam	Category	Date
B	Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
B	Futures Managed Funds Examination (S31)	Series 31	12/14/2007
B	General Securities Representative Examination (S7)	Series 7	05/28/2003

State Securities Law Exams

	Exam	Category	Date
IA B	Uniform Combined State Law Examination (S66)	Series 66	07/16/2003

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	07/30/2019 - 01/22/2025	EUDAIMONIA ADVISORS LLC	CRD# 302001	WINCHESTER, TN
IA	10/03/2016 - 08/01/2019	B RILEY WEALTH MANAGEMENT	CRD# 2543	FRANKLIN, TN
B	10/03/2016 - 08/01/2019	B. RILEY WEALTH MANAGEMENT	CRD# 2543	FRANKLIN, TN
IA	07/19/2013 - 03/30/2016	DORSEY, WRIGHT & ASSOCIATES, LLC	CRD# 104925	NASHVILLE, TN
B	09/24/2013 - 10/26/2015	ARCHER DISTRIBUTORS, LLC	CRD# 158961	LAUREL, MD
B	07/09/2012 - 07/19/2013	WUNDERLICH SECURITIES, INC.	CRD# 2543	FRANKLIN, TN
IA	07/09/2012 - 07/19/2013	WUNDERLICH SECURITIES, INC.	CRD# 2543	FRANKLIN, TN
B	10/25/2010 - 08/06/2012	LPL FINANCIAL LLC	CRD# 6413	NASHVILLE, TN
IA	04/18/2011 - 07/31/2012	RESEARCH FINANCIAL STRATEGIES	CRD# 153247	FRANKLIN, TN
IA	10/25/2010 - 12/21/2011	LPL FINANCIAL LLC	CRD# 6413	NASHVILLE, TN
IA	01/15/2004 - 10/20/2010	MORGAN KEEGAN & COMPANY, INC.	CRD# 4161	NASHVILLE, TN
B	08/11/2003 - 10/20/2010	MORGAN KEEGAN & COMPANY, INC.	CRD# 4161	NASHVILLE, TN
B	05/30/2003 - 10/21/2003	COLONIAL BROKERAGE, INC.	CRD# 111668	MONTGOMERY, AL

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
07/2024 - Present	Kingswood Wealth Partners	Investment Advisor	Y	Nashville, TN, United States
07/2019 - Present	Eudaimonia Advisors LLC	Vice President - Business Development	Y	Winchester, TN, United States

Registration & Employment History

EMPLOYMENT HISTORY

Employment Dates	Employer Name	Position	Investment Related	Employer Location
10/2016 - 07/2019	B. Riley Wealth Management, Inc.	Financial Advisor	Y	Nashville, TN, United States
03/2016 - 09/2016	Unemployed	Unemployed	N	Nashville, 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.

TIMEX MULTISPORT TEAM; TIMEX HEADQUARTERS MIDDLEBURY CT; START: 2011; NOT INVESTMENT RELATED; I AM SPONSORED TRIATHLON WITH A COMMITMENT TO CONDUCT FREQUENT CLINICS RELATED TO TIMEX PRODUCTS; 1 HOUR PER WEEK WILL BE DEVOTED TO THIS ACTIVITY; ZERO HOURS PER WEEK WILL BE DEVOTED TO THIS ACTIVITY DURING TRADING HOURS;REMUNERATION IS $100 PER CLINIC; AS A MEMBER OF THE TIMEX MULTISPORT TEAM I HAVE SIGNED ON TO CONTRACT TO COMPLETE IN TRIATHLON RACES AS WELL AS REPRESENT THE COMPANY TO SPORT RELATED RETAILERS ACROSS THE COUNTRY.

*****NEWTON RUNNING ATHLETE SPONSORSHIP; 1375 WALNUT STREET #100 BOULDER CO 80302; NOT INVESTMENT-RELATED; I AM A SPONSORED TRIATHLETE AND NEWTON RUNNING IS MY RUNNING SHOE FOR THE 2013 SEASON; START: 03/2011; ZERO HOURS PER MONTH DEVOTED TO THIS ACTIVITY; ZERO HOURS DURING TRADING HOURS; REMUNERATION: FREE RUNNING SHOES AND RUNNING APPAREL; 2013 NEWTON RUNNING MARKETING AMBASSADOR. I AM TO PROMOTE NEWTON RUNNING AT ALL ATHLETIC EVENTS INCLUDING TRAINING AND RACING.

ACN (AMERICAN COMMUNICATIONS NETWORK) INDEPENDENT BUSINESS OWNER. I AM ENGAGED IN THE PERSONAL COACHING AND DEVELOPMENT OF OTHER INDIVIDUAL BUSINESS OWNERS. I AM ENGAGED IN WEEKLY TRAINING SESSIONS CONSISTING OF CUSTOMER ACQUISITION STRATEGIES AND PERSONAL GROWTH ENDEAVORS (MOTIVATIONAL SPEAKING, PERSONAL COACHING, OVERCOMING ADVERSITY, ETC.) I AM COMPENSATED WHEN CUSTOMERS ARE ACQUIRED AND WHEN I AM ABLE TO SUCCESSFULLY TEACH OTHER BUSINESS OWNERS TO ACQUIRE CUSTOMERS. ACN DEALS IN THE ESSENTIAL SERVICES INDUSTRY AND ACTS AS BOTH AN INDEPENDENT PROVIDER OF CELL PHONE SERVICE AND ENERGY; AND MASTER AGENT FOR MAJOR TELECOMMUNICATIONS COMPANIES THAT OFFER TELEPHONE, TV AND INTERNET SERVICES. ACN IS NOT A PUBLICLY TRADED COMPANY.

AUTHOR.PLATFORM SPEAKER @ WWW.BO-PARRISH.COM; PROFESSIONAL MOTIVATIONAL SPEAKER; START: JANUARY 2015; RECEIVE ROYALTIES FOR BOOK SALES ON A QUARTERLY BASIS FOR WRITING; MOTIVATIONAL WRITER, PUBLISHER AND SPEAKER; LESS THAN 1 HOUR PER MONTH DEVOTED TO ACTIVITY; 0 HOURS DEVOTED TO ACTIVITY DURING TRADING HOURS; HE IS A SPEAKER, AUTHOR/PLATFORM SPEAKER.

Insurance sales; non-investment related; appx 10% of his time in this role.

DOOR DASH,Is Not Investment Related,"622 Southgate Ave, , Nashville, TN, 37203, United States",Delivering Food to homes and businesses,Independent Contractor,6/12/2026,10 hours per month,0 hours per month during trading hours,Commission Compensation,Door Dash app
Accept delivery jobs and then go to restaurant to pick up the food and then deliver directly to the customer.

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	3

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 3

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	Eudaimonia Advisors, LLC
Allegations:	IAR advised client to liquidate holdings, instead of transferring the holdings in kind, prior to transfer of assets to Firm. Client states that he incurred a long-term capital gains tax liability as a result of the advice provided and subsequent liquidation.
Product Type:	Mutual Fund Other: Exchange Traded Fund
Alleged Damages:	$20,000.00
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:	06/21/2023
Complaint Pending?	No
Status:	Settled
Status Date:	09/19/2023
Settlement Amount:	$14,500.00
Individual Contribution Amount:	$14,500.00

Disclosure 2 of 3

Reporting Source:	Firm
Employing firm when activities occurred which led to the complaint:	MORGAN KEEGAN & COMPANY, INC.
Allegations:	CLAIM ALLEGES UNSUITABILITY WITH REGARD TO MUTUAL FUNDS PURCHASED IN 2005 AND 2006.
Product Type:	Mutual Fund
Alleged Damages:	$25,000.00
Is this an oral complaint?	No
Is this a written complaint?	Yes
Is this an arbitration/CFTC reparation or civil litigation?	Yes
Arbitration/Reparation forum or court name and location:	FINRA
Docket/Case #:	10-04511
Filing date of arbitration/CFTC reparation or civil litigation:	10/06/2010

Customer Complaint Information

Date Complaint Received:	11/04/2010
Complaint Pending?	No
Status:	Arbitration Award/Monetary Judgment (for respondents/defendants)
Status Date:	04/20/2011
Settlement Amount:	
Individual Contribution Amount:	

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	MORGAN KEEGAN & COMPANY, INC.
Allegations:	CLAIM ALLEGES UNSUITABILITY WITH REGARD TO MUTUAL FUNDS PURCHASED IN 2005 AND 2006.
Product Type:	Mutual Fund
Alleged Damages:	$25,000.00
Is this an oral complaint?	No
Is this a written complaint?	Yes
Is this an arbitration/CFTC reparation or civil litigation?	Yes

Arbitration/Reparation forum or court name and location: FINRA

Docket/Case #: 10-04511

Filing date of arbitration/CFTC reparation or civil litigation: 10/06/2010

Customer Complaint Information

Date Complaint Received: 11/04/2010

Complaint Pending? No

Status: Denied

Status Date: 04/20/2011

Settlement Amount:

Individual Contribution Amount:

Broker Statement CONFIRMED THAT ARBITRATION CLAIM WAS DENIED

Disclosure 3 of 3

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: MORGAN KEEGAN & COMPANY, INC.

Allegations: RMK WRITTEN COMPLIANT ALLEGES FA MISMANAGED HER ACCOUNT BY INVESTING IT IN HIGH RISK JUNK STOCK. CLIENT FURTHER ALLEGES POOR SERVICE IN THAT THE FA WOULD NOT TAKE HER CALLS. CLIENT FEELS FA SHOULD HAVE DONE SOMETHING BEFORE THE ACCOUNT DROPPED DOWN SO MUCH.

Product Type: No Product

Alleged Damages: $248,428.00

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: 03/16/2009

Complaint Pending? No

Status: Closed/No Action

Status Date: 05/01/2009

Settlement Amount:

Individual Contribution Amount:

End of Report

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