



IAPD Report

JAMES M JONES

CRD# 5064653

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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 M JONES (CRD# 5064653)

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 **12/02/2025**.

CURRENT EMPLOYERS

This individual is not currently registered as an Investment Adviser Representative.

QUALIFICATIONS

This individual is not currently registered as an Investment Adviser Representative.

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	FAMILY WEALTH PLANNING PARTNERS	323656	LOUISVILLE, KY	02/22/2024 - 12/02/2025
IA	CAPITAL ADVISOR NETWORK	297578	JASPER, IN	01/07/2019 - 12/07/2023
IA	BROOKSTONE FINANCIAL	168185	JEFFERSONVILLE, IN	07/17/2018 - 12/09/2020

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
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 not currently registered as an Investment Adviser Representative.



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, 0 general industry/product exams, and 1 state securities law exam.

Principal/Supervisory Exams

Exam	Category	Date
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No information reported.

General Industry/Product Exams

Exam	Category	Date
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No information reported.

State Securities Law Exams

Exam	Category	Date
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IA

Uniform Investment Adviser Law Examination (S65)

Series 65

12/08/2005



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	02/22/2024 - 12/02/2025	FAMILY WEALTH PLANNING PARTNERS	CRD# 323656	LOUISVILLE, KY
IA	01/07/2019 - 12/07/2023	CAPITAL ADVISOR NETWORK	CRD# 297578	JASPER, IN
IA	07/17/2018 - 12/09/2020	BROOKSTONE FINANCIAL	CRD# 168185	JEFFERSONVILLE, IN
IA	03/06/2015 - 07/12/2018	CENTER STREET ADVISORS, INC.	CRD# 169329	JASPER, IN
IA	10/19/2006 - 03/06/2015	BROOKSTONE CAPITAL MANAGEMENT LLC	CRD# 141413	JASPER, IN
IA	12/09/2005 - 04/25/2006	KALOS MANAGEMENT	CRD# 133025	NEW ALBANY, IN

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
12/2023 - Present	Family Wealth Planning Partners	Investment Adviser Representative	Y	Louisville, KY, United States
09/2018 - Present	PURPETUAL WEALTH MANAGEMENT	PRESIDENT	Y	JASPER, IN, United States
01/2003 - Present	NEW COVENANT R.P. LLC	Owner/Landlord	Y	NEW ALBANY, IN, United States
01/2019 - 12/2023	CAPITAL ADVISOR NETWORK, LLC	INVESTMENT ADVISOR REPRESENTATIVE	Y	LAFAYETTE, IN, United States
05/2011 - 12/2023	CENTER STREET SECURITIES, INC.	REGISTERED REPRESENTATIVE	Y	NASHVILLE, TN, United States
07/2018 - 12/2018	PMB Capital Management LLC DBA Brookstone Financial	Investment Adviser Representative	Y	JEFFERSONVILLE, IN, 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.

1. INSURANCE AGENT. VARIOUS CARRIERS. 60 HOURS A MONTH DURING TRADING HOURS, NOT INVESTMENT RELATED, JASPER, IN.
2. PURPETUAL WEALTH MANAGEMENT, LLC- PRESIDENT. ENTITY USED FOR BOOKKEEPING AND MARKETING OF ADVISORY SERVICES - TIME SPENT = 25 HRS/MO.
3. RENTAL PROPERTY OWNER, (UNIQUE PROPERTIES) NON-INVESTMENT RELATED, JASPER, IN, ROUGHLY 1 HOUR/MO NOT DURING TRADING HOURS.
4. ELITE RESOURCE TEAM; MEMBER; NON-INVESTMENT RELATED, CALIFORNIA; APPROX. 10 HOURS/MO DURING TRADING HOURS; TRAINING RESOURCE.



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
Customer Dispute	3

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:	KENTUCKY DIVISION OF SECURITIES
Sanction(s) Sought:	Civil and Administrative Penalt(ies) /Fine(s)
Other Sanction(s) Sought:	NONE
Date Initiated:	02/14/2008
Docket/Case Number:	2008-AH-205
Employing firm when activity occurred which led to the regulatory action:	BROOKSTONE CAPITAL MANAGEMENT
Product Type:	No Product
Other Product Type(s):	
Allegations:	KENTUCKY ALLEGED THAT REP. TRANSACTED BUSINESS IN KY WITHOUT REGISTRATION.
Current Status:	Final
Resolution:	Order
Resolution Date:	05/01/2008
Sanctions Ordered:	Monetary/Fine \$2,000.00
Other Sanctions Ordered:	NONE
Sanction Details:	FIRM PAID FINE OF \$2,000 ON MAY 1, 2008. REP DID NOT PAY ANY PORTION OF THE FINE.





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:	CENTER STREET SECURITIES, INC.
Allegations:	Client alleges registered representative recommended an unsuitable investment.
Product Type:	Other: Alternative Investment
Alleged Damages:	\$100,000.00
Alleged Damages Amount Explanation (if amount not exact):	Statement of Claim requests "This claim is for more than \$50,000 but not more than \$100,000, exclusive of interest and expenses."
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 #:	23-02293
Filing date of arbitration/CFTC reparation or civil litigation:	08/22/2023

Customer Complaint Information

Date Complaint Received:	08/28/2023
Complaint Pending?	Yes
Settlement Amount:	
Individual Contribution Amount:	

Disclosure 2 of 3

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	CENTER STREET SECURITIES, INC.
Allegations:	unsuitable, illiquid
Product Type:	Other: alts
Alleged Damages:	\$306,305.44



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: 04/07/2022

Complaint Pending? Yes

Status:

Status Date: 04/20/2022

Settlement Amount:

Individual Contribution
Amount:

Disclosure 3 of 3

Reporting Source: Individual

Employing firm when
activities occurred which led
to the complaint: CENTER STREET SECURITIES, INC.

Allegations: unsuitable, illiquid and high risk

Product Type: Other: alternatives

Alleged Damages: \$400,000.00

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 #: 22-00118

Filing date of
arbitration/CFTC reparation
or civil litigation: 01/17/2022

Customer Complaint Information

Date Complaint Received: 01/18/2022

Complaint Pending? No

Status: Settled

Status Date: 01/25/2023

Settlement Amount: \$130,000.00

Individual Contribution
Amount: \$0.00



End of Report

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