



## IAPD Report

# TEMPEST MARIE WILLIAMS

CRD# 5561075

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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

### TEMPEST MARIE WILLIAMS (CRD# 5561075)

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 **07/11/2025**.

### CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
IA	THE TEMPEST FINANCIAL GROUP PLLC	CRD# 312592	06/29/2021

### 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	EAGLE STRATEGIES LLC	110826	FORT WORTH, TX	01/04/2017 - 03/14/2019
B	NYLIFE SECURITIES LLC	5167	ARLINGTON, TX	06/18/2015 - 03/14/2019
IA	USAA FINANCIAL PLANNING SERVICES	106352	ADDISON, TX	12/05/2013 - 08/07/2014

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
Criminal	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 **1** jurisdiction(s) and **0** SRO(s) through his or her employer(s).

#### Employment 1 of 1

Firm Name: **THE TEMPEST FINANCIAL GROUP PLLC**  
Main Address: FORT WORTH, TX  
Firm ID#: 312592

Regulator	Registration	Status	Date
<b>IA</b> Texas	Investment Adviser Representative	Approved	06/29/2021

#### Branch Office Locations

**THE TEMPEST FINANCIAL GROUP PLLC**  
FORT WORTH, TX



## 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, 2 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
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 General Securities Representative Examination (S7)	Series 7	11/03/2008
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#### State Securities Law Exams

Exam	Category	Date
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 Uniform Investment Adviser Law Examination (S65)	Series 65	12/01/2013
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 Uniform Securities Agent State Law Examination (S63)	Series 63	12/10/2008
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### 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	01/04/2017 - 03/14/2019	EAGLE STRATEGIES LLC	CRD# 110826	FORT WORTH, TX
B	06/18/2015 - 03/14/2019	NYLIFE SECURITIES LLC	CRD# 5167	ARLINGTON, TX
IA	12/05/2013 - 08/07/2014	USAA FINANCIAL PLANNING SERVICES	CRD# 106352	ADDISON, TX
B	10/15/2013 - 08/07/2014	USAA FINANCIAL ADVISORS, INC.	CRD# 129035	ADDISON, TX
B	09/26/2012 - 05/30/2013	VALIC FINANCIAL ADVISORS, INC.	CRD# 42803	PLANO, TX
B	04/29/2011 - 09/14/2012	TIAA-CREF INDIVIDUAL & INSTITUTIONAL SERVICES, LLC	CRD# 20472	LEWISVILLE, TX
B	08/10/2009 - 04/19/2011	TD AMERITRADE CLEARING, INC.	CRD# 5633	FORT WORTH, TX
B	11/04/2008 - 08/10/2009	TD AMERITRADE, INC.	CRD# 7870	FORT WORTH, TX

### 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
03/2019 - Present	The Tempest Financial Group PLLC	Owner, CEO, Financial Planner	Y	Fort Worth, TX, United States
10/2013 - Present	STORM CATERING & SMOKED MEATS	SOLE PROPRIETOR	N	ARLINGTON, TX, United States
10/2016 - 03/2019	EAGLE STRATEGIES LLC	IAR	Y	FORT WORTH, TX, 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.

[STORM CATERING & SMOKED MEATS; CATERING COMPANY THAT SPECIALIZES IN SMOKED MEATS.; PO BOX 8645, FORT WORTH, TX 76124; START DATE: 10/01/2013; ROLE/TITLE: OWNER/GENERAL MANAGER; RECEIVE



## Registration & Employment History



### OTHER BUSINESS ACTIVITIES

COMPENSATION THROUGH THE SALE OF FOOD AND SERVICES (I.E. CATERING EVENTS); NOT INVESTMENT RELATED; 40 HOURS PER MONTH; 0 HOURS PER MONTH DURING SECURITIES TRADING HOURS]

[Insurance Brokering; Appointed with outside carriers for the purpose of brokering non-registered insurance products; 777 Main Street Suite 3800, Fort Worth, TX, 76102; Start Date 04/2016; Role/Title: Insurance Broker; Investment Related; 10 hours per month; 5 hours per month during securities trading hours]

[Paul Laurence Dunbar Alumni Association; We assist my Alma Mater, Paul Laurence Dunbar, and feeder schools with whatever needs the Principal deems necessary for the success of the school; 5700 Ramey Ave. Fort Worth, TX 76112; Start Date 06/2018; Role/Title: Officer; Not Investment Related; 10 hours per month; 0 hours per month during securities trading hours]



## 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
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Criminal	1
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### 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 1

<b>Reporting Source:</b>	Individual
<b>Formal Charges were brought in:</b>	State Court
<b>Name of Court:</b>	Tarrant County Criminal Court
<b>Location of Court:</b>	Tarrant County
<b>Docket/Case #:</b>	unknow\wn
<b>Charge Date:</b>	06/11/2025
<b>Charge(s) 1 of 1</b>	
<b>Formal Charge(s)/Description:</b>	INJURY CHILD/ELDERLY/DISABLE W/INT BODILY INJURY
<b>No of Counts:</b>	1
<b>Felony or Misdemeanor:</b>	Felony
<b>Plea for each charge:</b>	Not Guilty
<b>Disposition of charge:</b>	
<b>Current Status:</b>	Pending
<b>Status Date:</b>	

**Broker Statement**

I have been a victim of Domestic Violence since 2021 by Attorney Leon Haley Jr, a 72 year old man that I was once involved with romantically from 2018 until 2025. It is well documented, and I have disclosed all of the information that I have access to. Some information is not available because I have learned that all of my cases are still under investigation. Although my charge is Injury to an Elderly with the Intent to Cause Bodily Injury, I had no intention to harm anyone, I



was trying to  
save my life by getting Attorney Leon Haley Jr. to let go of me during an altercation  
he started,  
and break free from someone who on numerous occasions threatened to stab and  
kill me. In the  
process, he was injured. I explained this to the police, and I was still arrested. I  
tried to explain  
the history, and I was still arrested.  
For years, I took care and cared for this individual. In spite of my family's dislike for  
the age  
gap, everyone accepted him and treated him as if he was family.  
My business and my licenses are my livelihood. I have worked hard to be where I  
am today,  
and dealt with a lot to be where I am today. I am sincerely asking that  
consideration be given  
into the information that I have provided, and that my licenses not be revoked.  
Please give me  
a call if you have any questions.



## End of Report

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