



IAPD Report

James Leon Walker Jr

CRD# 6685668

<u>Section Title</u>	<u>Page(s)</u>
Report Summary	1
Qualifications	2 - 6
Registration and Employment History	7
Disclosure Information	8



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 Leon Walker Jr (CRD# 6685668)

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 **11/06/2025**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	CAPE SECURITIES INC.	CRD# 7072	12/17/2019
IA	CAPE INVESTMENT ADVISORY, INC.	CRD# 146384	07/08/2020
B	AMERICAN GLOBAL WEALTH MANAGEMENT, INC.	CRD# 7388	01/08/2021

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **29** 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
B NYLIFE SECURITIES LLC	5167	MACON, GA	05/23/2019 - 07/25/2019

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
Regulatory Event	2
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 29 jurisdiction(s) and 1 SRO(s) through his or her employer(s).

Employment 1 of 3

Firm Name: **CAPE INVESTMENT ADVISORY, INC.**

Main Address: 1600 PENNSYLVANIA AVE.
MCDONOUGH, GA 30253

Firm ID#: 146384

Regulator	Registration	Status	Date
IA Arizona	Investment Adviser Representative	Approved	04/05/2024
IA California	Investment Adviser Representative	Approved	09/18/2025
IA Florida	Investment Adviser Representative	Approved	02/14/2025
IA Georgia	Investment Adviser Representative	Approved	07/08/2020
IA North Carolina	Investment Adviser Representative	Approved	03/07/2024
IA Wisconsin	Investment Adviser Representative	Approved	01/25/2024

Branch Office Locations

CAPE INVESTMENT ADVISORY, INC.

1600 PENNSYLVANIA AVE
MCDONOUGH, GA 30253

Employment 2 of 3

Firm Name: **AMERICAN GLOBAL WEALTH MANAGEMENT, INC.**

Main Address: 1600 PENNSYLVANIA AVE.
MCDONOUGH, GA 30253

Firm ID#: 7388

Regulator	Registration	Status	Date
B FINRA	General Securities Representative	Approved	01/08/2021



Qualifications

Regulator	Registration	Status	Date
B FINRA	Invest. Co and Variable Contracts	Approved	01/08/2021
B Arizona	Agent	Approved	08/23/2021
B California	Agent	Approved	08/13/2021
B Colorado	Agent	Approved	08/13/2021
B Connecticut	Agent	Approved	04/27/2022
B Florida	Agent	Approved	08/16/2021
B Georgia	Agent	Approved	03/10/2021
B Hawaii	Agent	Approved	08/07/2024
B Illinois	Agent	Approved	01/03/2022
B Indiana	Agent	Approved	08/07/2024
B Iowa	Agent	Approved	08/09/2024
B Kansas	Agent	Approved	01/19/2022
B Kentucky	Agent	Approved	04/22/2022
B Maryland	Agent	Approved	06/17/2025
B Massachusetts	Agent	Approved	11/13/2023
B Minnesota	Agent	Approved	03/18/2024
B Nevada	Agent	Approved	02/11/2025
B New Jersey	Agent	Approved	08/06/2024
B North Carolina	Agent	Approved	03/19/2024



Qualifications

Regulator	Registration	Status	Date
B North Dakota	Agent	Approved	08/12/2024
B Ohio	Agent	Approved	01/18/2022
B Oklahoma	Agent	Approved	08/16/2021
B Oregon	Agent	Approved	08/19/2024
B Pennsylvania	Agent	Approved	10/23/2024
B South Carolina	Agent	Approved	08/12/2024
B Tennessee	Agent	Approved	11/23/2021
B Texas	Agent	Approved	08/13/2021
B Virginia	Agent	Approved	11/04/2024
B West Virginia	Agent	Approved	04/25/2022
B Wisconsin	Agent	Approved	03/15/2021

Branch Office Locations

1600 Pennsylvania Avenue
McDonough, GA 30253

Employment 3 of 3

Firm Name: **CAPE SECURITIES INC.**
Main Address: 1600 PENNSYLVANIA AVENUE
MCDONOUGH, GA 30253
Firm ID#: 7072

Regulator	Registration	Status	Date
B FINRA	Invest. Co and Variable Contracts	Approved	12/17/2019
B FINRA	General Securities Representative	Approved	12/16/2020



Qualifications

Regulator	Registration	Status	Date
B Georgia	Agent	Approved	12/18/2019

Branch Office Locations

1600 PENNSYLVANIA AVENUE
MCDONOUGH, GA 30253



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
No information reported.		

General Industry/Product Exams

Exam	Category	Date
B General Securities Representative Examination (S7TO)	Series 7TO	12/15/2020
B Investment Company Products/Variable Contracts Representative Examination (S6TO)	Series 6TO	05/23/2019
B Securities Industry Essentials Examination (SIE)	SIE	05/20/2019

State Securities Law Exams

Exam	Category	Date
IA Uniform Investment Adviser Law Examination (S65)	Series 65	06/26/2020
B Uniform Securities Agent State Law Examination (S63)	Series 63	10/25/2019

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
B 05/23/2019 - 07/25/2019	NYLIFE SECURITIES LLC	CRD# 5167	MACON, GA

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
01/2021 - Present	American Global Wealth Management, Inc.	Registered Representative	Y	McDonough, GA, United States
07/2020 - Present	Cape Investment Advisory, Inc.	Investment Advisory Representative	Y	McDonough, GA, United States
12/2019 - Present	Cape Securities, Inc.	Registered Representative	Y	McDonough, GA, United States
03/2017 - Present	Strictly Business Legacy, LLC	CEO	N	College Park, GA, United States
04/2015 - Present	Aflac	Independent Agent	N	Kennesaw, GA, United States
05/2019 - 07/2019	NYLIFE Securities, LLC	Reg Representative	Y	Macon, GA, United States
12/2018 - 07/2019	New York Life Insurance Co.	Agent	Y	Macon, GA, 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. Strictly Business Legacy, LLC 5334 Scofield Rd College Park GA 30349 started 2/20/2017, CEO, Consulting Small Businesses about Their Major Medical Plans and Provide P&C Insurance, 120 Hours Per Month.
2. National Association of Health Underwriters Local Chapter of South Atlanta Board Member as of 871/2023; no specific duties. 4 hours per month devoted to activity with 0 hours during trading hours.
3. Village Premier Collection Georgia 3423 Piedmont Road NE Atlanta, GA; real estate agent since 10/15/2022; sales of residential and commercial real estate; receives commissions based on sales; devotes 40 hours per month with none during 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
Regulatory Event	2
Criminal	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 2

Reporting Source:	Individual
Regulatory Action Initiated By:	Indiana Department of Insurance
Sanction(s) Sought:	Denial
Date Initiated:	02/17/2017
Docket/Case Number:	15799-AD17-0125-013
Employing firm when activity occurred which led to the regulatory action:	Vimo, Inc. dba Getinsured.com
Product Type:	No Product
Allegations:	Failure to disclose on an insurance licensing application a 3/31/2015 Consent Order and license probation by the Georgia Office of the Commissioner of Insurance.
Current Status:	Final
Resolution:	Order
Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct?	Yes
Resolution Date:	02/17/2017
Sanctions Ordered:	Denial

**Broker Statement**

Two applications were mistakenly submitted by my firm on my behalf. The first was approved and never rescinded, modified or denied and was permitted to voluntarily lapsed when I didn't need it any longer. The second, contained an inaccurate response due to a clerical error made by my firm, and was denied. When viewing my license status online, it consistently showed as valid.

Disclosure 2 of 2

Reporting Source:	Individual
Regulatory Action Initiated By:	Commissioner of Insurance of the State of Georgia
Sanction(s) Sought:	Civil and Administrative Penalty(ies)/Fine(s) Other: Temporary License on a Probationary Status
Date Initiated:	03/06/2015
Docket/Case Number:	11014164
Employing firm when activity occurred which led to the regulatory action:	American Family Life Assurance Company of Columbus
Product Type:	No Product
Allegations:	Applicant on a Georgia Insurance license application incorrectly answered "no" to the question: "Have you been convicted or are you currently charged with the commission of any crime or pled nolo contendere in a criminal proceeding or have you received first offender treatment or had adjudication of guilt withheld in a criminal proceeding, other than a minor traffic offense?"
Current Status:	Final
Resolution:	Consent Order
Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct?	Yes
Resolution Date:	03/31/2015
Sanctions Ordered:	Civil and Administrative Penalty(ies)/Fine(s) Other: Issuance of a Georgia Insurance License subject to a 12 month probationary period.
Monetary Sanction 1 of 1	
Monetary Related Sanction:	Civil and Administrative Penalty(ies)/Fine(s)
Total Amount:	\$150.00
Portion Levied against individual:	\$150.00
Payment Plan:	
Is Payment Plan Current:	Yes
Date Paid by individual:	03/31/2015



Was any portion of penalty waived? No

Amount Waived:

Broker Statement The incident occurred when I was a minor and I was under the mistaken belief that it was not reportable on the insurance application.



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

Reporting Source:	Individual
Formal Charges were brought in:	State Court
Name of Court:	The Superior Court of Carroll County
Location of Court:	Carroll County, Georgia
Docket/Case #:	04CR676
Charge Date:	10/01/2004
Charge(s) 1 of 1	
Formal Charge(s)/Description:	Burglary
No of Counts:	1
Felony or Misdemeanor:	Felony
Plea for each charge:	Guilty
Disposition of charge:	Dismissed
Current Status:	Final
Status Date:	08/27/2008
Disposition Date:	08/27/2008
Sentence/Penalty:	3 years probation; restitution paid - \$248.00; fine - \$1,000.00.



End of Report

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