



IAPD Report

James S Boys

CRD# 721319

<u>Section Title</u>	<u>Page(s)</u>
Report Summary	1
Qualifications	2 - 3
Registration and Employment History	4 - 5
Disclosure Information	6

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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

James S Boys (CRD# 721319)

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 **05/22/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
IA	CREATIVE FINANCIAL DESIGNS, INC.	CRD# 109032	04/07/2026

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	AE WEALTH MANAGEMENT, LLC	282580	Martinsville, IN	08/01/2018 - 04/01/2026
B	CFD INVESTMENTS, INC.	25427	MARTINSVILLE, IN	06/18/2003 - 07/31/2018
IA	CREATIVE FINANCIAL DESIGNS, INC.	109032	MARTINSVILLE, IN	05/14/2003 - 07/31/2018

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	1
Termination	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: **CREATIVE FINANCIAL DESIGNS, INC.**
Main Address: 2704 S GOYER RD
KOKOMO, IN 46902
Firm ID#: 109032

Regulator	Registration	Status	Date
IA Indiana	Investment Adviser Representative	Approved	04/07/2026

Branch Office Locations

CREATIVE FINANCIAL DESIGNS, INC.
458 S MAIN ST
KOKOMO, IN 46151



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 1 principal/supervisory exam, 1 general industry/product exam, and 2 state securities law exams.

Principal/Supervisory Exams

Exam	Category	Date
B Investment Company Products/Variable Contracts Principal Examination (S26)	Series 26	07/12/2002

General Industry/Product Exams

Exam	Category	Date
B Securities Industry Essentials Examination (SIE)	SIE	07/31/2018

State Securities Law Exams

Exam	Category	Date
B Uniform Securities Agent State Law Examination (S63)	Series 63	12/30/2003
IA Uniform Investment Adviser Law Examination (S65)	Series 65	10/20/1999

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	08/01/2018 - 04/01/2026	AE WEALTH MANAGEMENT, LLC	CRD# 282580	Martinsville, IN
B	06/18/2003 - 07/31/2018	CFD INVESTMENTS, INC.	CRD# 25427	MARTINSVILLE, IN
IA	05/14/2003 - 07/31/2018	CREATIVE FINANCIAL DESIGNS, INC.	CRD# 109032	MARTINSVILLE, IN
IA	07/18/2002 - 05/05/2003	INVESTACORP ADVISORY SERVICES INC	CRD# 109011	MARTINSVILLE, IN
B	03/15/2002 - 05/05/2003	INVESTACORP, INC.	CRD# 7684	MIAMI, FL
B	09/16/1999 - 03/18/2002	SECURITIES SERVICE NETWORK, INC.	CRD# 13318	KNOXVILLE, TN
B	12/08/1994 - 09/27/1999	AUL EQUITY SALES CORP.	CRD# 4173	INDIANAPOLIS, IN
B	12/13/1994 - 09/24/1999	CFD INVESTMENTS, INC.	CRD# 25427	KOKOMO, IN
B	12/08/1994 - 09/24/1999	AMERICAN UNITED LIFE INSURANCE COMPANY	CRD# 1075	INDIANAPOLIS, IN
B	11/05/1992 - 12/01/1994	IFG NETWORK SECURITIES, INC.	CRD# 19948	ATLANTA, GA
B	10/13/1989 - 12/31/1992	PLANNED INVESTMENTS INC.	CRD# 5066	ATLANTA, GA
B	11/09/1988 - 10/28/1989	INVESTACORP, INC.	CRD# 7684	MIAMI, FL
B	01/05/1988 - 11/29/1988	FSC SECURITIES CORPORATION	CRD# 7461	
B	06/23/1987 - 01/22/1988	ADVANTAGE CAPITAL CORPORATION	CRD# 146	
B	05/26/1987 - 06/26/1987	THE O.N. EQUITY SALES COMPANY	CRD# 2936	
B	01/15/1987 - 06/12/1987	AMERICAN CAPITAL FINANCIAL SERVICES, INC.	CRD# 146	
B	07/07/1986 - 01/19/1987	FSC SECURITIES CORPORATION	CRD# 7461	



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	08/01/1983 - 07/08/1986	PW SECURITIES, INC.	CRD# 6775	
B	12/30/1980 - 08/25/1983	WILLIAM JENNINGS & CO., INC.	CRD# 6930	

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	CREATIVE FINANCIAL DESIGNS, INC	INVESTMENT ADVISER REPRESENTATIVE	Y	KOKOMO, IN, United States
07/2018 - Present	AE WEALTH MANAGEMENT, LLC	INVESTMENT ADVISER REPRESENTATIVE	Y	TOPEKA, KS, United States
12/2016 - Present	BOYS & COLLINS FINANCIAL GROUP	REPRESENTATIVE	Y	MARTINSVILLE, IN, United States
05/2003 - 07/2018	CFD INVESTMENTS, INC	REGISTERED REPRESENTATIVE	Y	KOKOMO, IN, United States
05/2003 - 07/2018	CREATIVE FINANCIAL DESIGNS, INC	INVESTMENT ADVISER REPRESENTATIVE	Y	KOKOMO, IN, 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.) JAMES BOYS FINANCIAL; YES INVESTMENT RELATED; 458 S MAIN ST, MARTINSVILLE IN 46151; INSURANCE SALES; REPRESENTATIVE; START DATE 1/2026; APPROX 50 HRS/MONTH; APPROX 35 HRS/MONTH DURING TRADING HOURS; INDEPENDENT INSURANCE SALES.
- 2.) JAMES BOYS LLC; NOT INVESTMENT RELATED; 458 S MAIN ST, MARTINSVILLE IN 46151; TAXES; MANAGING PARTNER; 7/1/2018; APPROX 5 HRS/MONTH; PROVIDE INFORMATION FOR INCOME TAX FILLING



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	1
Termination	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:	STATE OF INDIANA, OFFICE OF SECRETARY OF STATE, DIVISION OF SECURITIES
Sanction(s) Sought:	Cease and Desist
Date Initiated:	05/16/2003
Docket/Case Number:	03-0072CD
Employing firm when activity occurred which led to the regulatory action:	INVESTACORP, INC.
Product Type:	Viatical Settlement
Allegations:	Based on the sale of a viatical settlement, the Indiana Securities Commission alleged that Mr. Boys violated sections OF INDIANA CODE 23-2-1, including offering or selling unregistered securities and violating the anti-fraud provisions of the Indiana Securities Act.
Current Status:	Final
Resolution:	Consent
Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct?	No



Resolution Date: 01/12/2004
Sanctions Ordered: Civil and Administrative Penalty(ies)/Fine(s)
Restitution

Monetary Sanction 1 of 2

Monetary Related Sanction: Civil and Administrative Penalty(ies)/Fine(s)

Total Amount: \$500.00

Portion Levied against individual: \$500.00

Payment Plan:

Is Payment Plan Current:

Date Paid by individual: 12/29/2003

Was any portion of penalty waived? No

Amount Waived:

Monetary Sanction 2 of 2

Monetary Related Sanction: Restitution

Total Amount: \$800.00

Portion Levied against individual: \$800.00

Payment Plan:

Is Payment Plan Current:

Date Paid by individual: 12/29/2003

Was any portion of penalty waived? No

Amount Waived:

Broker Statement

SALE OF A VIATICAL SETTLEMENT IN 1999 RESULTED IN CEASE AND DESIST ORDER issued in 2003. In 2004, Mr. Boys entered a consent agreement which vacated the C&D Order and did not make a finding or determination against Mr. Boys of any violation of the Indiana Securities Act or the rules and regulations promulgated there-under.



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 1

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: INVESTACORP

Allegations: PLAINTIFF ALLEGES DEFENDANT ADVISED HER TO INVEST IN A VIATICAL CONTRACT. THE PLAINTIFF FURTHER ALLEGES THAT THE VIATICAL COMPANY SUBSEQUENTLY FILED BANKRUPTCY. THE PLAINTIFF ALLEGES THAT SHE WAS ADVISED THE IF SHE INVESTED \$10000.00 IN THE VIATICAL CONTRACT THAT IT WOULD BE WORTH \$15600.00 IN 48 MONTHS.

Product Type: Viatical Settlement

Alleged Damages: \$10,000.00

Is this an oral complaint?

Is this a written complaint?

Is this an arbitration/CFTC reparation or civil litigation? Yes

Arbitration/Reparation forum or court name and location: MORGAN COUNTY SUPERIOR COURT 1, 180 SOUTH MAIN ST, MARTINSVILLE, IN 46151

Docket/Case #: 5500 I-0304-PL-00 0223

Filing date of arbitration/CFTC reparation or civil litigation: 04/22/2003

Customer Complaint Information

Date Complaint Received: 05/12/2003

Complaint Pending? No

Status: Closed/No Action

Status Date: 05/19/2003

Settlement Amount:

Individual Contribution Amount:

Civil Litigation Information

Type of Court: State Court

Name of Court: MORGAN COUNTY SUPERIOR COURT 1

Location of Court: 180 SOUTH MAIN ST, MARTINSVILLE, IN 46151

Docket/Case #: 5500 I-0304-PL-00 0223

Date Notice/Process Served: 04/22/2003



Litigation Pending?	No
Disposition:	Other: DISMISSED BECAUSE MS. FARMER BECAME A CREDITOR IN MR. BOYS' BANKRUPTCY FILING
Disposition Date:	09/21/2005
Monetary Compensation Amount:	\$10,000.00
Individual Contribution Amount:	
Broker Statement	PLAINTIFF ALLEGES DEFENDANT ADVISED HER TO INVEST IN A VIATICAL CONTRACT. THE PLAINTIFF FURTHER ALLEGES THAT THE VIATICAL COMPANY SUBSEQUENTLY FILED BANKRUPTCY. THE PLAINTIFF ALLEGES THAT SHE WAS ADVISED THE IF SHE INVESTED \$10000.00 IN THE VIATICAL CONTRACT THAT IT WOULD BE WORTH \$15600.00 IN 48 MONTHS. THE REPRESENTATIVE HEREIN FILED CHAPTER 13 BANKRUPTCY AND CLAIMANT BECAME A CREDITOR IN THE BANKRUPTCY THEREBY RESOLVING THE CIVIL ACTION.



Termination

This disclosure event involves a situation where the Investment Adviser Representative voluntarily resigned, was discharged or was permitted to resign after allegations were made that accused the Investment Adviser Representative of violating investment-related statutes, regulations, rules or industry standards of conduct; fraud or the wrongful taking of property; or failure to supervise in connection with investment-related statutes, regulations, rules or industry standards of conduct.

Disclosure 1 of 1

Reporting Source:	Individual
Firm Name:	INVESTACOR P ADVISORY SERVICES INC
Termination Type:	Permitted to Resign
Termination Date:	05/05/2003
Allegations:	It was alleged that Mr. Boys offered and/or sold unregistered securities, offered and/or sold securities as an unregistered agent, and offered and/or sold securities in violation of IC 23-2-1-12 in the form of a viatical settlement contract.
Product Type:	Viatical Settlement



End of Report

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