



IAPD Report

JAMES THEODORE OAKLEY

CRD# 813008

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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 THEODORE OAKLEY (CRD# 813008)

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

	Firm	CRD#	Registered Since
B	HERNDON PLANT OAKLEY, LTD.	CRD# 44971	08/21/1998
IA	OXBOW ADVISORS, LLC	CRD# 156393	06/13/2011

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **35** 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	HERNDON PLANT OAKLEY LTD	44971	CORPUS CHRISTI, TX	08/26/1998 - 11/19/2015
B	DAIN RAUSCHER INCORPORATED	31194	NEW YORK, NY	03/02/1998 - 10/09/1998
B	DAIN RAUSCHER INCORPORATED	7600	NEW YORK, NY	01/02/1998 - 03/02/1998

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



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 35 jurisdiction(s) and 1 SRO(s) through his or her employer(s).

Employment 1 of 2

Firm Name: **HERNDON PLANT OAKLEY LTD**

Main Address: 800 N. SHORELINE BLVD
SUITE 2200 SOUTH
CORPUS CHRISTI, TX 78401

Firm ID#: 44971

Regulator	Registration	Status	Date
 FINRA	General Securities Principal	Approved	08/21/1998
 FINRA	General Securities Representative	Approved	08/21/1998
 FINRA	Operations Professional	Approved	12/13/2011
 Alabama	Agent	Approved	01/13/2005
 Arizona	Agent	Approved	10/14/1998
 Arkansas	Agent	Approved	09/22/1998
 California	Agent	Approved	09/23/1998
 Colorado	Agent	Approved	09/14/1998
 Delaware	Agent	Approved	02/20/2018
 District of Columbia	Agent	Approved	07/11/2018
 Florida	Agent	Approved	08/26/1998
 Georgia	Agent	Approved	07/21/1999
 Hawaii	Agent	Approved	09/23/2003



Qualifications

Regulator	Registration	Status	Date
B Idaho	Agent	Approved	01/05/2017
B Illinois	Agent	Approved	08/24/1998
B Iowa	Agent	Approved	10/14/1998
B Kansas	Agent	Approved	10/22/1998
B Louisiana	Agent	Approved	10/15/1998
B Massachusetts	Agent	Approved	02/19/1999
B Michigan	Agent	Approved	10/15/1998
B Mississippi	Agent	Approved	09/03/1998
B Nevada	Agent	Approved	10/14/1998
B New Jersey	Agent	Approved	01/17/2006
B New Mexico	Agent	Approved	10/16/1998
B New York	Agent	Approved	01/27/1999
B North Carolina	Agent	Approved	10/12/1998
B Ohio	Agent	Approved	10/13/1998
B Oklahoma	Agent	Approved	08/25/1998
B Oregon	Agent	Approved	10/12/1998
B Pennsylvania	Agent	Approved	10/14/1998
B South Carolina	Agent	Approved	10/12/1998
B Tennessee	Agent	Approved	09/23/1998



Qualifications

Regulator	Registration	Status	Date
B Texas	Agent	Approved	09/18/1998
B Utah	Agent	Approved	08/06/2021
B Virginia	Agent	Approved	10/13/1998
B Washington	Agent	Approved	08/26/1998
B Wisconsin	Agent	Approved	08/24/2000
B Wyoming	Agent	Approved	01/20/2017

Branch Office Locations

HERNDON PLANT OAKLEY LTD
800 NORTH SHORELINE BLVD.
SUITE 2200 SOUTH
CORPUS CHRISTI, TX 78401

HERNDON PLANT OAKLEY LTD
200 West 6th Street
Suite 1920
AUSTIN, TX 78701

Employment 2 of 2

Firm Name: **OXBOW ADVISORS, LLC**

Main Address: 200 WEST 6TH STREET
SUITE 1920
AUSTIN, TX 78701

Firm ID#: 156393

Regulator	Registration	Status	Date
IA Texas	Investment Adviser Representative	Approved	06/13/2011

Branch Office Locations

OXBOW ADVISORS, LLC
200 WEST 6TH STREET
SUITE 1920
AUSTIN, TX 78701



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, 4 general industry/product exams, and 2 state securities law exams.

Principal/Supervisory Exams

Exam	Category	Date
 General Securities Principal Examination (S24)	Series 24	03/28/1998

General Industry/Product Exams

Exam	Category	Date
 Operations Professional Examination (S99TO)	Series 99TO	01/02/2023
 Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
 AMEX Put and Call Exam (PC)	PC	07/01/1977
 General Securities Representative Examination (S7)	Series 7	09/20/1975

State Securities Law Exams

Exam	Category	Date
 Uniform Investment Adviser Law Examination (S65)	Series 65	04/02/1993
 Uniform Securities Agent State Law Examination (S63)	Series 63	07/07/1979

PROFESSIONAL DESIGNATIONS

This section details that the representative has reported **2** professional designation(s).

Certified Financial Planner

Chartered Financial Analyst

This representative holds or did hold **2** professional designation(s) that may have been used to qualify as an Investment Advisor



representative. Please check with the appropriate designation authority for verification that the designation is still in effect. The contact information for these professional designation authorities can be found on the website for the North American Securities Administrators Association at <http://www.nasaa.org>



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	08/26/1998 - 11/19/2015	HERNDON PLANT OAKLEY LTD	CRD# 44971	CORPUS CHRISTI, TX
B	03/02/1998 - 10/09/1998	DAIN RAUSCHER INCORPORATED	CRD# 31194	NEW YORK, NY
B	01/02/1998 - 03/02/1998	DAIN RAUSCHER INCORPORATED	CRD# 7600	
B	09/20/1985 - 01/02/1998	RAUSCHER PIERCE REFSNES, INC.	CRD# 6663	DALLAS, TX
B	10/08/1976 - 10/07/1985	ROTAN MOSLE INC.	CRD# 727	
B	10/01/1975 - 11/21/1976	MERRILL LYNCH, PIERCE, FENNER & SMITH, INC.	CRD# 572	

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
02/2011 - Present	OXBOW ADVISORS, LLC	MANAGING PARTNER AND FOUNDER	Y	AUSTIN, TX, United States
03/2005 - Present	AMERICAN BANK	DIRECTOR	N	CORPUS CHRISTI, TX, United States
11/2001 - Present	HERNDON PLANT OAKLEY INSURANCE AGENCY LC	LIMITED PARTNER	Y	CORPUS CHRISTI, TX, United States
10/1998 - Present	HERNDON PLANT OAKLEY INC.	PARTNER	Y	CORPUS CHRISTI, TX, United States
01/1998 - Present	HERNDON PLANT OAKLEY, LTD.	LIMITED PARTNER/PRINCIPAL	Y	CORPUS CHRISTI, 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.

63% OWNERSHIP IN OXBOW ADVISORS, LLC. AMERICAN BANK, NON-INVESTMENT RELATED, CORPUS CHRISTI TX, DIRECTOR SINCE 03/2005. FOSTER ANGELS OF SOUTH TEXAS, FOUNDER, NON-PROFIT, TEXAS, FOUNDATION HELPING FOSTER CHILDREN, SINCE 2001, FOSTER ANGELS OF CENTRAL TEXAS, FOUNDER, NON-PROFIT, TEXAS, FOUNDATION HELPING FOSTER CHILDREN, SINCE 2010. BIGG WHALE LLC, NON-INVESTMENT RELATED PHOENIX, AZ.



Registration & Employment History

OTHER BUSINESS ACTIVITIES

INVESTOR, 2016. HERNDON PLANT OAKLEY INSURANCE AGENCY, LC, OFFICER SINCE 11/2011. CORNERSTONE MERGER AND ACQUISITIONS, NON-INVESTMENT RELATED, CORPUS CHRISTI TX, 2 HOURS PER YEAR, PARTNER, FEBRUARY 2019. TEDOUP TICK LLC, NON-INVESTMENT RELATED, AUSTIN TX, 2 HOURS PER YEAR, DECEMBER 2020.



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

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: Regulator
Regulatory Action Initiated By: NATIONAL ASSOCIATION OF SECURITIES DEALERS, INC.

Sanction(s) Sought:

Other Sanction(s) Sought:

Date Initiated: 05/15/1984

Docket/Case Number: TEX-371

Employing firm when activity occurred which led to the regulatory action: ROTAN, MOSLE, INC.

Product Type:

Other Product Type(s):

Allegations:

Current Status: Final

Resolution: Decision

Resolution Date: 12/21/1984

Sanctions Ordered: Censure
Monetary/Fine \$16,000.00

Other Sanctions Ordered:

Sanction Details:

**Regulator Statement**

COMP #TEX-371, FILED 5/15/84, DIST. #6, ALLEGING VIOLATIONS OF ARTICLE III, SECTION 1 OF THE RULES OF FAIR PRACTICE IN THAT OAKLEY ENGAGED IN PRIVATE SECURITIES TRANSACTIONS OUTSIDE THE SCOPE OF HIS EMPLOYMENT WITH ROTAN, MOSLE, INC. WITHOUT PRIOR WRITTEN NOTIFICATION THEREOF TO HIS EMPLOYER IN CONTRAVENTION OF THE B/G'S INTERPRETATION WITH RESPECT TO PRIVATE SECURITIES TRANSACTIONS. *****DECISION RENDERED 11/7/84, WHEREIN OAKLEY IS CENSURED, FINED \$16,000 AND ASSESSED COSTS OF \$930.27. IF NO FURTHER ACTION, DECISION IS FINAL 12/21/84. ***2/12/86, FC# 8956, I-418, PAID INNLL.

Reporting Source: Individual

Regulatory Action Initiated By: NASD

Sanction(s) Sought:

Other Sanction(s) Sought:

Date Initiated: 05/15/1984

Docket/Case Number: TEX-371

Employing firm when activity occurred which led to the regulatory action: ROTAN, MOSLE, INC.

Product Type:

Other Product Type(s):

Allegations: VIOLATIONS OF ARTICLE III, SECTION 1 OF THE RULES OF FAIR PRACTICE IN THAT MR. OAKLEY ENGAGED IN PRIVATE SECURITIES TRANSACTIONS OUTSIDE THE SCOPE OF HIS EMPLOYMENT WITH ROTAN MOSLE, INC. WITHOUT PRIOR WRITTEN NOTIFICATION THEREOF TO HIS EMPLOYER IN CONTRAVENTION OF THE BOARD OF GOVERNORS' INTERPRETATION WITH RESPECT TO PRIVATE SECURITIES TRANSACTIONS.

Current Status: Final

Resolution: Decision

Resolution Date: 12/21/1984

Sanctions Ordered: Censure
Monetary/Fine \$16,000.00

Other Sanctions Ordered:

Sanction Details: MR. OAKLEY WAS CENSURED, FINED \$16,000 AND ASSESSED COSTS OF \$930.27.

Broker Statement Not Provided



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:	Firm
Employing firm when activities occurred which led to the complaint:	DAIN RAUSCHER INCORPORATED
Allegations:	CLIENT ALLEGES BROKER RECOMMENDED UNSUITABLE INVESTMENTS, CHURNED ACCOUNT AND COMMITTED FRAUD, AND CLAIMS \$318,941.36 IN DAMAGES.
Product Type:	
Alleged Damages:	\$318,941.36

Customer Complaint Information

Date Complaint Received:

Complaint Pending?	No
Status:	Arbitration/Reparation
Status Date:	05/13/1999

Settlement Amount:

Individual Contribution Amount:

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.:	NASD; 98-01958
Date Notice/Process Served:	05/22/1998
Arbitration Pending?	No
Disposition:	Settled
Disposition Date:	05/13/1999
Monetary Compensation Amount:	\$50,000.00
Individual Contribution Amount:	
Firm Statement	SETTLEMENT FOR \$50,000 WITH THE MUTUAL UNDERSTANDING THAT THIS WAS A RESOLUTION OF A DISPUTED CLAIM WITH NO ATTRIBUTION OF FAULT TO DAIN RAUSCHER INCORPORATED OR THE BROKER, JAMES (TED) OAKLEY. NOT PROVIDED



Reporting Source: Individual
Employing firm when activities occurred which led to the complaint: DAIN RAUSCHER INCORPORATED
Allegations: CLIENT ALLEGES BROKER RECOMMENDED UNSUITABLE INVESTMENTS, CHURNED ACCOUNT AND COMMITTED FRAUD, AND CLAIMS \$318,941.36 IN DAMAGES.

Product Type: Equity Listed (Common & Preferred Stock)
Alleged Damages: \$318,941.36

Customer Complaint Information

Date Complaint Received: 05/22/1998

Complaint Pending? No

Status: Settled

Status Date: 05/13/1999

Settlement Amount: \$50,000.00

Individual Contribution Amount: \$16,666.00

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: NASD; 98-01958

Date Notice/Process Served: 05/13/1998

Arbitration Pending? No

Disposition: Settled

Disposition Date: 05/22/1999

Monetary Compensation Amount: \$50,000.00

Individual Contribution Amount: \$0.00

Broker Statement SETTLEMENT FOR \$50,000.00 WITH THE MUTUAL UNDERSTANDING THAT THIS WAS A RESOLUTION OF A DISPUTED CLAIM WITH NO ATTRIBUTION OF FAULT TO DAIN RAUSCHER INCORPORATED OF THE BROKER, JAMES (TED) OAKLEY.



End of Report

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