



IAPD Report

JAMES ROBERT PHILLIPS

CRD# 850252

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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 ROBERT PHILLIPS (CRD# 850252)

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 **05/05/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	LPL FINANCIAL LLC	CRD# 6413	07/21/2021
IA	LPL FINANCIAL LLC	CRD# 6413	07/21/2021

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **4** 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	WADDELL & REED	866	SHERMAN OAKS, CA	06/05/2015 - 07/21/2021
IA	WADDELL & REED	866	SHERMAN OAKS, CA	06/05/2015 - 07/21/2021
B	WELLS FARGO ADVISORS, LLC	19616	LOS ANGELES, CA	01/01/2008 - 06/10/2015

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?

No



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

Employment 1 of 1

Firm Name: **LPL FINANCIAL LLC**
Main Address: 1055 LPL WAY
FORT MILL, SC 29715
Firm ID#: 6413

Regulator	Registration	Status	Date
B FINRA	General Securities Representative	Approved	07/21/2021
B California	Agent	Approved	07/21/2021
IA California	Investment Adviser Representative	Approved	07/21/2021
B Florida	Agent	Approved	07/21/2021
IA Florida	Investment Adviser Representative	Approved	07/21/2021
B Georgia	Agent	Approved	07/21/2021
IA Georgia	Investment Adviser Representative	Approved	07/21/2021
B Oregon	Agent	Approved	07/21/2021

Branch Office Locations

LPL FINANCIAL LLC
15060 VENTURA BLVD STE 200
SHERMAN OAKS, CA 91403

LPL FINANCIAL LLC
BURBANK, CA




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


Principal/Supervisory Exams

Exam	Category	Date
 General Securities Sales Supervisor Examination (Options Module & General Module) (S8)	Series 8	10/10/1984

General Industry/Product Exams

Exam	Category	Date
 Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
 General Securities Representative Examination (S7)	Series 7	02/21/1981
 Registered Representative Examination (S1)	Series 1	03/13/1978

State Securities Law Exams

Exam	Category	Date
 Uniform Securities Agent State Law Examination (S63)	Series 63	11/07/1984

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	06/05/2015 - 07/21/2021	WADDELL & REED	CRD# 866	SHERMAN OAKS, CA
IA	06/05/2015 - 07/21/2021	WADDELL & REED	CRD# 866	SHERMAN OAKS, CA
B	01/01/2008 - 06/10/2015	WELLS FARGO ADVISORS, LLC	CRD# 19616	LOS ANGELES, CA
IA	01/01/2008 - 06/10/2015	WELLS FARGO ADVISORS, LLC	CRD# 19616	LOS ANGELES, CA
B	04/20/2007 - 01/03/2008	A. G. EDWARDS & SONS, INC.	CRD# 4	SHERMAN OAKS, CA
IA	04/20/2007 - 01/01/2008	A. G. EDWARDS & SONS, INC.	CRD# 4	SHERMAN OAKS, CA
IA	06/23/2003 - 05/01/2007	FAHNESTOCK ASSET MANAGEMENT	CRD# 249	LOS ANGELES, CA
B	06/23/2003 - 05/01/2007	OPPENHEIMER & CO. INC.	CRD# 249	LOS ANGELES, CA
IA	05/13/2003 - 07/01/2003	WACHOVIA SECURITIES, LLC	CRD# 19616	CENTURY CITY, CA
B	09/01/1999 - 07/01/2003	WACHOVIA SECURITIES, LLC	CRD# 19616	ST. LOUIS, MO
B	05/14/1996 - 08/27/1999	PAINWEBBER INCORPORATED	CRD# 8174	WEEHAWKEN, NJ
B	08/13/1993 - 04/30/1996	DEAN WITTER REYNOLDS INC.	CRD# 7556	PURCHASE, NY
B	06/06/1991 - 08/05/1993	SUTRO & CO. INCORPORATED	CRD# 801	SAN FRANCISCO, CA
B	11/21/1990 - 06/18/1991	PROGRESSIVE ASSET MANAGEMENT, INC.	CRD# 20633	SAN RAFAEL, CA
B	08/25/1989 - 11/06/1990	PRUDENTIAL-BACHE SECURITIES INC.	CRD# 7471	NEW YORK, NY
B	02/13/1989 - 08/25/1989	THOMSON MCKINNON SECURITIES INC.	CRD# 829	NEW YORK, NY
B	04/01/1987 - 03/11/1989	SUTRO & CO. INCORPORATED	CRD# 801	
B	08/10/1984 - 03/20/1987	DREXEL BURNHAM LAMBERT INCORPORATED	CRD# 7323	



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	01/16/1981 - 08/10/1984	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	CRD# 7691	
B	03/22/1978 - 12/12/1979	CAL-WESTERN SECURITIES CO.	CRD# 130	
B	03/22/1978 - 12/12/1979	CALIFORNIA-WESTERN STATES LIFE INSURANCE COMPANY	CRD# 132	

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
07/2021 - Present	LPL FINANCIAL LLC	Financial Advisor	Y	SHERMAN OAKS, CA, United States
09/2018 - 07/2021	PHILLIPS-GUNN ASSOCIATES	PRESIDENT	N	BURBANK, CA, United States
09/2018 - 07/2021	Phillips Gunn Associates LLC	President	N	BURBANK, CA, United States
06/2015 - 07/2021	VARIOUS INSURANCE CARRIERS FOR W&R INSURANCE AGENCIES	INSURANCE AGENT	Y	BURBANK, CA, United States
06/2015 - 07/2021	WADDELL & REED, INC	ASSOCIATED PERSON	Y	SHERMAN OAKS, CA, United States
01/2007 - 07/2021	JR PHILLIPS	WRITER	N	BURBANK, CA, 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.

01/2007-PRESENT, JR PHILLIPS, BURBANK, CA, CREATIVE WRITING, NOT INVEST-RELATED, WRITER, 2 HRS/MO, 0 HRS DURING SEC TRADING;

06/2015-PRESENT, VARIOUS INSURANCE CARRIERS FOR W&R INSURANCE AGENCIES, BURBANK, CA, INSURANCE SALES, INVEST-RELATED, INSURANCE AGENT.

09/2018-PRESENT, PHILLIPS GUNN ASSOCIATES LLC, BURBANK, CA; INVESTMENT RELATED: NO; PRESIDENT; NUMBER OF HOURS MONTHLY: 5, SECURITIES TRADING HOURS: 0.



End of Report

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