



IAPD Report

BYRON D GREEN JR

CRD# 858585

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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

BYRON D GREEN JR (CRD# 858585)

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 **03/29/2018**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
IA	GREEN INVESTMENT MANAGEMENT, INC.	CRD# 109695	01/10/2017

QUALIFICATIONS

This representative is currently registered in **0** SRO(s) and **3** 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	GREEN INVESTMENT MANAGEMENT INC	109695	FORT WORTH, TX	04/12/1996 - 12/31/2016
B	RHODES SECURITIES, INC.	19610	FT WORTH, TX	04/12/1988 - 12/31/2004
B	SIMMONS-GREEN FINANCIAL SERVICES, INC.	10393	FT WORTH, TX	03/23/1982 - 04/05/1988

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



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

Employment 1 of 1

Firm Name: **GREEN INVESTMENT MANAGEMENT, INC.**

Main Address: 500 WEST 7TH STREET
SUITE 827
FORT WORTH, TX 76102

Firm ID#: 109695

Regulator	Registration	Status	Date
IA California	Investment Adviser Representative	Approved	01/10/2017
IA Maryland	Investment Adviser Representative	Approved	01/12/2017
IA Texas	Investment Adviser Representative	Approved	01/11/2017

Branch Office Locations

GREEN INVESTMENT MANAGEMENT, INC.

309 WEST 7TH STREET SUITE 101
FORT WORTH, TX 76102



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

Principal/Supervisory Exams

Exam	Category	Date
 Municipal Securities Principal Examination (S53)	Series 53	10/22/1986
 General Securities Principal Examination (S24)	Series 24	12/15/1981
 Registered Options Principal Examination (S4)	Series 4	12/15/1981

General Industry/Product Exams

Exam	Category	Date
 Interest Rate Options Examination (S5)	Series 5	10/17/1981
 General Securities Representative Examination (S7)	Series 7	10/21/1978

State Securities Law Exams

Exam	Category	Date
 Uniform Investment Adviser Law Examination (S65)	Series 65	05/24/1993
 Uniform Securities Agent State Law Examination (S63)	Series 63	12/17/1979

PROFESSIONAL DESIGNATIONS

This section details that the representative has reported **1** professional designation(s).

Certified Financial Planner

This representative holds or did hold **1** 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	04/12/1996 - 12/31/2016	GREEN INVESTMENT MANAGEMENT INC	CRD# 109695	FORT WORTH, TX
B	04/12/1988 - 12/31/2004	RHODES SECURITIES, INC.	CRD# 19610	FT WORTH, TX
B	03/23/1982 - 04/05/1988	SIMMONS-GREEN FINANCIAL SERVICES, INC.	CRD# 10393	
B	12/23/1981 - 04/15/1982	WEBER, HALL, SALE & ASSOCIATES	CRD# 876	
B	11/26/1979 - 01/22/1982	SHEARSON LOEB RHOADES INC.	CRD# 7506	
B	11/01/1978 - 11/26/1979	LOEB PARTNERS	CRD# 7534	

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
07/1995 - Present	GREEN INVESTMENT MGMT, INC.	PRESIDENT, IA REP	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.

No information reported.



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

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:	08/29/1986
Docket/Case Number:	TEX-437-AWC
Employing firm when activity occurred which led to the regulatory action:	SIMMONS-GREEN FINANCIAL SERVICES, INC.
Product Type:	
Other Product Type(s):	
Allegations:	
Current Status:	Final
Resolution:	Consent
Resolution Date:	08/29/1986
Sanctions Ordered:	Censure Monetary/Fine \$1,000.00
Other Sanctions Ordered:	
Sanction Details:	
Regulator Statement	ON AUGUST 29, 1986, THE LETTER OF ACCEPTANCE, WAIVER AND CONSENT



NO. TEX-437-AWC (DISTRICT NO. 6) SUBMITTED BY RESPONDENTS SIMMONS-GREEN FINANCIAL SERVICES, INC., ROYCE SIMMONS AND BYRON GREEN WAS ACCEPTED; THEREFORE, THEY ARE CENSURED AND FINED \$1,000, JOINTLY AND SEVERALLY (ARTICLE III, SECTIONS 1, 27(c) AND 33, APPENDIX E, SECTION 20(a) OF THE RULES OF FAIR PRACTICE AND MSRB RULE G-27(c) - RESPONDENTS FAILED TO MAINTAIN A COMPLETE RECORD OF THE RECEIPT OF CUSTOMER CHECKS RECEIVED IN CONNECTION WITH THE SALE OF VARIOUS LIMITED PARTNERSHIP PROGRAMS; FAILED TO MAINTAIN FOUR SUBSCRIPTION AGREEMENTS AND FIVE AGREEMENTS FAILED TO INCLUDE CUSTOMER SIGNATURES; FILED THE ANNUAL AUDIT FOR DECEMBER 1984 FIVE DAYS LATE; FAILED, IN CONNECTION WITH OPTION TRADES EXECUTED, TO EVIDENCE SUPERVISION BY A REGISTERED OPTIONS PRINCIPAL; FAILED, IN CONNECTION WITH MUNICIPAL TRADES, TO EVIDENCE SUPERVISION BY A MUNICIPAL PRINCIPAL; AND FAILED TO EVIDENCE SUPERVISION OF THE MEMBER'S GENERAL SECURITIES TRADE BY A GENERAL SECURITIES PRINCIPAL).

Reporting Source:	Firm
Regulatory Action Initiated By:	NATIONAL ASSOCIATION OF SECURITIES DEALERS, INC.
Sanction(s) Sought:	
Other Sanction(s) Sought:	
Date Initiated:	08/29/1986
Docket/Case Number:	TEX-437-AWC
Employing firm when activity occurred which led to the regulatory action:	SIMMONS-GREEN FINANCIAL SERVICES, INC.
Product Type:	
Other Product Type(s):	
Allegations:	
Current Status:	Final
Resolution:	Consent
Resolution Date:	08/29/1986
Sanctions Ordered:	Censure Monetary/Fine \$1,000.00
Other Sanctions Ordered:	
Sanction Details:	
Firm Statement	ON 6/23/86, BYRON D. GREEN (JR) SIGNED A LETTER OF ACCEPTANCE, WAIVER AND CONSENT IN CONNECTION WITH COMPLAINT #TEX-437-AWC BROUGHT BY THE DBCC FOR DISTRICT #6. ON 8/27/86, THE DBCC ACCEPTED THE LETTER OF ACCEPTANCE, WAIVER AND CONSENT. A FINE OF \$1,000.00 WAS PAID BY SIMMONS-GREEN



FINANCIAL SERVICES, INC. ON 9/15/86.

Reporting Source: Individual

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

Sanction(s) Sought: Censure

Other Sanction(s) Sought:

Date Initiated: 08/01/1986

Docket/Case Number: TEX-437-AWC

Employing firm when activity occurred which led to the regulatory action: SIMMONS-GREEN FINANCIAL SERVICES, INC.

Product Type: Options

Other Product Type(s):

Allegations: AS A RESULT OF AN NASD EXAMINATION IN JULY 1985, CERTAIN EVENTS WERE DETERMINED TO BE IN VIOLATION OF ARTICLE III, SECTION 1, 27(C) AND 33, APPENDIX E, SECTION 20(A) OF THE RULES OF FAIR PRACTICE AND MSRB RULE G-27(C).

Current Status: Final

Resolution: Consent

Resolution Date: 08/27/1986

Sanctions Ordered: Censure
Monetary/Fine \$1,000.00

Other Sanctions Ordered:

Sanction Details: FINE PAID SEPTEMBER 15, 1986.

Broker Statement

GREEN SIGNED A LETTER OF ACCEPTANCE, WAIVER AND CONSENT IN CONNECTION WITH COMPLAINT NO. TEX-437-AWC. WITHOUT ADMITTING OR DENYING THE EXISTENCE OF ANY VIOLATIVE ACTIVITY, SIMMONS-GREEN FINANCIAL SERVICES, INC., ROYCE D. SIMMONS, AND BYRON D. GREEN, JR ACCEPTED AND CONSENTED TO THE FINDINGS OF CERTAIN EVENTS AND ACTIVITIES WHICH WERE IN VIOLATION OF ARTICLE III, SECTION 1,27(C) AND 33, APPENDIX E, SECTION 20(A) OF THE NASD'S RULES OF FAIR PRACTICE, AND MSRB RULE G-27(C), AND ALSO CONSENTED TO A SANCTION OF CENSURE AND \$1,000.00 FINE, JOINTLY AND SEVERALLY. THE DBCC FOR DISTRICT #6 AND THE NBCC ACCEPTED THE LETTER OF ACCEPTANCE, WAIVER AND CONSENT ON 8/27/86. THE FINE OF \$1,000.00 WAS PAID BY SIMMONS-GREEN FINANCIAL SERVICES, INC. ON 9/15/86.



End of Report

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