

BrokerCheck Report

AMEGY INVESTMENTS, INC.

CRD# 120145

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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.

About BrokerCheck®



BrokerCheck offers information on all current, and many former, registered securities brokers, and all current and former registered securities firms. FINRA strongly encourages investors to use BrokerCheck to check the background of securities brokers and brokerage firms before deciding to conduct, or continue to conduct, business with them.

- **What is included in a BrokerCheck report?**

- BrokerCheck reports for individual brokers include information such as employment history, professional qualifications, disciplinary actions, criminal convictions, civil judgments and arbitration awards. BrokerCheck reports for brokerage firms include information on a firm's profile, history, and operations, as well as many of the same disclosure events mentioned above.

- Please note that the information contained in a BrokerCheck 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 broker or brokerage firm, or concluded through a negotiated settlement with no admission or finding of wrongdoing.

- **Where did this information come from?**

- The information contained in BrokerCheck comes from FINRA's Central Registration Depository, or CRD® and is a combination of:
 - information FINRA and/or the Securities and Exchange Commission (SEC) require brokers and brokerage firms to submit as part of the registration and licensing process, and
 - information that regulators report regarding disciplinary actions or allegations against firms or brokers.

- **How current is this information?**

- Generally, active brokerage firms and brokers are required to update their professional and disciplinary information in CRD within 30 days. Under most circumstances, information reported by brokerage firms, brokers and regulators is available in BrokerCheck the next business day.

- **What if I want to check the background of an investment adviser firm or investment adviser representative?**

- To check the background of an investment adviser firm or representative, you can search for the firm or individual in BrokerCheck. If your search is successful, click on the link provided to view the available licensing and registration information in the SEC's Investment Adviser Public Disclosure (IAPD) website at <https://www.adviserinfo.sec.gov>. In the alternative, you may search the IAPD website directly or contact your state securities regulator at <http://www.finra.org/Investors/ToolsCalculators/BrokerCheck/P455414>.

- **Are there other resources I can use to check the background of investment professionals?**

- FINRA recommends that you learn as much as possible about an investment professional before deciding to work with them. Your state securities regulator can help you research brokers and investment adviser representatives doing business in your state.

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Thank you for using FINRA BrokerCheck.



Using this site/information means that you accept the FINRA BrokerCheck Terms and Conditions. A complete list of Terms and Conditions can be found at brokercheck.finra.org



For additional information about the contents of this report, please refer to the User Guidance or www.finra.org/brokercheck. It provides a glossary of terms and a list of frequently asked questions, as well as additional resources. [For more information about FINRA, visit www.finra.org.](http://www.finra.org)

**AMEGY INVESTMENTS, INC.**

CRD# 120145

SEC# 8-65399

Main Office Location4400 POST OAK PARKWAY
HOUSTON, TX 77027**Mailing Address**P.O. BOX 27459
HOUSTON, TX 77227-7459**Business Telephone Number**

713-232-2222

This firm is a brokerage firm and an investment adviser firm. For more information about investment adviser firms, visit the SEC's Investment Adviser Public Disclosure website at:

<https://www.adviserinfo.sec.gov>**Report Summary for this Firm**

This report summary provides an overview of the brokerage firm. Additional information for this firm can be found in the detailed report.

Firm Profile

This firm is classified as a corporation.

This firm was formed in Texas on 02/14/2002.

Its fiscal year ends in December.

Firm History

Information relating to the brokerage firm's history such as other business names and successions (e.g., mergers, acquisitions) can be found in the detailed report.

Firm Operations

This brokerage firm is no longer registered with FINRA or a national securities exchange.

Disclosure Events

Brokerage firms are required to disclose certain criminal matters, regulatory actions, civil judicial proceedings and financial matters in which the firm or one of its control affiliates has been involved.

Are there events disclosed about this firm? **No**



Registration Withdrawal Information

This section provides information relating to the date the brokerage firm ceased doing business and the firm's financial obligations to customers or other brokerage firms.

Date firm ceased business:	05/19/2016
Does this brokerage firm owe any money or securities to any customer or brokerage firm?	Yes
Number of customers owed funds or securities:	116
Amount of money owed to customer:	\$7,112,947.63
Amount of money owed to brokerage firm:	\$0.00
Market value of securities owed to customer:	\$136,521,577.80
Market value of securities owed to brokerage firm:	\$0.00
Payment arrangement:	<p>OVER THE LAST SEVERAL MONTHS, AMEGY INVESTMENTS, INC. HAS BEEN PRO-ACTIVELY CONTACTING THE REMAINING CLIENTS ON ITS BOOKS (IN WRITING AND OVER THE PHONE) TO ADVISE THEM THAT THE FIRM WILL BE CEASING ALL SECURITIES OPERATIONS BY 6/30/16 AND REQUESTING THAT THEY MOVE THEIR BROKERAGE ACCOUNT TO ANOTHER BROKER-DEALER OF THEIR CHOICE. WE ANTICIPATE THAT MOST, IF NOT ALL OF THE 116 ACCOUNTS REPORTED IN THIS FORM BDW WILL BE MOVED BY 6/30/16 TO A BROKER-DEALER OF THE CLIENT'S CHOICE. BETWEEN NOW AND 6/30/16 WHEN OUR FULLY DISCLOSED CLEARING AGREEMENT WITH PERSHING LLC EXPIRES, WE WILL CONTINUE TO AGGRESSIVELY REACH OUT TO THESE REMAINING CLIENTS, AND ADVISE THEM THAT IF THEY DO NOT TAKE APPROPRIATE MEASURES TO TRANSFER THEIR BROKERAGE ACCOUNT TO ANOTHER BROKER DEALER BY 6/30/16, THEIR ACCOUNT WILL BECOME AN "ORPHANED" ACCOUNT AT PERSHING LLC, AND THEY WILL HAVE TO WORK DIRECTLY WITH PERSHING TO OBTAIN THEIR FUNDS AND SECURITIES.</p>



Firm Profile

This firm is classified as a corporation.

This firm was formed in Texas on 02/14/2002.

Its fiscal year ends in December.

Firm Names and Locations

This section provides the brokerage firm's full legal name, "Doing Business As" name, business and mailing addresses, telephone number, and any alternate name by which the firm conducts business and where such name is used.

AMEGY INVESTMENTS, INC.

Doing business as AMEGY INVESTMENTS, INC.

CRD# 120145

SEC# 8-65399

Main Office Location

4400 POST OAK PARKWAY
HOUSTON, TX 77027

Mailing Address

P.O. BOX 27459
HOUSTON, TX 77227-7459

Business Telephone Number

713-232-2222



Firm Profile

This section provides information relating to all direct owners and executive officers of the brokerage firm.

Direct Owners and Executive Officers

Legal Name & CRD# (if any):	ZB, N.A.
Is this a domestic or foreign entity or an individual?	Domestic Entity
Position	OWNER
Position Start Date	01/2016
Percentage of Ownership	75% or more
Does this owner direct the management or policies of the firm?	Yes
Is this a public reporting company?	No

Legal Name & CRD# (if any):	CHAPA, SCOTT EDWARD 4309262
Is this a domestic or foreign entity or an individual?	Individual
Position	DIRECTOR / SENIOR VICE PRESIDENT
Position Start Date	01/2015
Percentage of Ownership	Less than 5%
Does this owner direct the management or policies of the firm?	Yes
Is this a public reporting company?	No

Legal Name & CRD# (if any):	DILLARD, KAREN
Is this a domestic or foreign entity or an individual?	Individual
Position	ASSISTANT SECRETARY
Position Start Date	01/2010
Percentage of Ownership	Less than 5%

Firm Profile



Direct Owners and Executive Officers (continued)

Does this owner direct the management or policies of the firm? No

Is this a public reporting company? No

Legal Name & CRD# (if any): KNELL, TERRY LYNN
1733584

Is this a domestic or foreign entity or an individual? Individual

Position VICE PRESIDENT & CHIEF COMPLIANCE OFFICER - BROKER DEALER & INVESTMENT ADVISORY SERVICES

Position Start Date 07/2014

Percentage of Ownership Less than 5%

Does this owner direct the management or policies of the firm? Yes

Is this a public reporting company? No

Legal Name & CRD# (if any): NEWMAN, VALERIE LAYNE
2763957

Is this a domestic or foreign entity or an individual? Individual

Position VICE PRESIDENT

Position Start Date 01/2015

Percentage of Ownership Less than 5%

Does this owner direct the management or policies of the firm? No

Is this a public reporting company?

Legal Name & CRD# (if any): OUYANG, JANE JIA

Firm Profile



Direct Owners and Executive Officers (continued)

	1817244
Is this a domestic or foreign entity or an individual?	Individual
Position	DIRECTOR/SVP/CHIEF OPERATIONS OFFICER/CFO/FINOP
Position Start Date	02/2005
Percentage of Ownership	Less than 5%
Does this owner direct the management or policies of the firm?	Yes
Is this a public reporting company?	No
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Legal Name & CRD# (if any):	PAUL, ROSALIE JANISE 2217903
Is this a domestic or foreign entity or an individual?	Individual
Position	ASST. VICE PRESIDENT, COMPLIANCE OFFICER - INSURANCE ACTIVITIES
Position Start Date	03/2012
Percentage of Ownership	Less than 5%
Does this owner direct the management or policies of the firm?	Yes
Is this a public reporting company?	No
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Legal Name & CRD# (if any):	SHELTON, ROBERT ANDREWS 2561167
Is this a domestic or foreign entity or an individual?	Individual
Position	DIRECTOR / SENIOR VICE PRESIDENT
Position Start Date	01/2015
Percentage of Ownership	Less than 5%

Firm Profile



Direct Owners and Executive Officers (continued)

Does this owner direct the management or policies of the firm? Yes

Is this a public reporting company? No

Legal Name & CRD# (if any): TAYLOR, LINCOLN EARL
5011548

Is this a domestic or foreign entity or an individual? Individual

Position PRESIDENT & DIRECTOR

Position Start Date 01/2016

Percentage of Ownership Less than 5%

Does this owner direct the management or policies of the firm? Yes

Is this a public reporting company? No

Firm Profile

This section provides information relating to any indirect owners of the brokerage firm.



Indirect Owners

Legal Name & CRD# (if any):	ZIONS BANCORPORATION
Is this a domestic or foreign entity or an individual?	Domestic Entity
Company through which indirect ownership is established	ZB, N.A.
Relationship to Direct Owner	OWNER
Relationship Established	12/2005
Percentage of Ownership	75% or more
Does this owner direct the management or policies of the firm?	Yes
Is this a public reporting company?	Yes

Firm History

This section provides information relating to any successions (e.g., mergers, acquisitions) involving the firm.

No information reported.



Firm Operations



Registrations

This section provides information about the regulators (Securities and Exchange Commission (SEC), self-regulatory organizations (SROs), and U.S. states and territories) with which the brokerage firm is currently registered and licensed, the date the license became effective, and certain information about the firm's SEC registration.

This firm is no longer registered.

The firm's registration was from 11/13/2002 to 07/18/2016.



Firm Operations

Types of Business

This section provides the types of business, including non-securities business, the brokerage firm is engaged in or expects to be engaged in.

This firm currently conducts 14 types of businesses.

Types of Business

Broker or dealer retailing corporate equity securities over-the-counter
Broker or dealer selling corporate debt securities
Mutual fund retailer
U S. government securities dealer
U S. government securities broker
Municipal securities dealer
Municipal securities broker
Broker or dealer selling variable life insurance or annuities
Solicitor of time deposits in a financial institution
Put and call broker or dealer or option writer
Investment advisory services
Non-exchange member arranging for transactions in listed securities by exchange member
Broker or dealer involved in a networking, kiosk or similar arrangement with a: bank, savings bank or association, or credit union
Broker or dealer involved in a networking, kiosk or similar arrangement with a: insurance company or agency

Firm Operations



Clearing Arrangements

This firm does not hold or maintain funds or securities or provide clearing services for other broker-dealer(s).

Introducing Arrangements

This firm does refer or introduce customers to other brokers and dealers.

Name:	PERSHING LLC
CRD #:	7560
Business Address:	1 PERSHING PLAZA JERSEY CITY, NJ 07399
Effective Date:	01/17/2003
Description:	APPLICANT CLEARS ALL SECURITIES TRANSACTIONS WITH PERSHING LLC ON A FULLY DISCLOSED BASIS.

Firm Operations

Industry Arrangements



This firm does have books or records maintained by a third party.

Name:	PERSHING LLC
CRD #:	7560
Business Address:	1 PERSHING PLAZA JERSEY CITY, NJ 07399
Effective Date:	01/17/2003
Description:	APPLICANT CLEARS ALL SECURITIES TRANSACTIONS WITH PERSHING LLC ON A FULLY DISCLOSED BASIS.

This firm does not have accounts, funds, or securities maintained by a third party.

This firm does not have customer accounts, funds, or securities maintained by a third party.

Control Persons/Financing

This firm does not have individuals who control its management or policies through agreement.

This firm does not have individuals who wholly or partly finance the firm's business.



Firm Operations

Organization Affiliates

This section provides information on control relationships the firm has with other firms in the securities, investment advisory, or banking business.

This firm is, directly or indirectly:

- in control of
 - controlled by
 - or under common control with
- the following partnerships, corporations, or other organizations engaged in the securities or investment advisory business.

ZIONS CAPITAL ADVISORS, INC. is under common control with the firm.

CRD #:	131308
Business Address:	1608 FOURTH STREET STE 410 BERKELEY, CA 94710-1749
Effective Date:	12/03/2005
Foreign Entity:	No
Country:	
Securities Activities:	No
Investment Advisory Activities:	Yes
Description:	AMEGY INVESTMENTS, INC. AND ZIONS CAPITAL ADVISORS, INC. (FORMERLY CONTANGO CAPITAL ADVISORS) ARE COMMONLY CONTROLLED BY ZIONS BANCORPORATION. CONTANGO CAPITAL ADVISORS CHANGED ITS NAME TO ZIONS CAPITAL ADVISORS, INC. IN OCTOBER, 2014.

ZIONS DIRECT, INC. is under common control with the firm.

CRD #:	17776
Business Address:	ONE SOUTH MAIN STREET 17TH FLOOR SALT LAKE CITY, UT 84111
Effective Date:	12/03/2005
Foreign Entity:	No
Country:	
Securities Activities:	Yes

Firm Operations



Organization Affiliates (continued)

Investment Advisory Activities: Yes

Description: AMEGY INVESTMENTS, INC. AND ZIONS DIRECT, INC. ARE COMMONLY CONTROLLED BY ZIONS BANCORPORATION

ZIONS BANCORPORATION controls the firm.

Business Address: ONE SOUTH MAIN STREET, 17TH FLOOR
SALT LAKE CITY, UT 84111

Effective Date: 12/03/2005

Foreign Entity: No

Country:

Securities Activities: No

Investment Advisory Activities: No

Description: APPLICANT IS UNDER OWNERSHIP OF ZIONS BANCORPORATION

This firm is directly or indirectly, controlled by the following:

- bank holding company
- national bank
- state member bank of the Federal Reserve System
- state non-member bank
- savings bank or association
- credit union
- or foreign bank

ZB, N.A. is a National Bank and controls the firm.

Business Address: ONE SOUTH MAIN STREET
SALT LAKE CITY, UT 84111

Effective Date: 01/01/2016

Description: APPLICANT IS OWNED BY ZB, N.A.

End of Report



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