BrokerCheck Report

JAMES ALLEN MITCHELL

CRD# 4463759

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Please be aware that fraudsters may link to BrokerCheck from phishing and similar scam websites, trying to steal your personal information or your money. Make sure you know who you're dealing with when investing, and contact FINRA with any concerns.

For more information read our investor alert on imposters.

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.

JAMES A. MITCHELL

CRD# 4463759

Currently employed by and registered with the following Firm(s):

FRANKLIN DISTRIBUTORS, LLC
15165 Saddlebrook Lane
Poway, CA 92064
CRD# 109064
Registered with this firm since: 10/10/2019

Report Summary for this Broker

This report summary provides an overview of the broker's professional background and conduct. Additional information can be found in the detailed report.

Broker Qualifications

This broker is registered with:

- 1 Self-Regulatory Organization
- 10 U.S. states and territories

This broker has passed:

- 0 Principal/Supervisory Exams
- 3 General Industry/Product Exams
- 1 State Securities Law Exam

Registration History

This broker was previously registered with the following securities firm(s):

ALPS DISTRIBUTORS, INC.
CRD# 16853
DENVER, CO
08/2013 - 09/2019

KBR CAPITAL MARKETS, LLC
CRD# 128800
REDWOOD CITY, CA
07/2007 - 08/2013

PROSPECT FINANCIAL ADVISORS, LLC
CRD# 124728
FAIRFAX, VA
05/2006 - 07/2007

Disclosure Events

All individuals registered to sell securities or provide investment advice are required to disclose customer complaints and arbitrations, regulatory actions, employment terminations, bankruptcy filings, and criminal or civil judicial proceedings.

Are there events disclosed about this broker? **Yes**

The following types of disclosures have been reported:

Type	Count
Criminal	1

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Broker Qualifications

Registrations

This section provides the self-regulatory organizations (SROs) and U.S. states/territories the broker is currently registered and licensed with, the category of each license, and the date on which it became effective. This section also provides, for every brokerage firm with which the broker is currently employed, the address of each branch where the broker works.

This individual is currently registered with 1 SRO and is licensed in 10 U.S. states and territories through his or her employer.

Employment 1 of 1

Firm Name: **FRANKLIN DISTRIBUTORS, LLC**

Main Office Address: **ONE FRANKLIN PARKWAY**
SAN MATEO, CA 94403

Firm CRD#: **109064**

	SRO	Category	Status	Date
B	FINRA	General Securities Representative	Approved	10/10/2019

	U.S. State/ Territory	Category	Status	Date
B	Alaska	Agent	Approved	01/03/2023
B	California	Agent	Approved	10/10/2019
B	Connecticut	Agent	Approved	01/07/2022
B	Florida	Agent	Approved	01/10/2022
B	Idaho	Agent	Approved	01/06/2023
B	Massachusetts	Agent	Approved	01/18/2024
B	Nevada	Agent	Approved	01/18/2023
B	New York	Agent	Approved	10/10/2019
B	Oregon	Agent	Approved	01/04/2023
B	Washington	Agent	Approved	10/10/2019

Branch Office Locations

This individual does not have any registered Branch Office where the individual is located.

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Broker Qualifications

Employment 1 of 1, continued

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Broker Qualifications

Industry Exams this Broker has Passed

This section includes all securities industry exams that the broker has passed. Under limited circumstances, a broker may attain a registration after receiving an exam waiver based on exams the broker has passed and/or qualifying work experience. Any exam waivers that the broker has received are not included below.

This individual has passed 0 principal/supervisory exams, 3 general industry/product exams, and 1 state securities law exam.

Principal/Supervisory Exams

Exam		Category	Date
	No information reported.		

General Industry/Product Exams

Exam		Category	Date
B	Securities Industry Essentials Examination	SIE	10/01/2018
B	General Securities Representative Examination	Series 7	05/19/2006
B	Investment Company Products/Variable Contracts Representative Examination	Series 6	12/10/2001

State Securities Law Exams

Exam		Category	Date
B	Uniform Securities Agent State Law Examination	Series 63	11/19/2003

Additional information about the above exams or other exams FINRA administers to brokers and other securities professionals can be found at www.finra.org/brokerqualifications/registeredrep/.

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Broker Qualifications

Professional Designations

This section details that the representative has reported **0** professional designation(s).

No information reported.

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Registration and Employment History

Registration History

The broker previously was registered with the following firms:

Registration Dates	Firm Name	CRD#	Branch Location
B 08/2013 - 09/2019	ALPS DISTRIBUTORS, INC.	16853	DENVER, CO
B 07/2007 - 08/2013	KBR CAPITAL MARKETS, LLC	128800	REDWOOD CITY, CA
B 05/2006 - 07/2007	PROSPECT FINANCIAL ADVISORS, LLC	124728	FAIRFAX, VA
B 12/2004 - 12/2005	METLIFE INVESTORS DISTRIBUTION COMPANY	107622	NEW YORK CITY, NY
B 10/2003 - 12/2004	METLIFE INVESTORS DISTRIBUTION COMPANY	6695	NEWPORT BEACH, CA
B 09/2003 - 10/2003	PACIFIC SELECT DISTRIBUTORS, INC.	4452	NEWPORT BEACH, CA

Employment History

This section provides up to 10 years of an individual broker's employment history as reported by the individual broker on the most recently filed Form U4.

Please note that the broker is required to provide this information only while registered with FINRA or a national securities exchange and the information is not updated via Form U4 after the broker ceases to be registered. Therefore, an employment end date of "Present" may not reflect the broker's current employment status.

Employment	Employer Name	Position	Investment Related	Employer Location
10/2019 - Present	FRANKLIN DISTRIBUTORS, LLC	Registered Representative	Y	Baltimore, MD, United States
10/2019 - 07/2021	Legg Mason & Co LLC	Regional Director - West Coast	Y	Millbrae, CA, United States
08/2013 - 09/2019	ALPS Distributors, INC	Registered Rep	Y	Denver, CO, United States
08/2013 - 09/2019	WATER ISLAND CAPITAL, LLC	REGIONAL VICE PRESIDENT	Y	NEW YORK, NY, United States

Other Business Activities

This section includes information, if any, as provided by the broker regarding other business activities the broker 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.

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Registration and Employment History

Other Business Activities, continued

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Disclosure Events

What you should know about reported disclosure events:

1. All individuals registered to sell securities or provide investment advice are required to disclose customer complaints and arbitrations, regulatory actions, employment terminations, bankruptcy filings, and criminal or civil judicial proceedings.

2. **Certain thresholds must be met before an event is reported to CRD, for example:**
   - A law enforcement agency must file formal charges before a broker is required to disclose a particular criminal event.
   - A customer dispute must involve allegations that a broker engaged in activity that violates certain rules or conduct governing the industry and that the activity resulted in damages of at least $5,000.
   -
3. **Disclosure events in BrokerCheck reports come from different sources:**
   - As mentioned at the beginning of this report, information contained in BrokerCheck comes from brokers, brokerage 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 BrokerCheck report. The different versions will be separated by a solid line with the reporting source labeled.
   -
4. **There are different statuses and dispositions for disclosure events:**
   - A disclosure event may have a status of *pending, on appeal,* or *final.*
     - A "pending" event involves allegations that have not been proven or formally adjudicated.
     - An event that is "on appeal" involves allegations that have been adjudicated but are currently being appealed.
     - A "final" event has been concluded and its resolution is not subject to change.
   - A final 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 involves an agreement by the parties to resolve the matter. Please note that brokers and brokerage firms may choose to settle customer disputes or regulatory matters for business or other reasons.
     - A "resolved" matter usually involves no payment to the customer and no finding of wrongdoing on the part of the individual broker. Such matters generally involve customer disputes.

For your convenience, below is a matrix of the number and status of disclosure events involving this broker. Further information regarding these events can be found in the subsequent pages of this report. You also may wish to contact the broker to obtain further information regarding these events.

	Pending	Final	On Appeal
Criminal	0	1	0

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Disclosure Event Details

When evaluating this information, please keep in mind that a discloure event may be pending or involve allegations that are contested and have not been resolved or proven. The matter may, in the end, be withdrawn, dismissed, resolved in favor of the broker, or concluded through a negotiated settlement for certain business reasons (e.g., to maintain customer relationships or to limit the litigation costs associated with disputing the allegations) with no admission or finding of wrongdoing.

This report provides the information exactly as it was reported to CRD and therefore some of the specific data fields contained in the report may be blank if the information was not provided to CRD.

Criminal - Final Disposition

This type of disclosure event involves a criminal charge against the broker that has resulted in a conviction, acquittal, dismissal, or plea. The criminal matter may pertain to any felony or certain misdemeanor offenses, including bribery, perjury, forgery, counterfeiting, extortion, fraud, and wrongful taking of property.

Disclosure 1 of 1

Reporting Source:	Broker
If charge(s) were brought against an organization over which broker exercised control:	
Organization Name:	
Investment Related Business:	No
Broker's Position:	
Formal Charges were brought in:	MUNICIPAL COURT
Name of Court:	SANTA BARBARA MUNICIPAL COURT
Location of Court:	SANTA BARBARA, CA
Docket/Case #:	483147
Charge Date:	08/07/1998
Charge(s) 1 of 1	
Formal Charge(s)/Description:	2 COUNTS OF MISDEMEANOR (MINOR IN A BAR, FALSE EVIDENCE OF AGE AND IDENTITY),
No of Counts:	2

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Felony or Misdemeanor:	Misdemeanor
Plea for each charge:	PLEA GUILTY
Disposition of charge:	Convicted
Current Status:	Final
Status Date:	02/08/1999
Disposition Date:	12/08/1998
Sentence/Penalty:	CONVICTED. PAID $400 FINE. COMPLETED YOUTH OFFENDER PROGRAM FROM 12/8/1998 TO 2/8/1999.

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End of Report

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