

BrokerCheck Report

ALLEN G WALL

CRD# 4838769

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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.

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.

ALLEN G. WALL

CRD# 4838769

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

IA STONEX ADVISORS INC.
 454 N Pine St
 Florence, AL 35630
 CRD# 174182
 Registered with this firm since: 06/30/2016

B STONEX SECURITIES INC.
 454 N Pine St
 FLORENCE, AL 35630
 CRD# 18456
 Registered with this firm since: 04/25/2014

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
- 23 U.S. states and territories

This broker has passed:

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

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

- IA STERNE AGEE ASSET MANAGEMENT, INC.**
 CRD# 130888
 BIRMINGHAM, AL
 04/2014 - 06/2016
- B WELLS FARGO ADVISORS, LLC**
 CRD# 19616
 FLORENCE, AL
 01/2008 - 04/2014
- IA WELLS FARGO ADVISORS, LLC**
 CRD# 19616
 ST. LOUIS, MO
 01/2008 - 04/2014

**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
Customer Dispute	1



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 23 U.S. states and territories through his or her employer.

Employment 1 of 2

Firm Name: **STONEX ADVISORS INC.**
 Main Office Address: **2 PERIMETER PARK SOUTH
 SUITE 500 WEST
 BIRMINGHAM, AL 35243**
 Firm CRD#: **174182**

	U.S. State/ Territory	Category	Status	Date
IA	Alabama	Investment Adviser Representative	Approved	06/30/2016

Branch Office Locations

2 PERIMETER PARK SOUTH
 SUITE 500 WEST
 BIRMINGHAM, AL 35243

454 N Pine St
 Florence, AL 35630

Employment 2 of 2

Firm Name: **STONEX SECURITIES INC.**
 Main Office Address: **2 PERIMETER PARK SOUTH
 SUITE 500 WEST
 BIRMINGHAM, AL 35243**
 Firm CRD#: **18456**

	SRO	Category	Status	Date
B	FINRA	General Securities Representative	Approved	04/25/2014

Broker Qualifications



Employment 2 of 2, continued

	U.S. State/ Territory	Category	Status	Date
B	Alabama	Agent	Approved	04/25/2014
B	Arizona	Agent	Approved	10/09/2014
B	California	Agent	Approved	03/18/2021
B	Colorado	Agent	Approved	10/04/2024
B	Florida	Agent	Approved	09/09/2014
B	Georgia	Agent	Approved	09/08/2014
B	Indiana	Agent	Approved	09/08/2014
B	Iowa	Agent	Approved	05/01/2014
B	Kentucky	Agent	Approved	03/22/2018
B	Louisiana	Agent	Approved	01/03/2017
B	Massachusetts	Agent	Approved	05/21/2024
B	Michigan	Agent	Approved	10/06/2025
B	Minnesota	Agent	Approved	07/03/2019
B	Mississippi	Agent	Approved	04/25/2014
B	Nebraska	Agent	Approved	09/08/2014
B	New York	Agent	Approved	10/22/2014
B	North Carolina	Agent	Approved	06/25/2015
B	Pennsylvania	Agent	Approved	03/19/2021
B	Tennessee	Agent	Approved	04/25/2014
B	Texas	Agent	Approved	09/11/2014
B	Virginia	Agent	Approved	10/18/2018

Broker Qualifications



Employment 2 of 2, continued

	U.S. State/ Territory	Category	Status	Date
B	Washington	Agent	Approved	03/05/2020
B	Wisconsin	Agent	Approved	04/25/2014

Branch Office Locations

STONEX SECURITIES INC.
454 N Pine St
FLORENCE, AL 35630



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. A passed exam or exam waiver does not permit a broker to do business without an active SRO or state registration.

This individual has passed 0 principal/supervisory exams, 2 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	10/06/2004

State Securities Law Exams

Exam	Category	Date
B IA Uniform Combined State Law Examination	Series 66	10/20/2004

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/.

Broker Qualifications



Professional Designations

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

No information reported.



Registration and Employment History

Registration History

The broker previously was registered with the following firms:

Registration Dates	Firm Name	CRD#	Branch Location
IA 04/2014 - 06/2016	STERNE AGEE ASSET MANAGEMENT, INC.	130888	FLORENCE, AL
B 01/2008 - 04/2014	WELLS FARGO ADVISORS, LLC	19616	FLORENCE, AL
IA 01/2008 - 04/2014	WELLS FARGO ADVISORS, LLC	19616	FLORENCE, AL
B 10/2004 - 01/2008	A. G. EDWARDS & SONS, INC.	4	FLORENCE, AL
IA 10/2004 - 01/2008	A. G. EDWARDS & SONS, INC.	4	FLORENCE, AL

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
06/2016 - Present	STONEX ADVISORS INC.	INVESTMENT ADVISOR REPRESENTATIVE	Y	FLORENCE, AL, United States
04/2014 - Present	STONEX SECURITIES INC.	REGISTERED REPRESENTATIVE	Y	FLORENCE, AL, 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.

- 1) RENTAL PROPERTY; INV RELATED; FLORENCE, AL; 100% OWNERSHIP WITH SPOUSE; START 2005; 5 HRS DEVOED PER MONTH; 0 DURING TRADING.
- 2) RENTAL PROPERTY; INV RELATED; SHEFFIELD, AL; RENTAL PROPERTY; OWNER; START DATE 4/1/2011; 3 HRS PER MONTH; 0 HRS DURING TRADING.
- 3) RENTAL PROPERTY; INV RELATED; FLORENCE, AL; CO-OWNER; START DATE 12/2013; 2 HRS PER MONTH; 0 HRS DURING TRADING.
- 4) RENTAL PROPERTY, INV RELATED, FLORENCE, AL, 50% OWNER, START: 3/2014, 2 HOUR PER MONTH/0 DURING TRADING, DUTIES: LANDLORD.



Registration and Employment History

Other Business Activities, continued

5)BA REALTY LLC, INV RELATED, FLORENCE, AL, 50% OWNER, 1 HOUR PER MONTH/0 DURING TRADING.

6)First United Methodist Church; 415 N Seminary Street, Florence, AL 35630; Review income, expenses, and create budget; Non-investment related; Church Finance Committee Board Member; Hold monthly meeting to review budget; 11/08/2018; 1 hr per month and 0 hrs during market hrs.

7) TAAC LLC - 4025 COUNTY RD 19, FLORENCE, AL 35633

NATURE OF BUSINESS: Apartment and commercial Rental Space

INVESTMENT RELATED: NO

BUSINESS POSITION: OWNER

BUSINESS DUTIES: Business Manager

BUSINESS START DATE: 01/01/2019

APPROXIMATELY 2 HOURS SPENT ON THIS OBA MONTHLY.

8) J. Hat LLC 310 Cypress Mill Road Florence AL 35633

Nature of Business: J. Hat LLC is the LLC operating Voodoo Wing Company. Food service activity

Investment Related: No

Business Position: Minority Owner

Business Duties: 10% owner of LLC, No duties

Business Start Date: 05/05/2022

Approximately one hour spent on this OBA monthly, with one hour spent during market hours.

9)JHAT LLC DBA VOODOO WINGS - 310 Cypress MILL Road Florence AL 35630

Nature of Business: voodoo wings restaurant

Investment Related: no

Business Position: minority owner

Business duties: investor

Business Start Date: 01/01/2020

Approximately two hours spent on this OBA monthly, with zero during market hours.

10) Eagle Creek Wealth Managment - 401 East Tennessee Street Florence AL 35630

Nature of Business: Investment services

Investment Related: Yes

Business Position: Managing Partner

Business Duties: Managing Partner

Business Start Date: 09/30/2022

Approximately 50 hours spent on this OBA monthly with 50 during market hours.

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.
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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
Customer Dispute	0	1	N/A



Disclosure Event Details

When evaluating this information, please keep in mind that a disclosure 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.

Customer Dispute - Settled

This type of disclosure event involves a consumer-initiated, investment-related complaint, arbitration proceeding or civil suit containing allegations of sale practice violations against the broker that resulted in a monetary settlement to the customer.

Disclosure 1 of 1

Reporting Source:	Broker
Employing firm when activities occurred which led to the complaint:	WACHOVIA SECURITIES, LLC
Allegations:	ALLEGED THE INVESTMENT WAS SOLD TO HIM IN A FASHION THAT WAS COMPLETELY IRRESPONSIBLE. ALLEGED DAMAGES, UNSPECIFIED, BUT BELIEVED TO EXCEED \$5,000. (DATES OF ACTIVITY NOT SPECIFIED)
Product Type:	Other: ARS
Alleged Damages:	\$0.00
Alleged Damages Amount Explanation (if amount not exact):	ALLEGED DAMAGES, UNSPECIFIED, BUT BELIEVED TO EXCEED \$5,000.
Is this an oral complaint?	No
Is this a written complaint?	Yes
Is this an arbitration/CFTC reparation or civil litigation?	No

Customer Complaint Information

Date Complaint Received:	08/14/2008
Complaint Pending?	No
Status:	Settled



Status Date: 08/15/2008

Settlement Amount: \$350,000.00

Individual Contribution Amount: \$0.00

Broker Statement

THIS MATTER INVOLVES THE SALE OF AUCTION RATE SECURITIES (ARS). THE TRANSACTION(S) AT ISSUE TOOK PLACE BEFORE MID-FEBRUARY 2008, WHEN THE ARS MARKET SUFFERED WIDESPREAD AUCTION FAILURES AND ILLIQUIDITY. THE FINANCIAL ADVISOR DID NOT CAUSE, CONTRIBUTE OR HAVE ANY CONTROL WHATSOEVER OVER THESE MARKET EVENTS. THE FIRM REACHED AGREEMENT WITH CERTAIN OF ITS REGULATORS, PURSUANT TO WHICH IT REPURCHASED ARS FOR THEIR FULL PAR VALUE FROM CERTAIN CLIENTS, INCLUDING THE INSTANT CLIENT, WHETHER THEY COMPLAINED OR NOT. THE FINANCIAL ADVISOR WAS NOT A PARTY TO THAT AGREEMENT, DID NOT MAKE ANY PAYMENT TO THE CLIENT, AND WAS NOT ASKED TO AND DID NOT CONTRIBUTE TO THE REPURCHASE AMOUNT. THE SETTLEMENT AMOUNT IN ITEM 11 ABOVE REFLECTS THE PAR VALUE OF THE REPURCHASED ARS, AS REQUIRED BY FINRA REGULATORY NOTICE 09-12.

End of Report



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