

## BrokerCheck Report

**JAMES THEODORE OAKLEY**

CRD# 813008

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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](http://brokercheck.finra.org)



For additional information about the contents of this report, please refer to the User Guidance or [www.finra.org/brokercheck](http://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).



## JAMES T. OAKLEY

CRD# 813008

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

**IA OXBOW ADVISORS, LLC**  
200 WEST 6TH STREET  
SUITE 1920  
AUSTIN, TX 78701  
CRD# 156393  
Registered with this firm since: 06/13/2011

**B HERNDON PLANT OAKLEY, LTD.**  
800 NORTH SHORELINE BLVD.  
SUITE 2200 SOUTH  
CORPUS CHRISTI, TX 78401  
CRD# 44971  
Registered with this firm since: 08/21/1998

## 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
- 35 U.S. states and territories

**This broker has passed:**

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

### Registration History

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

- IA HERNDON PLANT OAKLEY LTD**  
CRD# 44971  
CORPUS CHRISTI, TX  
08/1998 - 11/2015
- B DAIN RAUSCHER INCORPORATED**  
CRD# 31194  
NEW YORK, NY  
03/1998 - 10/1998
- B DAIN RAUSCHER INCORPORATED**  
CRD# 7600  
01/1998 - 03/1998

### 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
Regulatory Event	1
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 35 U.S. states and territories through his or her employer.**

### Employment 1 of 2

Firm Name: **HERNDON PLANT OAKLEY, LTD.**

Main Office Address: **800 NORTH SHORELINE BLVD.  
SUITE 2200 SOUTH  
CORPUS CHRISTI, TX 78401**

Firm CRD#: **44971**

	SRO	Category	Status	Date
B	FINRA	General Securities Principal	Approved	08/21/1998
B	FINRA	General Securities Representative	Approved	08/21/1998
B	FINRA	Operations Professional	Approved	12/13/2011

	U.S. State/ Territory	Category	Status	Date
B	Alabama	Agent	Approved	01/13/2005
B	Arizona	Agent	Approved	10/14/1998
B	Arkansas	Agent	Approved	09/22/1998
B	California	Agent	Approved	09/23/1998
B	Colorado	Agent	Approved	09/14/1998
B	Delaware	Agent	Approved	02/20/2018
B	District of Columbia	Agent	Approved	07/11/2018
B	Florida	Agent	Approved	08/26/1998
B	Georgia	Agent	Approved	07/21/1999
B	Hawaii	Agent	Approved	09/23/2003



## Broker Qualifications

### Employment 1 of 2, continued

	U.S. State/ Territory	Category	Status	Date
B	Idaho	Agent	Approved	01/05/2017
B	Illinois	Agent	Approved	08/24/1998
B	Iowa	Agent	Approved	10/14/1998
B	Kansas	Agent	Approved	10/22/1998
B	Louisiana	Agent	Approved	10/15/1998
B	Massachusetts	Agent	Approved	02/19/1999
B	Michigan	Agent	Approved	10/15/1998
B	Mississippi	Agent	Approved	09/03/1998
B	Nevada	Agent	Approved	10/14/1998
B	New Jersey	Agent	Approved	01/17/2006
B	New Mexico	Agent	Approved	10/16/1998
B	New York	Agent	Approved	01/27/1999
B	North Carolina	Agent	Approved	10/12/1998
B	Ohio	Agent	Approved	10/13/1998
B	Oklahoma	Agent	Approved	08/25/1998
B	Oregon	Agent	Approved	10/12/1998
B	Pennsylvania	Agent	Approved	10/14/1998
B	South Carolina	Agent	Approved	10/12/1998
B	Tennessee	Agent	Approved	09/23/1998
B	Texas	Agent	Approved	09/18/1998
B	Utah	Agent	Approved	08/06/2021



## Broker Qualifications

### Employment 1 of 2, continued

	U.S. State/ Territory	Category	Status	Date
B	Virginia	Agent	Approved	10/13/1998
B	Washington	Agent	Approved	08/26/1998
B	Wisconsin	Agent	Approved	08/24/2000
B	Wyoming	Agent	Approved	01/20/2017

### Branch Office Locations

**HERNDON PLANT OAKLEY, LTD.**  
 800 NORTH SHORELINE BLVD.  
 SUITE 2200 SOUTH  
 CORPUS CHRISTI, TX 78401

**HERNDON PLANT OAKLEY, LTD.**  
 200 West 6th Street  
 Suite 1920  
 AUSTIN, TX 78701

### Employment 2 of 2

Firm Name: **OXBOW ADVISORS, LLC**  
 Main Office Address: **200 WEST 6TH STREET**  
**SUITE 1920**  
**AUSTIN, TX 78701**  
 Firm CRD#: **156393**

	U.S. State/ Territory	Category	Status	Date
IA	Texas	Investment Adviser Representative	Approved	06/13/2011

### Branch Office Locations

## Broker Qualifications



### Employment 2 of 2, continued

200 WEST 6TH STREET  
SUITE 1920  
AUSTIN, TX 78701

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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. 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 1 principal/supervisory exam, 4 general industry/product exams, and 2 state securities law exams.**

### Principal/Supervisory Exams

Exam	Category	Date
<b>B</b> General Securities Principal Examination	Series 24	03/28/1998

### General Industry/Product Exams

Exam	Category	Date
<b>B</b> Operations Professional Examination	Series 99TO	01/02/2023
<b>B</b> Securities Industry Essentials Examination	SIE	10/01/2018
<b>B</b> AMEX Put and Call Exam	PC	07/01/1977
<b>B</b> General Securities Representative Examination	Series 7	09/20/1975

### State Securities Law Exams

Exam	Category	Date
<b>IA</b> Uniform Investment Adviser Law Examination	Series 65	04/02/1993
<b>B</b> Uniform Securities Agent State Law Examination	Series 63	07/07/1979

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/](http://www.finra.org/brokerqualifications/registeredrep/).





## Broker Qualifications

### Professional Designations

This section details that the representative has reported **2** professional designation(s).

Certified Financial Planner

Chartered Financial Analyst

This representative holds or did hold **2** 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 and Employment History

### Registration History

The broker previously was registered with the following firms:

Registration Dates	Firm Name	CRD#	Branch Location
<b>IA</b> 08/1998 - 11/2015	HERNDON PLANT OAKLEY LTD	44971	CORPUS CHRISTI, TX
<b>B</b> 03/1998 - 10/1998	DAIN RAUSCHER INCORPORATED	31194	NEW YORK, NY
<b>B</b> 01/1998 - 03/1998	DAIN RAUSCHER INCORPORATED	7600	
<b>B</b> 09/1985 - 01/1998	RAUSCHER PIERCE REFSNES, INC.	6663	DALLAS, TX
<b>B</b> 10/1976 - 10/1985	ROTAN MOSLE INC.	727	
<b>B</b> 10/1975 - 11/1976	MERRILL LYNCH, PIERCE, FENNER & SMITH, INC.	572	

### 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
02/2011 - Present	OXBOW ADVISORS, LLC	MANAGING PARTNER AND FOUNDER	Y	AUSTIN, TX, United States
03/2005 - Present	AMERICAN BANK	DIRECTOR	N	CORPUS CHRISTI, TX, United States
11/2001 - Present	HERNDON PLANT OAKLEY INSURANCE AGENCY LC	LIMITED PARTNER	Y	CORPUS CHRISTI, TX, United States
10/1998 - Present	HERNDON PLANT OAKLEY INC.	PARTNER	Y	CORPUS CHRISTI, TX, United States
01/1998 - Present	HERNDON PLANT OAKLEY, LTD.	LIMITED PARTNER/PRINCIPAL	Y	CORPUS CHRISTI, TX, United States

## Registration and Employment History



### 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.

63% OWNERSHIP IN OXBOW ADVISORS, LLC. AMERICAN BANK, NON-INVESTMENT RELATED, CORPUS CHRISTI TX, DIRECTOR SINCE 03/2005. FOSTER ANGELS OF SOUTH TEXAS, FOUNDER, NON-PROFIT, TEXAS, FOUNDATION HELPING FOSTER CHILDREN, SINCE 2001, FOSTER ANGELS OF CENTRAL TEXAS, FOUNDER, NON-PROFIT, TEXAS, FOUNDATION HELPING FOSTER CHILDREN, SINCE 2010. BIGG WHALE LLC, NON-INVESTMENT RELATED PHOENIX, AZ, INVESTOR, 2016. HERNDON PLANT OAKLEY INSURANCE AGENCY, LC, OFFICER SINCE 11/2011. CORNERSTONE MERGER AND ACQUISITIONS, NON-INVESTMENT RELATED, CORPUS CHRISTI TX, 2 HOURS PER YEAR, PARTNER, FEBRUARY 2019. TEDOUPICK LLC, NON-INVESTMENT RELATED, AUSTIN TX, 2 HOURS PER YEAR, DECEMBER 2020.

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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.
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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
Regulatory Event	0	1	0
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.

### Regulatory - Final

This type of disclosure event may involve (1) a final, formal proceeding initiated by a regulatory authority (e.g., a state securities agency, self-regulatory organization, federal regulatory such as the Securities and Exchange Commission, foreign financial regulatory body) for a violation of investment-related rules or regulations; or (2) a revocation or suspension of a broker's authority to act as an attorney, accountant, or federal contractor.

#### Disclosure 1 of 1

<b>Reporting Source:</b>	Regulator
<b>Regulatory Action Initiated By:</b>	NATIONAL ASSOCIATION OF SECURITIES DEALERS, INC.
<b>Sanction(s) Sought:</b>	
<b>Other Sanction(s) Sought:</b>	
<b>Date Initiated:</b>	05/15/1984
<b>Docket/Case Number:</b>	TEX-371
<b>Employing firm when activity occurred which led to the regulatory action:</b>	ROTAN, MOSLE, INC.
<b>Product Type:</b>	
<b>Other Product Type(s):</b>	
<b>Allegations:</b>	
<b>Current Status:</b>	Final
<b>Resolution:</b>	Decision
<b>Resolution Date:</b>	12/21/1984
<b>Sanctions Ordered:</b>	Censure Monetary/Fine \$16,000.00

**Other Sanctions Ordered:****Sanction Details:****Regulator Statement**

COMP #TEX-371, FILED 5/15/84, DIST. #6, ALLEGING VIOLATIONS OF ARTICLE III, SECTION 1 OF THE RULES OF FAIR PRACTICE IN THAT OAKLEY ENGAGED IN PRIVATE SECURITIES TRANSACTIONS OUTSIDE THE SCOPE OF HIS EMPLOYMENT WITH ROTAN, MOSLE, INC. WITHOUT PRIOR WRITTEN NOTIFICATION THEREOF TO HIS EMPLOYER IN CONTRAVENTION OF THE B/G'S INTERPRETATION WITH RESPECT TO PRIVATE SECURITIES TRANSACTIONS. \*\*\*\*\*DECISION RENDERED 11/7/84, WHEREIN OAKLEY IS CENSURED, FINED \$16,000 AND ASSESSED COSTS OF \$930.27. IF NO FURTHER ACTION, DECISION IS FINAL 12/21/84. \*\*\*2/12/86, FC# 8956, I-418, PAID INLL.

**Reporting Source:** Broker

**Regulatory Action Initiated By:** NASD

**Sanction(s) Sought:**

**Other Sanction(s) Sought:**

**Date Initiated:** 05/15/1984

**Docket/Case Number:** TEX-371

**Employing firm when activity occurred which led to the regulatory action:** ROTAN, MOSLE, INC.

**Product Type:**

**Other Product Type(s):**

**Allegations:** VIOLATIONS OF ARTICLE III, SECTION 1 OF THE RULES OF FAIR PRACTICE IN THAT MR. OAKLEY ENGAGED IN PRIVATE SECURITIES TRANSACTIONS OUTSIDE THE SCOPE OF HIS EMPLOYMENT WITH ROTAN MOSLE, INC. WITHOUT PRIOR WRITTEN NOTIFICATION THEREOF TO HIS EMPLOYER IN CONTRAVENTION OF THE BOARD OF GOVERNORS' INTERPRETATION WITH RESPECT TO PRIVATE SECURITIES TRANSACTIONS.

**Current Status:** Final

**Resolution:** Decision



<b>Resolution Date:</b>	12/21/1984
<b>Sanctions Ordered:</b>	Censure Monetary/Fine \$16,000.00
<b>Other Sanctions Ordered:</b>	
<b>Sanction Details:</b>	MR. OAKLEY WAS CENSURED, FINED \$16,000 AND ASSESSED COSTS OF \$930.27.
<b>Broker Statement</b>	Not Provided



## 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:** Firm

**Employing firm when activities occurred which led to the complaint:** DAIN RAUSCHER INCORPORATED

**Allegations:** CLIENT ALLEGES BROKER RECOMMENDED UNSUITABLE INVESTMENTS, CHURNED ACCOUNT AND COMMITTED FRAUD, AND CLAIMS \$318,941.36 IN DAMAGES.

**Product Type:**

**Alleged Damages:** \$318,941.36

## Customer Complaint Information

**Date Complaint Received:**

**Complaint Pending?** No

**Status:** Arbitration/Reparation

**Status Date:** 05/13/1999

**Settlement Amount:**

**Individual Contribution Amount:**

## Arbitration Information

**Arbitration/Reparation Claim filed with and Docket/Case No.:** NASD; 98-01958

**Date Notice/Process Served:** 05/22/1998

**Arbitration Pending?** No

**Disposition:** Settled

**Disposition Date:** 05/13/1999

**Monetary Compensation Amount:** \$50,000.00



**Individual Contribution Amount:****Firm Statement**

SETTLEMENT FOR \$50,000 WITH THE MUTUAL UNDERSTANDING THAT THIS WAS A RESOLUTION OF A DISPUTED CLAIM WITH NO ATTRIBUTION OF FAULT TO DAIN RAUSCHER INCORPORATED OR THE BROKER, JAMES (TED) OAKLEY.  
NOT PROVIDED

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**Reporting Source:**

Broker

**Employing firm when activities occurred which led to the complaint:**

DAIN RAUSCHER INCORPORATED

**Allegations:**

CLIENT ALLEGES BROKER RECOMMENDED UNSUITABLE INVESTMENTS, CHURNED ACCOUNT AND COMMITTED FRAUD, AND CLAIMS \$318,941.36 IN DAMAGES.

**Product Type:**

Equity Listed (Common &amp; Preferred Stock)

**Alleged Damages:**

\$318,941.36

**Customer Complaint Information****Date Complaint Received:**

05/22/1998

**Complaint Pending?**

No

**Status:**

Settled

**Status Date:**

05/13/1999

**Settlement Amount:**

\$50,000.00

**Individual Contribution Amount:**

\$16,666.00

**Arbitration Information****Arbitration/Reparation Claim filed with and Docket/Case No.:**

NASD; 98-01958

**Date Notice/Process Served:**

05/13/1998

**Arbitration Pending?**

No

**Disposition:**

Settled



<b>Disposition Date:</b>	05/22/1999
<b>Monetary Compensation Amount:</b>	\$50,000.00
<b>Individual Contribution Amount:</b>	\$0.00
<b>Broker Statement</b>	SETTLEMENT FOR \$50,000.00 WITH THE MUTUAL UNDERSTANDING THAT THIS WAS A RESOLUTION OF A DISPUTED CLAIM WITH NO ATTRIBUTION OF FAULT TO DAIN RAUSCHER INCORPORATED OF THE BROKER, JAMES (TED) OAKLEY.

## End of Report



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