

Individual 4691201 - PAXTON JR., KENNETH WARREN

**Administrative Information**

**Composite Information**

**Full Legal Name** PAXTON JR., KENNETH WARREN

**State of Residence** TX

**Active Employments**

**Current Employer** MOWERY CAPITAL MANAGEMENT, LLC(130761)

**Firm Main Address**  
206 SOUTH KENTUCKY STREET  
SUITE 201  
MCKINNEY  
TX, UNITED STATES  
75069

**Firm Mailing Address**

**Business Telephone#** 972-818-9944

**Independent Contractor** Yes

**Office of Employment Address**

CRD Branch#	Branch Code#	Firm Billing Code	Registered Location?	Private Residence?	Address Start Date	Address End Date	Type of Office
IA Main			Yes	No	01/01/2010		Supervised From
Address 206 SOUTH KENTUCKY STREET, SUITE 201 MCKINNEY, TX 75069 UNITED STATES							

**Reportable Disclosures?** The specified individual has no disclosure that qualifies for reporting under this section (i.e., disclosure required to be reported on Form U-4 or Form U-5). Regulatory and Broker/Dealer Users: Please note that there are three types of disclosure in Web CRD: Reportable, Legacy and Archive disclosure. An individual with no reportable disclosure may or may not have Legacy or Archive disclosure. Investment Adviser Users: Please note that IARD does not include Legacy disclosure. Information reported on previous form filings through IARD is available under Filing History.

**Statutory Disqualification?** BLNK

**Registered With Multiple Firms?** No

**Material Difference in Disclosure?** No

**Registrations with Current Employer(s)**

From	01/01/2010	To	Present	MOWERY CAPITAL MANAGEMENT, LLC(130761)		
<b>Regulator</b>	<b>Registration Category</b>	<b>Status Date</b>		<b>Registration Status</b>	<b>Approval Date</b>	
TX	RA	12/18/2013		APPROVED	12/18/2013	

**Registrations with Previous Employer(s)**

From 08/01/2001 To 06/05/2013 MOWERY CAPITAL MANAGEMENT, LLC(130761)

**Reason for Termination**

**Termination Comment**

<b>Regulator</b>	<b>Registration Category</b>	<b>Status Date</b>	<b>Registration Status</b>	<b>Approval Date</b>
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CRD® or IARD(TM) System      Current As Of: 04/17/2014  
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**Administrative Information**

**Registrations with Previous Employer(s)**

Regulator	Registration Category	Status Date	Registration Status	Approval Date
TX	RA	06/05/2013	T_NOREG	

From 07/01/2003 To 12/31/2004 OXFORD ADVISORS CORPORATION(113581)

**Reason for Termination**

**Termination Comment**

Regulator	Registration Category	Status Date	Registration Status	Approval Date
TX	RA	12/31/2004	T_NOU5	07/24/2003

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Individual 4691201 - PAXTON JR., KENNETH WARREN

**Administrative Information**  
**Professional Designations**

<<No Professional Designations found for this Individual.>>

**Employment History**

From	02/2002	To	Present	<b>Name</b>	KEN PAXTON LAW FIRM
				<b>Location</b>	MCKINNEY, TX, USA
				<b>Position</b>	OWNER
				<b>Investment Related</b>	No
From	02/1999	To	01/2002	<b>Name</b>	STRONG, WALKER, DOEPFNER
				<b>Location</b>	DALLAS, TX, USA
				<b>Position</b>	ATTORNEY
				<b>Investment Related</b>	No
From	10/1993	To	01/1999	<b>Name</b>	J.C. PENNEY CO.
				<b>Location</b>	PLANO, TX, USA
				<b>Position</b>	SENOIR ATTORNEY
				<b>Investment Related</b>	No
From	10/1991	To	09/1993	<b>Name</b>	STRASBURGER, PRICE
				<b>Location</b>	DALLAS, TX, USA
				<b>Position</b>	ATTORNEY
				<b>Investment Related</b>	No

**Office of Employment History**

From 01/2010 To Present  
**Name** MOWERY CAPITAL MANAGEMENT, LLC(130761)  
**Independent Contractor** Yes

**Office of Employment Address**

CRD Branch#	Branch Code#	Firm Billing Code	Registered Location?	Private Residence?	Address Start Date	Address End Date	Type of Office
IA Main			Yes	No	01/01/2010		Supervised From
Address 206 SOUTH KENTUCKY STREET, SUITE 201 MCKINNEY, TX 75069 UNITED STATES							

From 08/2001 To 06/2013  
**Name** MOWERY CAPITAL MANAGEMENT, LLC(130761)  
**Independent Contractor** Yes

**Office of Employment Address**

CRD Branch#	Branch Code#	Firm Billing Code	Registered Location?	Private Residence?	Address Start Date	Address End Date	Type of Office
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**Administrative Information**

**Office of Employment History**

**Office of Employment Address**

No No

08/01/2001 06/05/2013 Located At

Address 201 W VIRGINIA  
MCKINNEY, TX 75069 UNITED STATES

From 07/2003 To 12/2004

Name OXFORD ADVISORS CORPORATION(113581)

Independent Contractor No

**Office of Employment Address**

CRD Branch#	Branch Code#	Firm Billing Code	Registered Location?	Private Residence?	Address Start Date	Address End Date	Type of Office
			No	No	07/01/2003	12/31/2004	Located At
Address 16660 DALLAS PARKWAY , SUITE 1600 DALLAS, TX 75248 USA							

**Other Business**

KEN PAXTON LAW FIRM - ATTORNEY

CHICAGO TITLE - ATTORNEY; ESCROW OFFICER

**Exam Appointments**

<<No Exam Appointments found for this Individual.>>

**Exam History**

Exam	Enrollment ID	Exam Status	Status Date	Exam Date	Grade	Score	Window Dates
S65	34140880	Window Expired	03/27/2014				11/26/2013-03/26/2014
S65	24916628	Window Expired	12/10/2012				08/10/2012-12/08/2012
S65	24916627	Official Result	07/24/2003	08/01/2001	Passed	92	-

**CE Regulatory Element Status**

Current CE Status NOCESTATUS

CE Base Date

**CE Appointments**

<<No CE Appointments found for this Individual.>>

**Current CE**

<<No Current CE found for this Individual.>>

**Next CE**

<<No Next CE found for this Individual.>>

**CE Directed Sequence History**

<<No CE Directed Sequence History found for this Individual.>>

**Inactive CE History Dates**

<<No Inactive CE History Dates found for this Individual.>>



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**Administrative Information**

**Previous CE Requirement Status**

<<No Previous CE Requirement Status found for this Individual.>>

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**Filing History**

Filing Date	Form Type	Filing type	Source
11/25/2013	U4	Initial	MOWERY CAPITAL MANAGEMENT, LLC (130761)
08/07/2012	U4	Initial	MOWERY CAPITAL MANAGEMENT, LLC (130761)
07/24/2003	U4	Initial	OXFORD ADVISORS CORPORATION (113581)

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**Reportable Events**

<<No Reportable Events found for this Individual.>>

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