



## IAPD Report

# JONATHAN EDWARD GRABE

CRD# 1321797

<b><u>Section Title</u></b>	<b><u>Page(s)</u></b>
Report Summary	1
Qualifications	2 - 4
Registration and Employment History	5 - 6
Disclosure Information	7



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Please contact FINRA with any concerns.



## IAPD Information About Representatives

IAPD offers information on all current-and many former representatives. Investors are strongly encouraged to use IAPD to check the background of representatives before deciding to conduct, or continue to conduct, business with them.

### What is included in a IAPD report?

IAPD reports for individual representatives include information such as employment history, professional qualifications, disciplinary actions, criminal convictions, civil judgments and arbitration awards.

It is important to note that the information contained in an IAPD 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 representative, or concluded through a negotiated settlement with no admission or finding of wrongdoing.

### Where did this information come from?

The information contained in IAPD comes from the Investment Adviser Registration Depository (IARD) and FINRA's Central Registration Depository, or CRD, (see more on CRD below) and is a combination of:

- information the states require representatives and firms to submit as part of the registration and licensing process, and
- information that state regulators report regarding disciplinary actions or allegations against representatives.

### How current is this information?

Generally, representatives are required to update their professional and disciplinary information in IARD within 30 days.

### Need help interpreting this report?

For help understanding how to read this report, please consult NASAA's IAPD Tips page  
<http://www.nasaa.org/IAPD/IARReports.cfm>

### What if I want to check the background of an Individual Broker or Brokerage Firm?

To check the background of an Individual Broker or Brokerage firm, you can search for the firm or individual in IAPD. If your search is successful, click on the link provided to view the available licensing and registration information in FINRA's BrokerCheck website.

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

It is recommended that you learn as much as possible about an individual representative or Investment Adviser firm before deciding to work with them. Your state securities regulator can help you research individuals and certain firms doing business in your state. The contact information for state securities regulators can be found on the website of the North American Securities Administrators Association <http://www.nasaa.org>



## Report Summary

### JONATHAN EDWARD GRABE (CRD# 1321797)

The report summary provides an overview of the representative's professional background and conduct. The information contained in this report has been provided by the representative, investment adviser and/or securities firms, and/or securities regulators as part of the states' investment adviser registration and licensing process. The information contained in this report was last updated by the representative, a previous employing firm, or a securities regulator on **06/16/2021**.

### CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
<b>B</b>	SAN BLAS SECURITIES LLC	CRD# 290605	03/25/2021
<b>IA</b>	SB ADVISORY, LLC	CRD# 154680	06/18/2021

### QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **1** jurisdiction(s).

Is this representative currently Inactive or Suspended with any regulator? **No**

**Note:** Not all jurisdictions require IAR registration or may have an exemption from registration.

Additional information including this individual's qualification examinations and professional designations is available in the Detailed Report.

### REGISTRATION HISTORY

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

	FIRM	CRD#	LOCATION	REGISTRATION DATES
<b>IA</b>	PRINCIPAL SECURITIES, INC.	1137	Ocala, FL	10/21/2019 - 03/22/2021
<b>B</b>	PRINCIPAL SECURITIES, INC.	1137	Ocala, FL	10/14/2019 - 03/22/2021
<b>IA</b>	LINCOLN FINANCIAL SECURITIES CORPORATION	3870	Ocala, FL	12/06/2012 - 10/15/2019

For additional registration and employment history details as reported by the individual, refer to the Registration and Employment History section of the Detailed Report.

### DISCLOSURE INFORMATION

Disclosure events include certain criminal charges and convictions, formal investigations and disciplinary actions initiated by regulators, customer disputes and arbitrations, and financial disclosures such as bankruptcies and unpaid judgments or liens.

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

The following types of events are disclosed about this representative:

Type	Count
Regulatory Event	1
Criminal	1
Termination	1



## Qualifications

### REGISTRATIONS

This section provides the SRO, states and U.S. territories in which the representative is currently registered and licensed, the category of each registration, and the date on which the registration becomes effective. This section also provides, for each firm with which the representative is currently employed, the address of each location where the representative works. This individual is currently registered with 1 jurisdiction(s) and 1 SRO(s) through his or her employer(s).

#### Employment 1 of 2

Firm Name: **SAN BLAS SECURITIES LLC**

Main Address: 233 S WACKER DR  
SUITE 4400  
CHICAGO, IL 60606

Firm ID#: 290605

Regulator	Registration	Status	Date
 FINRA	General Securities Representative	Approved	03/25/2021
 FINRA	Invest. Co and Variable Contracts	Approved	03/25/2021
 Florida	Agent	Approved	06/21/2021

#### Branch Office Locations

520 E. Fort King Street  
Suite B-4  
Ocala, FL 34471

520 E. Fort King Street,  
Suite B-4  
Ocala, FL 34471

#### Employment 2 of 2

Firm Name: **SB ADVISORY, LLC**

Main Address: 3424 PEACHTREE ROAD NE  
SUITE 2200  
ATLANTA, GA 30326-1184

Firm ID#: 154680

Regulator	Registration	Status	Date
 Florida	Investment Adviser Representative	Approved	06/18/2021

#### Branch Office Locations

**SB ADVISORY, LLC**  
20 E. Fort King Street  
Suite B-4



## Qualifications

Ocala, FL 34471



## Qualifications

### PASSED INDUSTRY EXAMS

This section includes all industry exams that the representative has passed. Under limited circumstances, a representative may attain registration after receiving an exam waiver based on a combination of exams the representative has passed and qualifying work experience. Likewise a new exam requirement may be grandfathered based on a representative's specific qualifying work experience. Exam waivers and grandfathering are not included below.

**This individual has passed 0 principal/supervisory exams, 3 general industry/product exams, and 2 state securities law exams.**

#### Principal/Supervisory Exams

Exam	Category	Date
No information reported.		

#### General Industry/Product Exams

Exam	Category	Date
B Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
B General Securities Representative Examination (S7)	Series 7	07/02/2003
B Investment Company Products/Variable Contracts Representative Examination (S6)	Series 6	04/16/1993

#### State Securities Law Exams

Exam	Category	Date
IA B Uniform Combined State Law Examination (S66)	Series 66	09/08/2010
B Uniform Securities Agent State Law Examination (S63)	Series 63	09/28/2001

### PROFESSIONAL DESIGNATIONS

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

No information reported.



## Registration & Employment History

### PREVIOUSLY REGISTERED WITH THE FOLLOWING FIRMS

This representative held registrations with the following firms:

	Registration Dates	Firm Name	ID#	Branch Location
IA	10/21/2019 - 03/22/2021	PRINCIPAL SECURITIES, INC.	CRD# 1137	Ocala, FL
B	10/14/2019 - 03/22/2021	PRINCIPAL SECURITIES, INC.	CRD# 1137	Ocala, FL
IA	12/06/2012 - 10/15/2019	LINCOLN FINANCIAL SECURITIES CORPORATION	CRD# 3870	Ocala, FL
B	10/01/1997 - 10/15/2019	LINCOLN FINANCIAL SECURITIES CORPORATION	CRD# 3870	Ocala, FL
IA	10/20/2010 - 12/06/2012	COMPREHENSIVE FINANCIAL LLC	CRD# 144421	OCALA, FL
B	04/15/1997 - 10/01/1997	JEFFERSON-PILOT INVESTOR SERVICES, INC.	CRD# 5178	FORT WAYNE, IN
B	05/24/1993 - 12/12/1996	MUTUAL OF OMAHA INVESTOR SERVICES, INC.	CRD# 611	OMAHA, NE
B	11/20/1984 - 05/13/1985	FIRST INVESTORS CORPORATION	CRD# 305	

### EMPLOYMENT HISTORY

Below is the representative's employment history for up to the last 10 years.

Employment Dates	Employer Name	Position	Investment Related	Employer Location
03/2021 - Present	San Blas Securities	Registered Representative Financial Advisor - IAR	Y	Atlanta, GA, United States
10/2019 - Present	Retirement Plan Man, LLC	Financial Representative	Y	Ocala, FL, United States
10/2019 - 03/2021	Principal Life Insurance Company	Agent	Y	Ocala, FL, United States
10/2019 - 03/2021	Principal Securities Inc.	Registered Representative	Y	Ocala, FL, United States
09/2010 - 10/2019	COMPREHENSIVE FINANCIAL LLC	INVESTMENT ADVISOR REPRESENTATIVE	Y	OVIEDO, FL, United States
07/2008 - 10/2019	LINCOLN FINANCIAL SECURITIES CORPORATION	REGISTERED REPRESENTATIVE	Y	OCALA, FL, United States
09/2007 - 10/2019	Corporate Capital Resources of Ocala	President	Y	Ocala, FL, United States



## Registration & Employment History

### OTHER BUSINESS ACTIVITIES

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

\*\*\*Fixed Insurance; Investment Related; Ocala, FL; Agent; Life, DI, Annuity, LTC, Health, Medicare Supplements, Group Products; Start Date: 10/01/2019; 20 hrs per month; 20 during trading hours.

\*\*\*Corporate Capital Resources of Florida; Investment Related; Ocala, FL; Owner; Entity established to receive 1099 commissions. Not used as a public DBA; Start Date: 09/17/2007; 20 hrs per month; 20 during trading hours.

\*\*\*Fixed Insurance; Investment Related; Ocala, FL; Agent; P&C; Start Date: 03/01/2020; 20 hrs per month; 20 during trading hours.



## Disclosure Summary

### Disclosure Information

#### What you should know about reported disclosure events:

##### (1) Certain thresholds must be met before an event is reported to IARD, for example:

- A law enforcement agency must file formal charges before an Investment Adviser Representative is required to report a particular criminal event.;
- A customer dispute must involve allegations that an Investment Adviser Representative engaged in activity that violates certain rules or conduct governing the industry and that the activity resulted in damages of at least \$5,000.

##### (2) Disclosure events in IAPD reports come from different sources:

As mentioned in the "About IAPD" section on page 1 of this report, information contained in IAPD comes from Investment Adviser Representatives, 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 IAPD report. The different versions will be separated by a solid line with the reporting source labeled.

##### (3) There are different statuses and dispositions for disclosure events:

- A disclosure event may have a status of *pending*, *on appeal*, or *final*.
  - A "pending" disclosure event involves allegations that have not been proven or formally adjudicated.
  - A disclosure event that is "on appeal" involves allegations that have been adjudicated but are currently being appealed.
  - A "final" disclosure event has been concluded and its resolution is not subject to change.
- A final disclosure 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 represents a disposition wherein the parties involved in a dispute reach an agreement to resolve the matter. Please note that Investment Adviser Representatives and firms may choose to settle customer disputes or regulatory matters for business or other reasons.
  - A "resolved" matter usually includes a disposition wherein no payment is made to the customer or there is no finding of wrongdoing on the part of the Investment Adviser Representative. Such matters generally involve customer disputes.

##### (4) You may wish to contact the Investment Adviser Representatives to obtain further information regarding any of the disclosure events contained in this IAPD report.



## DISCLOSURE EVENT DETAILS

When evaluating this information, please keep in mind that some items may involve pending actions or allegations that may be contested and have not been resolved or proven. The event may, in the end, be withdrawn, dismissed, resolved in favor of the Investment Adviser Representative, or concluded through a negotiated settlement with no admission or finding of wrongdoing.

This report provides the information exactly as it was reported to the Investment Adviser Registration Depository. Some of the specific data fields contained in the report may be blank if the information was not provided.

The following types of events are disclosed about this representative:

Type	Count
Regulatory Event	1
Criminal	1
Termination	1

### Regulatory Event

This disclosure event may include a final, formal proceeding initiated by a regulatory authority (e.g., a state securities agency, a federal regulator such as the Securities and Exchange Commission or the Commodities Futures Trading Commission, or a foreign financial regulatory body) for a violation of investment-related rules or regulations. This disclosure event may also include a revocation or suspension of an Investment Adviser Representative's authority to act as an attorney, accountant or federal contractor.

#### Disclosure 1 of 1

<b>Reporting Source:</b>	Individual
<b>Regulatory Action Initiated By:</b>	STATE OF FLORIDA DEPT. OF INSURANCE
<b>Sanction(s) Sought:</b>	
<b>Other Sanction(s) Sought:</b>	
<b>Date Initiated:</b>	02/01/1992
<b>Docket/Case Number:</b>	
<b>Employing firm when activity occurred which led to the regulatory action:</b>	
<b>Product Type:</b>	
<b>Other Product Type(s):</b>	
<b>Allegations:</b>	A MISSTATEMENT WAS MADE BY MYSELF PERTAINING TO A WORTHLESS CHECK CHARGE BACK IN 1983
<b>Current Status:</b>	Final
<b>Resolution:</b>	Other
<b>Resolution Date:</b>	04/11/1992
<b>Sanctions Ordered:</b>	
<b>Other Sanctions Ordered:</b>	
<b>Sanction Details:</b>	JUST A COMPLAINT REQUESTING THAT I RESTATE



ACCURATELY WHY I HAD OMITTED THE INFORMATION, AND PRODUCE COURT DOCUMENTS SHOWING FILING OF COMPLAINT, FINAL DISPOSITION AND FINE.

**Broker Statement**

THE INFORMATION THAT GENERATED THE COMPLAINT WAS OMITTED BECAUSE I WAS NOT AWARE THAT THE WORTHLESS CHECK CHARGE (WHICH WAS ACTUALLY A BOUNCED CHECK) WAS A FELONY CHARGE, I THOUGHT IT WAS A MISDEMEANOR



## Criminal

This disclosure event involves a criminal charge against the Investment Adviser Representative that has resulted in a dismissal, plea, acquittal or conviction. The criminal matter may relate to any felony or certain misdemeanor offenses (e.g., bribery, perjury, forgery, counterfeiting, extortion, fraud, wrongful taking of property).

### Disclosure 1 of 1

**Reporting Source:** Individual

**Court Details:** SMITH RADIATOR SHOP BRADENTON, FL.  
83-916F

**Charge Date:** 05/18/1983

**Charge Details:** ISSUING A WORTHLESS CHECK

**Felony?** Yes

**Current Status:** Final

**Status Date:** 11/02/1983

**Disposition Details:** ADJUDICATION WITHHELD-MADE CHECK GOOD

**Broker Statement**

JUST PRIOR TO GETTING MARRIED I WITHDREW FUNDS

OUTSTANDING CHECK WHICH BOUNCED WHILE I WAS OUT OF STATE.  
UPON  
RETURNING I FOUND OUT THERE WAS A WARRANT OUT FOR MY ARREST. I  
TURNED MYSELF IN AND WAS RELEASED AT COURT I PLED NO CONTEST  
AND MADE FULL RESTITUTION.



## Termination

This disclosure event involves a situation where the Investment Adviser Representative voluntarily resigned, was discharged or was permitted to resign after allegations were made that accused the Investment Adviser Representative of violating investment-related statutes, regulations, rules or industry standards of conduct; fraud or the wrongful taking of property; or failure to supervise in connection with investment-related statutes, regulations, rules or industry standards of conduct.

### **Disclosure 1 of 1**

**Reporting Source:** Firm  
**Firm Name:** Principal Securities, Inc.  
**Termination Type:** Discharged  
**Termination Date:** 03/18/2021  
**Allegations:** The financial professional was terminated based on the Firm's belief that the financial professional misrepresented himself to a third-party as a client of his former firm while registered with PSI.  
**Product Type:** Annuity-Variable

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**Reporting Source:** Individual  
**Firm Name:** Principal Financial Securities  
**Termination Type:** Discharged  
**Termination Date:** 03/18/2021  
**Allegations:** Financial Professional misrepresented himself as his client in order to obtain tax information for him. The client was not associated with current broker dealer  
**Product Type:** Annuity-Variable  
**Broker Statement**  
My client expressly authorized me to obtain the tax information for him as I had done in previous years while affiliated with my prior broker dealer. This was completely customer service related solely for the benefit of my client of 15 years.



## End of Report

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