



IAPD Report

JACK CHARLES WEST

CRD# 1735378

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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.



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

JACK CHARLES WEST (CRD# 1735378)

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 **07/26/2023**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
IA	KESTRA PRIVATE WEALTH SERVICES, LLC	CRD# 155193	02/17/2015
B	KESTRA INVESTMENT SERVICES, LLC	CRD# 42046	02/24/2015

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **14** 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	LPL FINANCIAL LLC	6413	SANTA ANA, CA	08/28/2008 - 02/06/2015
IA	LPL FINANCIAL LLC	6413	SANTA ANA, CA	08/28/2008 - 02/06/2015
IA	CROWELL, WEEDON & CO.	193	IRVINE, CA	06/08/2007 - 09/04/2008

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
Customer Dispute	4
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 **14** jurisdiction(s) and 1 SRO(s) through his or her employer(s).

Employment 1 of 2

Firm Name: **KESTRA PRIVATE WEALTH SERVICES, LLC**
Main Address: 5707 SOUTHWEST PARKWAY
BLDG. 2 STE 400
AUSTIN, TX 78735
Firm ID#: 155193

	Regulator	Registration	Status	Date
IA	California	Investment Adviser Representative	Approved	02/17/2015
IA	Texas	Investment Adviser Representative	Restricted Approval	07/27/2023

Branch Office Locations

KESTRA PRIVATE WEALTH SERVICES, LLC
3 POINTE DRIVE
SUITE 111
BREA, CA 92821

Employment 2 of 2

Firm Name: **KESTRA INVESTMENT SERVICES, LLC**
Main Address: 5707 SOUTHWEST PARKWAY
BUILDING 2, SUITE 400
AUSTIN, TX 78735
Firm ID#: 42046

	Regulator	Registration	Status	Date
B	FINRA	General Securities Representative	Approved	02/24/2015
B	FINRA	Invest. Co and Variable Contracts	Approved	02/24/2015
B	Arizona	Agent	Approved	04/02/2015
B	California	Agent	Approved	02/24/2015



Qualifications

Regulator	Registration	Status	Date
B Colorado	Agent	Approved	07/07/2016
B Connecticut	Agent	Approved	09/23/2019
B Florida	Agent	Approved	08/31/2017
B Hawaii	Agent	Approved	01/08/2021
B Idaho	Agent	Approved	09/30/2016
B Indiana	Agent	Approved	12/13/2016
B Nevada	Agent	Approved	12/13/2017
B New Hampshire	Agent	Approved	11/19/2018
B New York	Agent	Approved	02/24/2015
B Ohio	Agent	Approved	04/20/2016
B Oregon	Agent	Approved	02/24/2015
B Texas	Agent	Approved	02/24/2015

Branch Office Locations

NFP ADVISOR SERVICES, LLC
3 POINTE DRIVE
SUITE 111
BREA, CA 92821




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



Principal/Supervisory Exams

Exam	Category	Date
 Direct Participation Programs Principal Examination (S39)	Series 39	02/27/1989

General Industry/Product Exams

Exam	Category	Date
 Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
 General Securities Representative Examination (S7)	Series 7	03/23/1995
 Investment Company Products/Variable Contracts Representative Examination (S6)	Series 6	12/07/1990
 Direct Participation Programs Representative Examination (S22)	Series 22	09/17/1987

State Securities Law Exams

Exam	Category	Date
 Uniform Investment Adviser Law Examination (S65)	Series 65	05/27/1998
 Uniform Securities Agent State Law Examination (S63)	Series 63	09/17/1987

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
B	08/28/2008 - 02/06/2015	LPL FINANCIAL LLC	CRD# 6413	SANTA ANA, CA
IA	08/28/2008 - 02/06/2015	LPL FINANCIAL LLC	CRD# 6413	SANTA ANA, CA
IA	06/08/2007 - 09/04/2008	CROWELL, WEEDON & CO.	CRD# 193	IRVINE, CA
B	12/07/2006 - 09/04/2008	CROWELL, WEEDON & CO.	CRD# 193	IRVINE, CA
IA	02/13/2002 - 12/07/2006	SEIDLER INVESTMENT ADVISORS INCORPORATED	CRD# 107778	IRVINE, CA
B	05/09/2001 - 12/07/2006	THE SEIDLER COMPANIES INCORPORATED	CRD# 3911	IRVINE, CA
B	05/09/2001 - 11/29/2001	HAGERTY, STEWART & ASSOCIATES, INC.	CRD# 7717	SAN DIEGO, CA
B	08/17/1995 - 04/20/2001	ROTH CAPITAL PARTNERS, LLC	CRD# 15407	NEWPORT BEACH, CA
B	01/23/1994 - 09/15/1995	LAZAR FREDERICK & COMPANY	CRD# 15615	BEVERLY HILLS, CA
B	05/13/1993 - 01/07/1994	UNISON CAPITAL GROUP	CRD# 22519	MOUNTAIN VIEW, CA
B	02/03/1989 - 04/09/1991	VESTCORP SECURITIES, INC.	CRD# 14746	IRVINE, CA
B	09/18/1987 - 03/06/1989	EQUITY PROGRAMS CORPORATION	CRD# 6100	

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
02/2015 - Present	KESTRA INVESTMENT SERVICES, LLC	REGISTERED REP	Y	BREA, CA, United States
02/2015 - Present	KESTRA PRIVATE WEALTH SERVICES, LLC	IAR	Y	Brea, CA, 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.

Business Name: J.C. West & Associates, Inc. Wealth Management Investment Related: Yes Address: Three Pointe Drive Suite 107 Brea CA 92821 Nature of Business: Registered Rep Activities through Kestra Investment Services, LLC using a DBA name; Consulting; Insurance; Investment Advisory services through an independent outside RIA Position, Title or Relationship: Registered Rep and Financial Advisor with Kestra Financial. President of JC West & Associates, Inc. Start Date: 2/17/2015 Hours per month: 100%+ (More than 160 hours) Hours per month during trading hours: 91% - 100% (127 - 140 hours) Duties: Providing Financial and Wealth Management Consulting Services to clients, including Retirement and Financial Planning. Also some Equity Trading and occasionally Life Insurance and Variable Annuities products.



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
Customer Dispute	4
Termination	1

Customer Dispute

This section provides information regarding a customer dispute that was reported to the Investment Adviser Registration Depository (IARD) by the Investment Adviser Representative (IAR), an investment adviser and/or securities firm, and/or a securities regulator. The event may include a consumer-initiated, investment-related complaint, arbitration proceeding or civil suit that contains allegations of sales practice violations against the individual.

The customer dispute may be pending or may have resulted in a civil judgment, arbitration award, monetary settlement, closure without action, withdrawal, dismissal, denial, or other outcome.

Disclosure 1 of 4

Reporting Source:	Firm
Employing firm when activities occurred which led to the complaint:	LPL FINANCIAL, LLC
Allegations:	CUSTOMER ALLEGES MISREPRESENTATION REGARDING RISKS AND TERMS OF ALTERNATIVE INVESTMENTS AND BREACHED FIDUCIARY DUTY IN CONNECTION WITH INVESTMENTS.
Product Type:	Other: ALTERNATIVE INVESTMENTS
Alleged Damages:	\$0.00
Alleged Damages Amount Explanation (if amount not exact):	DAMAGES UNSPECIFIED BUT REASONABLY BELIEVED TO BE GREATER THAN \$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:	07/24/2015
Complaint Pending?	No
Status:	Denied



Status Date: 09/11/2015

Settlement Amount:

Individual Contribution Amount:

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: LPL FINANCIAL, LLC

Allegations: CUSTOMER ALLEGES MISREPRESENTATION REGARDING RISKS AND TERMS OF ALTERNATIVE INVESTMENTS AND BREACHED FIDUCIARY DUTY IN CONNECTION WITH INVESTMENT.

Product Type: Other: ALTERNATIVE INVESTMENTS

Alleged Damages: \$0.00

Alleged Damages Amount Explanation (if amount not exact): DAMAGES UNSPECIFIED BUT REASONABLY BELIEVED TO BE GREATER THAN \$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: 07/24/2015

Complaint Pending? No

Status: Denied

Status Date: 09/11/2015

Settlement Amount:

Individual Contribution Amount:

Disclosure 2 of 4

Reporting Source: Firm

Employing firm when activities occurred which led to the complaint: ROTH CAPITAL PARTNERS

Allegations: CLIENT ALLEGED THAT BROKER FAILED TO SELL CERTAIN SECURITIES IN ACCORDANCE WITH RULE 144 WHICH RESULTED IN THE FIRM CANCELLING A SALE OF LASERPOWER. THE ALLEGED DAMAGES WERE NOT SPECIFIED, BUT BELIEVED TO BE IN EXCESS OF \$5000.00

Product Type: Equity - OTC

Alleged Damages:

Customer Complaint Information



Date Complaint Received: 03/21/2000

Complaint Pending? No

Status: Settled

Status Date: 06/28/2000

Settlement Amount: \$85,774.65

Individual Contribution Amount: \$21,000.00

Firm Statement THE FIRM VIEWED THIS MATTER AS AN OPERATIONAL ERROR THAT ULTIMATELY RESULTED IN THE LOSS TO THE CLIENT. THE CLIENT AGREED TO A SETTLEMENT IN THE SUM OF \$85,774.65 OF WHICH \$59,947.36 WAS PAID IN CASH AND THE BALANCE WAS A CREDIT AGAINST FUTURE COMMISSIONS.

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: ROTH CAPITAL PARTNERS

Allegations: CLIENT ALLEGED THAT BROKER FAILED TO SELL CERTAIN SECURITIES IN ACCORDANCE WITH RULE 144 WHICH RESULTED IN THE FIRM CANCELLING A SALE OF LASERPOWER. THE ALLEGED DAMAGES WERE NOT SPECIFIED, BUT BELIEVED TO BE IN EXCESS OF \$5,000.00.

Product Type: Equity - OTC

Alleged Damages:

Customer Complaint Information

Date Complaint Received: 03/21/2000

Complaint Pending? No

Status: Settled

Status Date: 06/28/2000

Settlement Amount: \$85,774.65

Individual Contribution Amount: \$21,000.00

Broker Statement THE FIRM VIEWED THIS MATTER AS AN OPERATIONAL ERROR THAT ULTIMATELY RESULTED IN THE LOSS TO THE CLIENT. THE CLIENT AGREED TO A SETTLEMENT IN THE SUM OF \$85,774.65 OF WHICH \$59,947.36 WAS PAID IN CASH AND THE BALANCE WAS A CREDIT AGAINST FUTURE COMMISSIONS.

Disclosure 3 of 4

Reporting Source: Firm

Employing firm when activities occurred which led to the complaint: ROTH CAPITAL PARTNERS, INC.

Allegations: CLAIMANT ALLEGES THAT REPRESENTATIVE MADE UNSUITABLE RECOMMENDATIONS AND PURCHASES IN CLAIMANTS ACCOUNT.



CLAIMANT ALSO ALLEGES THT REPRESENTATIVE TRADED EXCESSIVELY IN CLAIMANTS ACCOUNT.

Product Type: Equity - OTC

Alleged Damages: \$50,000.00

Customer Complaint Information

Date Complaint Received: 09/25/2000

Complaint Pending? No

Status: Arbitration/Reparation

Status Date: 09/25/2000

Settlement Amount:

Individual Contribution Amount:

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: 00-03769 NASD

Date Notice/Process Served: 09/25/2000

Arbitration Pending? No

Disposition: Settled

Disposition Date: 06/14/2001

Firm Statement MATTER WAS SETTLED BELOW \$10,000.00 PLEASE ARCHIVE.

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: ROTH CAPITAL PARTNERS, INC.

Allegations: CLAIMANT ALLEGES THAT REPRESENTATIVE MADE UNSUITABLE RECOMMENDATIONS AND PURCHASES IN CLAIMANTS ACCOUNT. CLAIMANT ALSO ALLEGES THAT REPRESENTATIVE TRADED EXCESSIVELY IN CLAIMANTS ACCOUNT.

Product Type: Equity - OTC

Alleged Damages: \$50,000.00

Customer Complaint Information

Date Complaint Received: 09/25/2000

Complaint Pending? No

Status: Arbitration/Reparation

Status Date: 09/25/2000

Settlement Amount:

Individual Contribution Amount:

Arbitration Information



Arbitration/Reparation Claim filed with and Docket/Case No.: 00-03769 NASD

Date Notice/Process Served: 09/25/2000

Arbitration Pending? No

Disposition: Settled

Disposition Date: 06/14/2001

Broker Statement MATTER WAS SETTLED BELOW \$10,000.00. PLEASE ARCHIVE.

Disclosure 4 of 4

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: CRUTTENDEN ROTH INCORPORATED

Allegations: CLIENT ALLEGES THAT MR. WEST MADE UNSUITABLE RECOMMENDATIONS AND CHURNED HIS ACCOUNT. THE CLIENT ALLEGES "OUT OF POCKET" DAMAGES IN THE AMOUNT OF \$41,000, BUT CALCULATES DAMAGES IN THE AMOUNT OF \$141,000.

Product Type: Equity - OTC

Alleged Damages: \$41,000.00

Customer Complaint Information

Date Complaint Received: 02/09/2000

Complaint Pending? No

Status: Settled

Status Date: 03/24/2000

Settlement Amount: \$60,000.00

Individual Contribution Amount: \$30,000.00



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: LPL FINANCIAL LLC
Termination Type: Discharged
Termination Date: 01/30/2015
Allegations: FAILURE TO PROPERLY DISCLOSE USE OF CONSOLIDATED REPORTS.
Product Type: No Product

Reporting Source: Individual
Firm Name: LPL FINANCIAL
Termination Type: Discharged
Termination Date: 01/30/2015
Allegations: FAILURE TO PROPERLY DISCLOSE USE OF CONSOLIDATED STATEMENTS.
Product Type: No Product



End of Report

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