IAPD Report

DOUGLAS LEE JONES

CRD# 1867203

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

DOUGLAS LEE JONES (CRD# 1867203)

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 **11/15/2025**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	LPL FINANCIAL LLC	CRD# 6413	05/18/2022
IA	LPL FINANCIAL LLC	CRD# 6413	05/18/2022

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **18** 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
IA	CUNA BROKERAGE SERVICES, INC.	13941	BOULDER, CO	11/13/2017 - 05/18/2022
B	CUNA BROKERAGE SERVICES, INC.	13941	BOULDER, CO	11/09/2017 - 05/18/2022
B	CUSO FINANCIAL SERVICES, L.P.	42132	BOULDER, CO	12/09/2011 - 10/17/2016

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	3

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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 **18** jurisdiction(s) and 1 SRO(s) through his or her employer(s).

Employment 1 of 1

Firm Name: **LPL FINANCIAL LLC**

Main Address: 1055 LPL WAY
FORT MILL, SC 29715

Firm ID#: 6413

	Regulator	Registration	Status	Date
B	FINRA	General Securities Representative	Approved	05/18/2022
B	Arizona	Agent	Approved	11/22/2023
B	Arkansas	Agent	Approved	05/18/2022
B	California	Agent	Approved	05/18/2022
B	Colorado	Agent	Approved	05/18/2022
IA	Colorado	Investment Adviser Representative	Approved	05/18/2022
B	Idaho	Agent	Approved	02/21/2023
B	Kansas	Agent	Approved	11/17/2025
B	Maryland	Agent	Approved	11/20/2023
B	Michigan	Agent	Approved	11/17/2023
B	Minnesota	Agent	Approved	05/18/2022
B	Missouri	Agent	Approved	03/23/2023
B	Nevada	Agent	Approved	07/20/2023

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Qualifications

	Regulator	Registration	Status	Date
B	New York	Agent	Approved	05/18/2022
B	North Carolina	Agent	Approved	11/18/2023
B	Oregon	Agent	Approved	11/17/2023
B	South Dakota	Agent	Approved	05/18/2022
B	Virginia	Agent	Approved	01/24/2024
B	Washington	Agent	Approved	01/24/2025
B	Wyoming	Agent	Approved	04/25/2025

Branch Office Locations

LPL FINANCIAL LLC
800 COAL CREEK CIR
LOUISVILLE, CO 80027

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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, 2 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	10/15/1988

State Securities Law Exams

	Exam	Category	Date
IA B	Uniform Combined State Law Examination (S66)	Series 66	06/22/2001
B	Uniform Securities Agent State Law Examination (S63)	Series 63	11/01/1988

PROFESSIONAL DESIGNATIONS

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

No information reported.

Only professional designations listed in Question 8 of the Form U4 will appear in this section if the appropriate box is checked and verified by the issuing organization at the time of the filing. Learn more about eligible designations at IARD and NASAA.

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User Guidance

www.adviserinfo.sec.gov

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	11/13/2017 - 05/18/2022	CUNA BROKERAGE SERVICES, INC.	CRD# 13941	BOULDER, CO
B	11/09/2017 - 05/18/2022	CUNA BROKERAGE SERVICES, INC.	CRD# 13941	BOULDER, CO
B	12/09/2011 - 10/17/2016	CUSO FINANCIAL SERVICES, L.P.	CRD# 42132	BOULDER, CO
IA	12/09/2011 - 10/17/2016	CUSO FINANCIAL SERVICES, L.P.	CRD# 42132	BOULDER, CO
B	05/09/2008 - 12/02/2011	BANCWEST INVESTMENT SERVICES, INC.	CRD# 29357	BOULDER, CO
IA	05/08/2008 - 12/02/2011	BANCWEST INVESTMENT SERVICES, INC. (BWIS) AND BWIS D/B/A FHIS	CRD# 29357	BOULDER, CO
B	03/24/2008 - 05/01/2008	CHASE INVESTMENT SERVICES CORP.	CRD# 25574	BOULDER, CO
IA	03/24/2008 - 05/01/2008	CHASE INVESTMENT SERVICES CORP.	CRD# 25574	BOULDER, CO
B	08/12/2006 - 03/17/2008	BANCWEST INVESTMENT SERVICES, INC.	CRD# 29357	THORNTON, CO
IA	08/12/2006 - 03/17/2008	BANCWEST INVESTMENT SERVICES, INC.	CRD# 29357	THORNTON, CO
IA	10/14/2004 - 08/12/2006	INVEST FINANCIAL CORPORATION	CRD# 12984	LONGMONT, CO
B	10/12/2004 - 08/12/2006	INVEST FINANCIAL CORPORATION	CRD# 12984	LONGMONT, CO
IA	02/27/2004 - 10/04/2004	IFMG SECURITIES, INC.	CRD# 14416	BOULDER, CO
B	02/03/2004 - 10/04/2004	IFMG SECURITIES, INC.	CRD# 14416	PURCHASE, NY
B	04/23/2002 - 01/23/2004	ALLSTATE FINANCIAL SERVICES, LLC	CRD# 18272	LINCOLN, NE

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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	05/10/2000 - 02/04/2002	PRIMEVEST FINANCIAL SERVICES, INC.	CRD# 15340	ST. CLOUD, MN
B	06/13/1997 - 05/10/2000	BISYS BROKERAGE SERVICES, INC.	CRD# 23302	ST. CLOUD, MN
B	02/15/1996 - 12/31/1996	SECURITIES AMERICA, INC.	CRD# 10205	LAVISTA, NE
B	05/19/1993 - 10/24/1995	NORWEST INVESTMENT SERVICES, INC.	CRD# 16100	MINNEAPOLIS, MN
B	10/19/1988 - 05/25/1993	AMERICAN EXPRESS FINANCIAL ADVISORS INC.	CRD# 6363	MINNEAPOLIS, MN
B	10/19/1988 - 05/25/1993	IDS LIFE INSURANCE COMPANY	CRD# 6321	MINNEAPOLIS, MN

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
05/2022 - Present	LPL FINANCIAL LLC	Registered representative	Y	BOULDER, CO, United States
11/2017 - Present	CUNA Brokerage Services, Inc	Registered Representative	Y	Waverly, IA, United States
11/2017 - Present	CUNA Mutual Group	Agent	Y	Waverly, IA, United States
11/2016 - 11/2017	Jones Landscaping	manager	N	Nederland, CO, United States
12/2011 - 10/2016	CUSO FINANCIAL SERVICES, LP	REGISTERED REPRESENTATIVE	Y	SA DIEGO, CA, United States
12/2011 - 10/2016	ELEVATIONS CREDIT UNION	REGISTERED REPRESENTATIVE	Y	BOULDER, CO, United States

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.

1. 05-18-2022-MEMBERS Financial Services- Investment Related- AT Reported Business Location(s)- DBA for LPL Business

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Registration & Employment History

OTHER BUSINESS ACTIVITIES

(entity for LPL business)-

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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.

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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	3

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 3

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	INVEST FINANCIAL CORPORATION
Allegations:	CLIENT ALLEGES THE ANNUNITY SOLD IS UNSUITABLE
Product Type:	Annuity(ies) - Variable
Alleged Damages:	$5,045.97

Customer Complaint Information

Date Complaint Received:	02/13/2006
Complaint Pending?	No
Status:	Denied
Status Date:	03/16/2006
Settlement Amount:	
Individual Contribution Amount:	
Broker Statement	THIS COMPLAINT WAS DENIED AS THE CLAIMS BY THE CLIENT FUTHER WERE UNSUBSTANTIATED

Disclosure 2 of 3

Reporting Source:	Firm

Employing firm when activities occurred which led to the complaint: PRIMEVEST FINANCIAL SERVICES, INC.

Allegations: VERBAL COMPLAINT FROM [FAMILY MEMBER], ON BEHALF OF HER MOTHER CUSTOMER, STATING THEIR TAX ADVISER INFORMED THEM THAT THEY OWED AN ADDITIONAL $17,380 IN FEDERAL TAXES, $3,913 IN COLORADO STATE TAXES AND $32.00 IN ILLINOIS STATE TAXES DUE TO SELLING TWO STOCKS IN NOVEMBER, 2001. [FAMILY MEMBER] ALLEGES THAT THE INVESTMENT EXECUTIVE DID NOT TAKE INTO CONSIDERATION THE PREVIOUS STOCK SPLITS IN CALCULATING THE COST BASIS.

ACCORDING TO THE INVESTMENT EXECUTIVE'S STATEMENT HE RELIED ON THE INFORMATION AND DOCUMENTATION HE RECEIVED FROM THE CLIENT'S MOTHER AND AS SUCH HE WAS UNAWARE THAT THE TWO SECURITIES WENT THROUGH PRIOR STOCK SPLITS. SUBSEQUENTLY, THE INVESTMENT EXECUTIVE IN CALCULATING OF THE COST BASIS MADE NO ADJUSTMENTS.

IN THE INTEREST OF GOOD CUSTOMER RELATIONS WE EXTENDED AN OFFER TO THE CLIENTS TO PAY HALF OF THE ADDITIONAL TAX LIABILITY IN THE AMOUNT OF $10,662.50, WHICH THE CLIENT'S MOTHER INCURRED AS THE RESULT OF THE SELLING SEARS ROEBUCK & COMPANY AND MORGAN STANLEY DEAN WITTER & COMPANY STOCKS IN 2001.

Product Type: Equity Listed (Common & Preferred Stock)

Alleged Damages: $21,543.00

Customer Complaint Information

Date Complaint Received: 04/17/2002

Complaint Pending? No

Status: Settled

Status Date: 07/22/2002

Settlement Amount: $10,662.50

Individual Contribution Amount: $0.00

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: PRIMEVEST FINANCIAL

Allegations: CUSTOMER DID NOT LIKE THE STOCKS SHE OWNED AND WANTED TO DIVERSIFY. SHE INHERITED 3 STOCKS FROM HER MOTHER AND SOLD 2. SHE PROVIDED WHAT THOUGHT COST BASIS WAS WHICH DOUG JONES USED. DATE APPROXIMATELY 10/02 SHE WAS REFERRED TO ACCOUNTANT.

Product Type: Other

Other Product Type(s): COMMON STOCK

Alleged Damages: $21,543.00

Customer Complaint Information

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Date Complaint Received: 04/17/2002

Complaint Pending? No

Status: Settled

Status Date: 07/22/2002

Settlement Amount: $10,662.50

Individual Contribution Amount: $0.00

Disclosure 3 of 3

Reporting Source: Firm

Employing firm when activities occurred which led to the complaint: PRIMEVEST FINANCIAL SERVICES INC

Allegations: CLIENT ALLEGES THAT MR. JONES ADVISED HER TO INVEST HER 401K ROLLOVER INTO AGGRESSIVE TECHNOLOGY MUTUAL FUNDS. THIS ADVISE RESULTED IN A DECREASE OF HER RETIREMENT ASSETS. HE ALSO PLACED HER IN SUN MICROSYSTEMS WHICH ALSO DECREASED IN VALUE.

Product Type: Mutual Fund(s)

Other Product Type(s): EQUITY - OTC

Alleged Damages: $61,000.00

Customer Complaint Information

Date Complaint Received: 04/16/2002

Complaint Pending? No

Status: Denied

Status Date: 06/04/2002

Settlement Amount:

Individual Contribution Amount:

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: PRIMEVEST FINANCIAL SERVICES INC

Allegations: CLIENT ALLEGES THAT MR. JONES ADVISED HER TO INVEST HER 401K ROLLOVER INTO AGGRESSIVE TECH MUTUAL FUNDS. THIS ADVISE RESULTED IN A DECREASE OF HER RETIREMENT ASSETS. HE ALSO PLACED HER IN SUN MICROSYSTEMS WHICH ALSO DECREASED IN VALUE.

Product Type: Equity - OTC

Alleged Damages: $61,000.00

Customer Complaint Information

Date Complaint Received: 04/16/2002

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Complaint Pending?	No
Status:	Denied
Status Date:	06/04/2002
Settlement Amount:	
Individual Contribution Amount:	

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End of Report

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