



IAPD Report

JEFFREY GALE BEST

CRD# 2157059

<u>Section Title</u>	<u>Page(s)</u>
Report Summary	1
Qualifications	2 - 3
Registration and Employment History	4
Disclosure Information	5

i 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

JEFFREY GALE BEST (CRD# 2157059)

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 **11/27/2019**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
IA	BUCKEYE WEALTH MANAGEMENT LLC	CRD# 143638	07/16/2007

QUALIFICATIONS

This representative is currently registered in **0** 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
IA	BEST ADVISORY SERVICES	119858	WESTERVILLE, OH	11/28/2006 - 06/27/2007
B	FINANCIAL NETWORK INVESTMENT CORPORATION	13572	EL SEGUNDO, CA	01/02/1996 - 12/31/2000
B	FAHNESTOCK & CO., INC.	249	NEW YORK, NY	06/24/1994 - 12/31/1995

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	2
Customer Dispute	1
Financial	1
Judgment/Lien	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 **0** SRO(s) through his or her employer(s).

Employment 1 of 1

Firm Name: **BUCKEYE WEALTH MANAGEMENT LLC**
Main Address: 155 COMMERCE PARK DRIVE
SUITE 2
WESTERVILLE, OH 43082
Firm ID#: 143638

Regulator	Registration	Status	Date
IA Ohio	Investment Adviser Representative	Approved	07/16/2007

Branch Office Locations

BUCKEYE WEALTH MANAGEMENT LLC
155 COMMERCE PARK DRIVE
SUITE 2
WESTERVILLE, OH 43082



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 1 state securities law exam.

Principal/Supervisory Exams

Exam	Category	Date
------	----------	------

No information reported.

General Industry/Product Exams

Exam	Category	Date
------	----------	------

B General Securities Representative Examination (S7)	Series 7	06/05/1997
B Investment Company Products/Variable Contracts Representative Examination (S6)	Series 6	07/22/1991

State Securities Law Exams

Exam	Category	Date
------	----------	------

B Uniform Securities Agent State Law Examination (S63)	Series 63	06/14/2000
---	-----------	------------

PROFESSIONAL DESIGNATIONS

This section details that the representative has reported 1 professional designation(s).

Certified Financial Planner

This representative holds or did hold 1 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 & Employment History

PREVIOUSLY REGISTERED WITH THE FOLLOWING FIRMS

This representative held registrations with the following firms:

	Registration Dates	Firm Name	ID#	Branch Location
IA	11/28/2006 - 06/27/2007	BEST ADVISORY SERVICES	CRD# 119858	WESTERVILLE, OH
B	01/02/1996 - 12/31/2000	FINANCIAL NETWORK INVESTMENT CORPORATION	CRD# 13572	EL SEGUNDO, CA
B	06/24/1994 - 12/31/1995	FAHNESTOCK & CO., INC.	CRD# 249	NEW YORK, NY
B	07/25/1991 - 06/28/1994	FORTIS INVESTORS, INC.	CRD# 421	OAKDALE, 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
06/1998 - Present	BEST ADVISORY SERVICES	OWNER	Y	WESTERVILLE, OH, United States
10/1990 - Present	CENTRAL LIFE ASSURANCE CO.	AGENT - AGENT	N	DES MOINES, IA, 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.

INSURANCE SALES, LICENSED SINCE 1986. SALES ARE PLACED FOR CLIENTS AS NEEDED AS PART OF THEIR FINANCIAL PLANS. SPEND LESS THAN 5 HOURS PER WEEK ON INSURANCE RELATED SALES.



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	2
Customer Dispute	1
Financial	1
Judgment/Lien	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 2

Reporting Source:	Individual
Regulatory Action Initiated By:	CERTIFIED FINANCIAL PLANNER BOARD OF STANDARDS
Sanction(s) Sought:	Suspension
Date Initiated:	03/07/2012
Docket/Case Number:	2011-1393
Employing firm when activity occurred which led to the regulatory action:	BUCKEYE WEALTH MANAGEMENT
Product Type:	Equity Listed (Common & Preferred Stock) Promissory Note
Allegations:	STATE OF OHIO REGULATORY ACTION/SUSPENSION WAS DISCLOSED TO THE CFP BOARD WHICH PROMPTED AN INVESTIGATION OF THE CIRCUMSTANCES RELATED TO THAT ACTION.
Current Status:	Final
Resolution:	Settled



Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct? Yes

Resolution Date: 03/21/2012

Sanctions Ordered: Suspension

Sanction 1 of 1

Sanction Type: Suspension

Capacities Affected: ALL CAPACITIES OF CFP MARKS

Duration: 14 DAYS

Start Date: 03/07/2012

End Date: 03/21/2012

Broker Statement SERVED 14 DAY SUSPENSION, FILED AFFIDAVIT OF COMPLETION TO CFP BOARD AND WAS ENTITLED TO AUTOMATIC REINSTATEMENT.

Disclosure 2 of 2

Reporting Source: Regulator

Regulatory Action Initiated By: STATE OF OHIO DIVISION OF SECURITIES

Sanction(s) Sought: Revocation
Suspension

Date Initiated: 07/27/2010

Docket/Case Number: 10-060

URL for Regulatory Action:

Employing firm when activity occurred which led to the regulatory action: BEST ADVISORY SERVICES, LLC, CRD # 119858

Product Type: Equity Listed (Common & Preferred Stock)
Investment Contract

Allegations: SOLD UNREGISTERED SECURITIES; FAILED TO PLACE SELL ORDER IN A TIMELY MANNER; UNSUITABLE INVESTMENT; FRAUDULENT AND UNCONSCIONABLE PRACTICE.

Current Status: Final

Resolution: Stipulation and Consent

Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct? Yes

Resolution Date: 05/19/2011

Sanctions Ordered: Cease and Desist



Suspension
Other: ORDER NO. 11-025.

Sanction 1 of 1

Sanction Type: Suspension

Capacities Affected: ALL CAPACITIES

Duration: 14 DAYS

Start Date: 05/30/2011

End Date: 06/13/2011

Reporting Source: Individual

Regulatory Action Initiated By: STATE OF OHIO DIVISION OF SECURITIES

Sanction(s) Sought: Cease and Desist
Suspension

Date Initiated: 12/28/2009

Docket/Case Number: 11-025

Employing firm when activity occurred which led to the regulatory action: BEST ADVISORY SERVICES

Product Type: Other: LOAN TO NATURAL HOSPICE

Allegations: STATE OF OHIO ALLEGES THE UNLICENSED SALE OF AN UNREGISTERED SECURITY IN NATURAL HOSPICE ON OR AROUND AUGUST OF 2005

Current Status: Final

Resolution: Consent

Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct? Yes

Resolution Date: 05/19/2011

Sanctions Ordered: Cease and Desist
Suspension

Sanction 1 of 1

Sanction Type: Suspension

Capacities Affected: INVESTMENT ADVISORY ACTIVITY

Duration: 14 DAYS

Start Date: 05/30/2011

End Date: 06/12/2011

Broker Statement THE OHIO DIVISION OF SECURITIES HELD A DEPOSITION OF MR BEST AND A HEARING WAS CONDUCTED BY REQUEST OF MR BEST. AS A RESULT A



SETTLEMENT OFFER BY THE OHIO DIVISION OF SECURITIES WAS
ACCEPTED.



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 1

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	BUCKEYE WEALTH MANAGEMENT
Allegations:	ALLEGED FAILURE TO MAKE REQUESTED SALES OF SECURITIES ON OR AROUND JULY OF 2008; ALLEGED PLACEMENT IN AN UNSUITABLE INVESTMENT MADE IN AUGUST 2005.
Product Type:	Equity-OTC Other: LOAN IN NATURAL HOSPICE
Alleged Damages:	\$78,000.00
Alleged Damages Amount Explanation (if amount not exact):	LOSSES DUE TO THE OCTOBER 2008 MARKET DOWNTURN IN SPECIFIED SECURITIES ALLEGED NOT SOLD AS REQUESTED; PLUS REFUND OF LOAN INVOLVING "NATURAL HOSPICE"
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:	02/19/2009
Complaint Pending?	No
Status:	Settled
Status Date:	08/20/2010
Settlement Amount:	\$45,000.00
Individual Contribution Amount:	\$1,000.00



Financial

This disclosure event involves a final bankruptcy, compromise with one or more creditors, or Securities Investor Protection Corporation liquidation that occurred within the last 10 years and that involved the Investment Adviser Representative or an organization/investment adviser that the Investment Adviser Representative controlled that occurred within the last 10 years.

Disclosure 1 of 1

Reporting Source: Individual
Action Type: Bankruptcy
Bankruptcy: Chapter 7
Action Date: 10/17/2017

Organization Investment-Related?

Type of Court: Federal Court
Name of Court: United States Bankruptcy Court
Location of Court: Columbus Ohio, Franklin County
Docket/Case #: 17-55444
Action Pending? No
Disposition: Discharged
Disposition Date: 09/27/2018

Broker Statement

Bankruptcy was a result of State of Ohio action against me and attorney bills associated with it. In order to pay attorney bills, taxes did not get paid and the chapter 7 was necessary to protect against large taxes and penalties owed.



Judgment/Lien

This disclosure event involves an unsatisfied and outstanding judgment or lien against the Investment Adviser Representative.

Disclosure 1 of 1

Reporting Source:	Individual
Judgment/Lien Holder:	IRS
Judgment/Lien Amount:	\$217,796.85
Judgment/Lien Type:	Tax
Date Filed with Court:	08/01/2017
Date Individual Learned:	08/01/2017
Type of Court:	State Court
Name of Court:	Ohio Common Pleas
Location of Court:	Franklin County
Docket/Case #:	201708010105488
Judgment/Lien Outstanding?	Yes
Broker Statement	Lien should have been released as all of this tax debt has been discharged though Chapter 7 Bankruptcy and a new tax lien was placed for the balance due of \$13,133.84. But does not yet show up on the Franklin County Recorders site.



End of Report

This page is intentionally left blank.