



IAPD Report

JASON ALEXANDER DRIVER

CRD# 2170819

<u>Section Title</u>	<u>Page(s)</u>
Report Summary	1
Qualifications	2 - 5
Registration and Employment History	6 - 7
Disclosure Information	8



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

JASON ALEXANDER DRIVER (CRD# 2170819)

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 **02/14/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
IA	ADAIR FINANCIAL PRIVATE CLIENT GROUP	CRD# 306300	03/09/2020
B	LPL FINANCIAL LLC	CRD# 6413	03/06/2025

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **26** 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	IC ADVISORY SERVICES, INC.	140190	JENKINTOWN, PA	08/11/2020 - 03/12/2025
B	THE INVESTMENT CENTER, INC.	17839	JENKINTOWN, PA	08/11/2020 - 03/06/2025
IA	DUNHAM & ASSOCIATES INVESTMENT COUNSEL, INC.	13162	WEST CHESTER, PA	02/14/2008 - 04/22/2019

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
Customer Dispute	3
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 **26** jurisdiction(s) and 1 SRO(s) through his or her employer(s).

Employment 1 of 2

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 Principal	Approved	03/06/2025
B	FINRA	General Securities Representative	Approved	03/06/2025
B	Alabama	Agent	Approved	07/11/2025
B	Alaska	Agent	Approved	07/15/2025
B	Arizona	Agent	Approved	03/06/2025
B	California	Agent	Approved	03/06/2025
B	Colorado	Agent	Approved	03/06/2025
B	Delaware	Agent	Approved	03/06/2025
B	District of Columbia	Agent	Approved	02/17/2026
B	Florida	Agent	Approved	03/07/2025
B	Georgia	Agent	Approved	03/06/2025
B	Hawaii	Agent	Approved	03/06/2025
B	Kansas	Agent	Approved	03/06/2025



Qualifications

Regulator	Registration	Status	Date
B Maryland	Agent	Approved	03/06/2025
B Mississippi	Agent	Approved	03/06/2025
B New Jersey	Agent	Approved	03/06/2025
B New Mexico	Agent	Approved	03/06/2025
B New York	Agent	Approved	03/06/2025
B North Carolina	Agent	Approved	03/06/2025
B Ohio	Agent	Approved	03/06/2025
B Pennsylvania	Agent	Approved	03/06/2025
B South Carolina	Agent	Approved	03/06/2025
B Tennessee	Agent	Approved	07/14/2025
B Texas	Agent	Approved	07/11/2025
B Virginia	Agent	Approved	03/06/2025
B Washington	Agent	Approved	03/06/2025
B West Virginia	Agent	Approved	03/06/2025
B Wisconsin	Agent	Approved	07/15/2025

Branch Office Locations

LPL FINANCIAL LLC
 930 RED ROSE COURT SUITE 200
 LANCASTER, PA 17601

LPL FINANCIAL LLC
 W CHESTER, PA

Employment 2 of 2

Firm Name: **ADAIR FINANCIAL PRIVATE CLIENT GROUP**



Qualifications

Main Address: WEST CHESTER, PA

Firm ID#: 306300

Regulator	Registration	Status	Date
IA Florida	Investment Adviser Representative	Approved	02/09/2021
IA Georgia	Investment Adviser Representative	Approved	06/19/2020
IA Ohio	Investment Adviser Representative	Approved	04/03/2020
IA Pennsylvania	Investment Adviser Representative	Approved	03/09/2020
IA Texas	Investment Adviser Representative	Approved	09/24/2021

Branch Office Locations

ADAIR FINANCIAL PRIVATE CLIENT GROUP
WEST CHESTER, PA

ADAIR FINANCIAL PRIVATE CLIENT GROUP
2503, Zennor Court
Cedar Park, TX 78613




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, 2 general industry/product exams, and 2 state securities law exams.



Principal/Supervisory Exams

Exam	Category	Date
 General Securities Principal Examination (S24)	Series 24	05/17/2021

General Industry/Product Exams

Exam	Category	Date
 Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
 General Securities Representative Examination (S7)	Series 7	08/21/1991

State Securities Law Exams

Exam	Category	Date
 Uniform Investment Adviser Law Examination (S65)	Series 65	08/27/1993
 Uniform Securities Agent State Law Examination (S63)	Series 63	09/05/1991

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	08/11/2020 - 03/12/2025	IC ADVISORY SERVICES, INC.	CRD# 140190	JENKINTOWN, PA
B	08/11/2020 - 03/06/2025	THE INVESTMENT CENTER, INC.	CRD# 17839	JENKINTOWN, PA
IA	02/14/2008 - 04/22/2019	DUNHAM & ASSOCIATES INVESTMENT COUNSEL, INC.	CRD# 13162	WEST CHESTER, PA
B	02/11/2008 - 04/22/2019	DUNHAM & ASSOCIATES INVESTMENT COUNSEL, INC.	CRD# 13162	SAN DIEGO, CA
B	11/06/2006 - 02/22/2008	INTEGRITY FUNDS DISTRIBUTOR, INC.	CRD# 26293	MINOT, ND
B	07/01/2002 - 11/09/2005	RAYMOND JAMES & ASSOCIATES, INC.	CRD# 705	ST. PETERSBURG, FL
B	07/24/1993 - 07/03/2002	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	CRD# 7691	NEW YORK, NY
IA	01/01/1988 - 07/03/2002	MERRILL LYNCH PIERCE FENNER & SMITH INC.	CRD# 7691	WILMINGTON, DE
B	08/28/1991 - 06/23/1993	HIBBARD BROWN & CO., INC.	CRD# 18246	NEW YORK, NY

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
03/2025 - Present	LPL FINANCIAL LLC	Registered Representative	Y	JENKINTOWN, PA, United States
08/2020 - 03/2025	IC ADVISORY SERVICES INC	REGISTERED REP	Y	JENKINTOWN, PA, United States
08/2020 - 03/2025	THE INVESTMENT CENTER INC	REGISTERED REP	Y	JENKINTOWN, PA, United States
10/2019 - 03/2025	Adair financial Private Client Group, LLC.	Managing Officer and CCO	Y	West Chester, PA, United States
04/2019 - 10/2019	UNEMPLOYED	UNEMPLOYED	N	WEST CHESTER, PA, United States
01/2008 - 04/2019	DUNHAM AND ASSOCIATES	REGIONAL DIRECTOR	Y	SAN DIEGO, CA, United States



Registration & Employment History

EMPLOYMENT HISTORY

Employment Dates	Employer Name	Position	Investment Related	Employer Location
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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.

- 03/06/2025- Strategic Management Associates - Business Entity For Tax/Investment Purposes Only - Investment Related - Home Based - Start Date 10/30/2019 - 2 hours per month/ 0 hours during trading
- 03/06/2025 - Conner Financial - DBA for LPL Business (entity for LPL business) - Investment Related - At Reported Business Location(s) - Start Date 07/01/2020 - 10 hours per month/ during trading
- 03/12/2025 - Adair Financial Private Client Group LLC - Registered Investment Advisor Hybrid - IAR - Investment Related - At Reported Business Location(s) - Start Date 08/09/2019 - 20 Hours per month/ 10 Hours During Trading - I provide investment advisory services through Adair Financial Private Client Group LLC, an independent investment advisor firm. I started this business activity in 8/2019. I expect to spend approximately 20 hours per month on this activity. Please see the advisory firm's Form ADV for more information about its address, the nature of its business, its owners, and its services at <http://www.adviserinfo.sec.gov/IAPD>. The firm is separate from and independent of LPL Financial.
- 05/19/2025 - Financial Management Group - Investment Related - DBA for LPL Business (entity for LPL business) - At Reported Business Location(s) - Start Date 05/07/2025 - 120 Hours per month/ During Trading.
- 07/23/2025 - Private Wealth Planning Group LLC - Investment Related - DBA for LPL Business (entity for LPL business) - At Reported Business Location(s) - Start Date 06/30/2025 - 40 Hours per month/ During Trading.
- 08/19/2025 - Private Wealth Planning Group LLC - Business Entity For Tax/Investment Purposes Only - Investment Related - Start Date 08/27/2019 - 1 hour per month/ 0 hours during trading



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	3
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 3

Reporting Source:	Firm
Employing firm when activities occurred which led to the complaint:	RAYMOND JAMES & ASSOCIATES, INC.
Allegations:	UNAUTHORIZED TRADES - CLIENT CLAIMS ALL TRADING IN HIS ACCOUNT IN ELN WAS UNAUTHORIZED.
Product Type:	Equity Listed (Common & Preferred Stock)
Alleged Damages:	\$25,000.00

Customer Complaint Information

Date Complaint Received:	12/05/2005
Complaint Pending?	No
Status:	Settled
Status Date:	12/05/2005
Settlement Amount:	\$25,230.49
Individual Contribution Amount:	\$0.00

Reporting Source: Individual



Employing firm when activities occurred which led to the complaint: RAYMOND JAMES & ASSOCIATES, INC.

Allegations: UNAUTHORIZED TRADES - CLIENT CLAIMS ALL TRADING IN HIS ACCOUNT IN ELN WAS UNAUTHORIZED

Product Type: Equity Listed (Common & Preferred Stock)

Alleged Damages: \$25,000.00

Customer Complaint Information

Date Complaint Received: 12/05/2005

Complaint Pending? No

Status: Settled

Status Date: 12/05/2005

Settlement Amount: \$25,230.49

Individual Contribution Amount: \$0.00

Disclosure 2 of 3

Reporting Source: Firm

Employing firm when activities occurred which led to the complaint: RAYMOND JAMES & ASSOCIATES, INC.

Allegations: ARBITRATION ALLEGATIONS: NEGLIGENCE; FAILED TO ACT AS A REASONABLE AND PRUDENT INVESTMENT ADVISOR; BREACH OF FIDUCIARY DUTIES; EXHIBITED A WANTON OR WILLFUL DISREGARD FOR THE RIGHTS OF CLAIMANTS. INCIDENT DATES: 7/2002 THRU 7/2006
PRE-ARBITRATION ALLEGATIONS: UNAUTHORIZED TRADING IN ELAN STOCK BETWEEN DECEMBER 2004 AND FEBRUARY 2005

Product Type: Equity Listed (Common & Preferred Stock)

Alleged Damages: \$120,000.00

Customer Complaint Information

Date Complaint Received: 10/31/2005

Complaint Pending? No

Status: Arbitration/Reparation

Status Date: 11/16/2005

Settlement Amount:

Individual Contribution Amount:

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: NASD - SOUTHEAST PROCESSING CENTER
CASE# 06-03282

Date Notice/Process Served: 08/21/2006

Arbitration Pending? No



Disposition: Settled
Disposition Date: 05/02/2007
Monetary Compensation Amount: \$51,000.00
Individual Contribution Amount: \$0.00

Reporting Source: Individual
Employing firm when activities occurred which led to the complaint: RAYMOND JAMES & ASSOCIATES, INC.

Allegations: UNAUTHORIZED TRADING IN ELAN STOCK BETWEEN DECEMBER 2004 AND FEBRUARY 2005
Product Type: Equity - OTC
Alleged Damages: \$120,000.00

Customer Complaint Information

Date Complaint Received: 10/31/2005
Complaint Pending? No
Status: Arbitration/Reparation
Status Date: 10/12/2006
Settlement Amount:

Individual Contribution Amount:

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: NASD DOCKET NUMBER IS 06-03282
Date Notice/Process Served: 10/13/2006
Arbitration Pending? No
Disposition: Settled
Disposition Date: 05/02/2007
Monetary Compensation Amount: \$51,000.00
Individual Contribution Amount: \$0.00

Disclosure 3 of 3

Reporting Source: Individual
Employing firm when activities occurred which led to the complaint: RAYMOND JAMES & ASSOCIATES, INC.
Allegations: UNAUTHORIZED TRADES - VERBAL (NON-REPORTABLE) COMPLAINT RECEIVED 4/28/05 BY CLIENT ALLEGING ERROR IN ACCOUNT. CLIENT



DOES NOT RECALL DISCUSSING PURCHASE OF ELN FROM 10/28/04.
DATES OF ACTIVITY: TRADE OCCURRED ON 10/28/04; COMPLAINT WAS
RECEIVED ON 4/28/05; SETTLED ON 5/9/05.

Product Type: Equity Listed (Common & Preferred Stock)

Alleged Damages: \$25,000.00

Customer Complaint Information

Date Complaint Received: 05/09/2005

Complaint Pending? No

Status: Settled

Status Date: 05/09/2005

Settlement Amount: \$25,477.63

Individual Contribution Amount: \$25,477.63

Broker Statement THERE WAS A MISCOMMUNICATION WITH THE CLIENT ON THE PURCHASE OF ELN ON 10/28/04. CLIENT ACKNOWLEDGED THIS WAS A MISTAKE. SITUATION WAS RECTIFIED - CLIENT WAS HAPPY WITH OUTCOME.



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: RAYMOND JAMES & ASSOCIATES, INC.
Termination Type: Discharged
Termination Date: 10/20/2005
Allegations: UNAUTHORIZED TRADING
Product Type: Equity - OTC
Other Product Types:

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Reporting Source: Individual
Firm Name: RAYMOND JAMES & ASSOCIATES, INC.
Termination Type: Discharged
Termination Date: 10/20/2005
Allegations: UNAUTHORIZED TRADING
Product Type: Equity - OTC
Other Product Types:



End of Report

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