



IAPD Report

Jason K Adams

CRD# 2217759

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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

Jason K Adams (CRD# 2217759)

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 **06/11/2025**.

CURRENT EMPLOYERS

Firm	CRD#	Registered Since
IA OPPORTUNITY INVESTMENT GROUP, LLC	CRD# 332696	10/23/2024

QUALIFICATIONS

This representative is currently registered in **0** SRO(s) and **6** 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 MORGAN STANLEY	149777	ATLANTA, GA	06/10/2021 - 07/06/2021
IA MORGAN STANLEY	149777	ATLANTA, GA	06/10/2021 - 07/06/2021
IA J.P. MORGAN SECURITIES LLC	79	ATLANTA, GA	08/03/2009 - 06/15/2021

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



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 **6** jurisdiction(s) and **0** SRO(s) through his or her employer(s).

Employment 1 of 1

Firm Name: **OPPORTUNITY INVESTMENT GROUP, LLC**
Main Address: SMYRNA, GA
Firm ID#: 332696

	Regulator	Registration	Status	Date
	Georgia	Investment Adviser Representative	Approved	10/23/2024
	North Dakota	Investment Adviser Representative	Approved	04/08/2025
	Oregon	Investment Adviser Representative	Approved	03/24/2025
	South Carolina	Investment Adviser Representative	Approved	02/28/2025
	South Dakota	Investment Adviser Representative	Approved	02/24/2025
	Texas	Investment Adviser Representative	Restricted Approval	12/06/2024

Branch Office Locations

OPPORTUNITY INVESTMENT GROUP, LLC
SMYRNA, GA



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
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No information reported.

General Industry/Product Exams

Exam	Category	Date
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Investment Banking Registered Representative Examination (S79TO)	Series 79TO	01/02/2023
Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
General Securities Representative Examination (S7)	Series 7	03/09/1992

State Securities Law Exams

Exam	Category	Date
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Uniform Investment Adviser Law Examination (S65)	Series 65	08/16/2024
Uniform Securities Agent State Law Examination (S63)	Series 63	03/13/1992

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	06/10/2021 - 07/06/2021	MORGAN STANLEY	CRD# 149777	ATLANTA, GA
IA	06/10/2021 - 07/06/2021	MORGAN STANLEY	CRD# 149777	ATLANTA, GA
IA	08/03/2009 - 06/15/2021	J.P. MORGAN SECURITIES LLC	CRD# 79	ATLANTA, GA
B	07/30/2009 - 06/15/2021	J.P. MORGAN SECURITIES LLC	CRD# 79	ATLANTA, GA
IA	02/09/2006 - 08/04/2009	MORGAN KEEGAN & COMPANY, INC.	CRD# 4161	ATLANTA, GA
B	02/01/2006 - 08/04/2009	MORGAN KEEGAN & COMPANY, INC.	CRD# 4161	ATLANTA, GA
IA	10/03/2002 - 07/09/2004	BEAR, STEARNS & CO. INC.	CRD# 79	ATLANTA, GA
B	05/02/2000 - 07/09/2004	BEAR, STEARNS & CO. INC.	CRD# 79	NEW YORK, NY
B	11/02/1995 - 05/03/2000	J.C. BRADFORD & CO.	CRD# 1287	NEW YORK, NY
B	04/01/1993 - 10/25/1995	THE ROBINSON-HUMPHREY COMPANY INC.	CRD# 723	ATLANTA, GA
B	03/12/1992 - 12/01/1992	PEACHTREE CAPITAL CORPORATION	CRD# 25590	ATLANTA, GA

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
08/2024 - Present	Opportunity Investment Group, LLC	President/Portfolio Manager/Investment Adviser Representative	Y	Smyrna, GA, United States
07/2021 - 08/2024	Carnivore Trading	Managing Member	Y	Atlanta, GA, United States
06/2021 - 07/2021	MORGAN STANLEY SMITH BARNEY LLC	WEALTH MANAGEMENT ASSOCIATE	Y	ATLANTA, GA, United States



Registration & Employment History

EMPLOYMENT HISTORY

Employment Dates	Employer Name	Position	Investment Related	Employer Location
10/2010 - 06/2021	JPMORGAN CHASE BANK, N.A.	ACCOUNT EXECUTIVE	Y	ATLANTA, GA, United States
07/2009 - 06/2021	J.P MORGAN SECURITIES INC.	ACCOUNT EXECUTIVE	Y	ATLANTA, GA, 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.

No information reported.



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

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:	Regulator
Regulatory Action Initiated By:	FINRA
Sanction(s) Sought:	Other: N/A
Date Initiated:	06/20/2023
Docket/Case Number:	2023078823301
Employing firm when activity occurred which led to the regulatory action:	J.P. Morgan Securities LLC
Product Type:	No Product
Allegations:	Without admitting or denying the findings, Adams consented to the sanctions and to the entry of findings that he engaged in an OBA without providing prior written notice to his member firm. The findings stated that Adams formed and began operating a company that provided subscription-based, investment content for a fee. Adams conducted the activities under a pseudonym and was the sole owner of the company and was responsible for its day-to-day operations. Adams obtained a federal employer identification number and business bank account for the company, managed the company's payments to and relationships with vendors, and recruited two individuals to prepare content for dissemination to the company's subscribers. The company generated \$77,500 in compensation for Adams.
Current Status:	Final
Resolution:	Acceptance, Waiver & Consent(AWC)



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

No

Resolution Date:

06/20/2023

Sanctions Ordered:

Civil and Administrative Penalty(ies)/Fine(s)
Suspension

If the regulator is the SEC, CFTC, or an SRO, did the action result in a finding of a willful violation or failure to supervise?

No

(1) willfully violated any provision of the Securities Act of 1933, the Securities Exchange Act of 1934, the Investment Advisers Act of 1940, the Investment Company Act of 1940, the Commodity Exchange Act, or any rule or regulation under any of such Acts, or any of the rules of the Municipal Securities Rulemaking Board, or to have been unable to comply with any provision of such Act, rule or regulation?

(2) willfully aided, abetted, counseled, commanded, induced, or procured the violation by any person of any provision of the Securities Act of 1933, the Securities Exchange Act of 1934, the Investment Advisers Act of 1940, the Investment Company Act of 1940, the Commodity Exchange Act, or any rule or regulation under any of such Acts, or any of the rules of the Municipal Securities Rulemaking Board? or



(3) failed reasonably to supervise another person subject to your supervision, with a view to preventing the violation by such person of any provision of the Securities Act of 1933, the Securities Exchange Act of 1934, the Investment Advisers Act of 1940, the Investment Company Act of 1940, the Commodity Exchange Act, or any rule or regulation under any such Acts, or any of the rules of the Municipal Securities Rulemaking Board?

Sanction 1 of 1

Sanction Type: Suspension
Capacities Affected: All capacities
Duration: Three months
Start Date: 06/20/2023
End Date: 09/19/2023

Monetary Sanction 1 of 1

Monetary Related Sanction: Civil and Administrative Penalty(ies)/Fine(s)
Total Amount: \$5,000.00
Portion Levied against individual: \$5,000.00
Payment Plan: Deferred
Is Payment Plan Current:
Date Paid by individual:
Was any portion of penalty waived? No
Amount Waived:

Disclosure 2 of 2

Reporting Source: Regulator
Regulatory Action Initiated By: Missouri
Sanction(s) Sought: Cease and Desist
Restitution
Date Initiated: 03/11/2022
Docket/Case Number: AP-22-06
URL for Regulatory Action: <https://www.sos.mo.gov/CMSImages/Securities/AP-22-06.pdf>



Employing firm when activity occurred which led to the regulatory action:	Carnivore Trading, LLC
Product Type:	No Product
Allegations:	Alleged violations of Section 409.5-502; Prohibited conduct in providing investment advice.
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:	03/11/2022
Sanctions Ordered:	Cease and Desist Restitution
Monetary Sanction 1 of 1	
Monetary Related Sanction:	Restitution
Total Amount:	\$563.32
Portion Levied against individual:	\$563.32
Payment Plan:	No
Is Payment Plan Current:	
Date Paid by individual:	03/11/2022
Was any portion of penalty waived?	No
Amount Waived:	
Regulator Statement	NOW, THEREFORE, it is hereby Ordered that: Respondents Carnivore and Adams, joint and several, shall pay total restitution in the amount of \$563.32 for violations of Section 409.5-502. This amount is due upon execution of this Order by Respondents and shall be made payable to the Missouri Secretary of State's Investor Restitution Fund. Respondents, their agents and employees, and all other persons participating in the above- described alleged violations with knowledge of this Order, are permanently enjoined and restrained from engaging in violations of Section 409.5-502.



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: Firm

Employing firm when activities occurred which led to the complaint: THE ROBINSON-HUMPHREY COMPANY INC.

Allegations: BREACH OF AGREEMENT, BREACH OF FIDUCIARY DUTY, GROSS NEGLIGENCE, NEGLIGENCE, FORGERY, CONVERSION, UNAUTHORIZED ENDORSEMENTS ALLEGED DAMAGES \$30,000.00

Product Type:

Alleged Damages: \$30,000.00

Customer Complaint Information

Date Complaint Received:

Complaint Pending? No

Status: Litigation

Status Date:

Settlement Amount:

Individual Contribution Amount:

Civil Litigation Information

Court Details: SUPERIOR; FULTON COUNTY, GA; E-43310

Date Notice/Process Served: 10/23/1995

Litigation Pending? No

Disposition: Settled

Disposition Date: 04/01/1996

Monetary Compensation Amount: \$10,000.00

Individual Contribution Amount:

Firm Statement PENDING
NO OPTIONS OR COMMODITIES INVOLVED. CONTACT
MADELYN LEVY (212) 816-7252

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: THE ROBINSON-HUMPHREY COMPANY INC.



Allegations: CUSTOMER ALLEGED THAT HER FORMER HUSBAND FORGED HER SIGNATURE ON CHECKS DRAWN ON HER ROBINSON-HUMPHREY ACCOUNT PAYABLE TO HER TOTALLING \$30,000. CLAIMS AGAINST ROBINSON HUMPHREY AND MYSELF WERE BASED ON NEGLIGENCE, BREACH OF CONTRACT, FIDUCIARY DUTY, ETC. DAMAGES CLAIMED \$30,000

Product Type: Other

Other Product Type(s): MANAGED PORTFOLIO/MUTUAL FUNDS

Alleged Damages: \$30,000.00

Customer Complaint Information

Date Complaint Received: 10/23/1995

Complaint Pending? No

Status: Litigation

Status Date: 04/30/1996

Settlement Amount:

Individual Contribution Amount:

Civil Litigation Information

Court Details: SUPERIOR; FULTON COUNTY, GA; E-43310

Date Notice/Process Served: 10/23/1995

Litigation Pending? No

Disposition: Settled

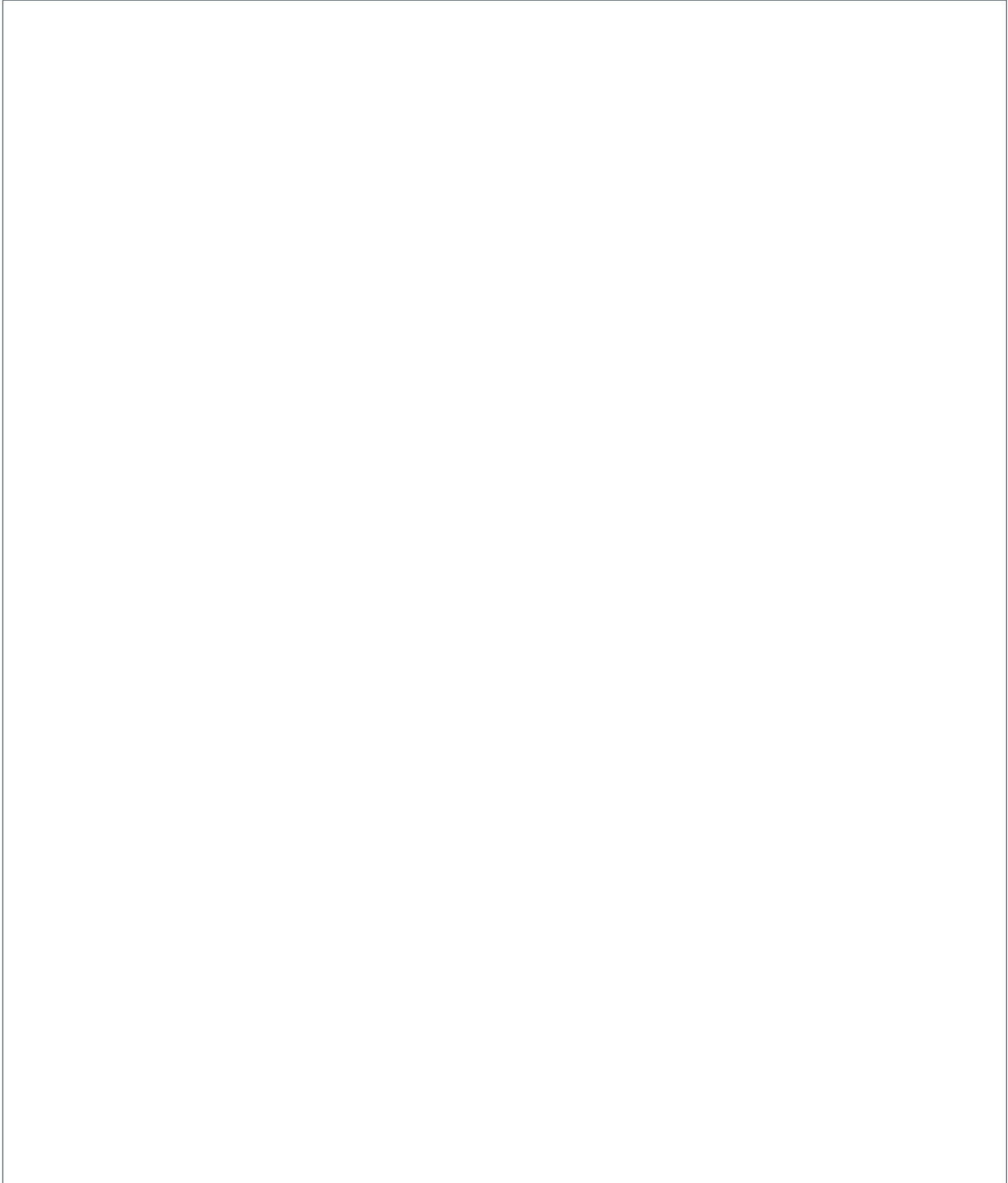
Disposition Date: 04/01/1996

Monetary Compensation Amount: \$10,000.00

Individual Contribution Amount: \$0.00

Broker Statement

[CUSTOMER] UNCONDITIONALLY RELEASED RH AND BROKER \$10,000 IN FINAL AND COMPLETE SETTLEMENT. [THIRD PARTY], [THIRD PARTY], AND [EX SPOUSE] (EX HUSBAND) WERE JOINTLY & SEVERALLY LIABLE AND CONSENTED TO PAY RH AND BROKER \$10,000 IN REIMBURSEMENT FOR THE AMOUNT PAID TO [CUSTOMER] UNDER THE SETTLEMENT AGREEMENT. COPY OF AGREEMENT ATTACHED. I DENY ANY WRONG DOING IN THIS MATTER. TWO CHECKS MADE PAYABLE TO THE CUSTOMER WITH A RESTRICTIVE ENDORSEMENT "FOR DEPOSIT ONLY TO THE ACCOUNT OF THE WITHIN PAYEE" WERE DRAWN ON CUSTOMERS ACCOUNT. CHECKS WERE HAND- DELIVERED TO THE BUSINESS ADDRESS OF CUSTOMER AT WHICH TIME RECEIPTS WERE EXECUTED AND THE CHECKS ENDORSED. CUSTOMER AUTHORIZED, CONSENTED TO, ACCEPTED, AND/OR RATIFIED ALL TRANSACTIONS EXECUTED IN HER ACCOUNT. THE ALLEGATIONS MADE IN THIS COMPLAINT ARE TOTALLY FALSE AND WITHOUT MERIT.





End of Report

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