



IAPD Report

JASON DONALD COMES

CRD# 2220609

<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

JASON DONALD COMES (CRD# 2220609)

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 **04/08/2026**.

CURRENT EMPLOYERS

Firm	CRD#	Registered Since
IA CWM, LLC	CRD# 155344	07/01/2011

QUALIFICATIONS

This representative is currently registered in **0** SRO(s) and **2** 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 CETERA ADVISOR NETWORKS LLC	13572	OMAHA, NE	01/25/2017 - 08/06/2019
B LPL FINANCIAL LLC	6413	OMAHA, NE	07/16/1999 - 01/19/2017
IA LPL FINANCIAL LLC	6413	OMAHA, NE	08/19/1999 - 08/01/2011

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
Criminal	1
Customer Dispute	5
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 **2** jurisdiction(s) and **0** SRO(s) through his or her employer(s).

Employment 1 of 1

Firm Name: **CWM, LLC**
Main Address: 14600 BRANCH ST.
 OMAHA, NE 68154
Firm ID#: 155344

	Regulator	Registration	Status	Date
IA	Nebraska	Investment Adviser Representative	Approved	07/01/2011
IA	Texas	Investment Adviser Representative	Restricted Approval	02/10/2012

Branch Office Locations

CWM, LLC
14600 BRANCH ST.
OMAHA, NE 68154



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 1 state securities law exam.

Principal/Supervisory Exams

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

No information reported.

General Industry/Product Exams

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

Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
General Securities Representative Examination (S7)	Series 7	11/22/1993
Investment Company Products/Variable Contracts Representative Examination (S6)	Series 6	03/12/1992

State Securities Law Exams

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

Uniform Securities Agent State Law Examination (S63)	Series 63	03/12/1992
--	-----------	------------

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	01/25/2017 - 08/06/2019	CETERA ADVISOR NETWORKS LLC	CRD# 13572	OMAHA, NE
B	07/16/1999 - 01/19/2017	LPL FINANCIAL LLC	CRD# 6413	OMAHA, NE
IA	08/19/1999 - 08/01/2011	LPL FINANCIAL LLC	CRD# 6413	OMAHA, NE
B	02/02/1995 - 07/15/1999	SECURITIES AMERICA, INC.	CRD# 10205	LAVISTA, NE
B	03/16/1992 - 01/27/1995	LINSCO/PRIVATE LEDGER CORP.	CRD# 6413	FORT MILL, SC

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
05/2011 - Present	CWM, LLC	INVESTMENT ADVISOR REPRESENTATIVE	Y	OMAHA, NE, United States
05/2011 - Present	Carson Wealth	Wealth Advisor	Y	Omaha, NE, United States
01/2017 - 01/2019	CETERA ADVISOR NETWORKS LLC	REGISTERED REP	Y	EL SEGUNDO, CA, United States
07/1999 - 01/2017	LPL FINANCIAL	REGISTERED REPRESENTATIVE	Y	OMAHA, NE, 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.

FIXED INSURANCE
 NATURE: Insurance
 START: 1/1/2025
 APPX. HRS/MONTH: 5
 PERCENTAGE HRS/MONTH DURING TRADING HOURS: 0
 POSITION: INSURANCE AGENT
 DUTIES: Sells Life, Health, Disability, Annuities & LTC



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
Criminal	1
Customer Dispute	5
Judgment/Lien	1

Criminal

This disclosure event involves a criminal charge against the Investment Adviser Representative that has resulted in a dismissal, plea, acquittal or conviction. The criminal matter may relate to any felony or certain misdemeanor offenses (e.g., bribery, perjury, forgery, counterfeiting, extortion, fraud, wrongful taking of property).

Disclosure 1 of 1

Reporting Source:	Individual
Court Details:	IOWA DISTRICT COURT OF WOODBURY COUNTY, IOWA CASE #259771A
Charge Date:	11/24/1984
Charge Details:	THEFT #4
Felony?	
Current Status:	Final
Status Date:	01/10/1985
Disposition Details:	ALL CHARGES WERE DROPPED-LACK OF SUFFICIENT EVIDENCE
Broker Statement	I WAS CHARGED WITH A MISDEMEANOR ON 11-24-84. AFTER VISITING WITH THE DISTRICT ATTORNEY ABOUT THE CASE, ALL CHARGES WERE DROPPED AND THE CASE NEVER WENT TO COURT.



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 5

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: Carson Wealth

Allegations: The client alleged he was not made of aware of additional capital contributions would be required to pay for fees and expenses of an alternative investment he purchased in June 2023.

Product Type: Direct Investment-DPP & LP Interests

Alleged Damages: \$5,389.00

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: 02/11/2026

Complaint Pending? Yes

Status:

Status Date: 03/18/2026

Settlement Amount:

Individual Contribution Amount:

Disclosure 2 of 5

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: Carson Wealth

Allegations: The client alleged he was not made of aware of additional capital contributions would be required to pay for fees and expenses of an alternative investment he purchased in June 2023.

Product Type: Direct Investment-DPP & LP Interests

Alleged Damages: \$5,389.00

Is this an oral complaint? No

Is this a written complaint? Yes

Is this an arbitration/CFTC No



reparation or civil litigation?

Customer Complaint Information

Date Complaint Received: 02/11/2026

Complaint Pending? Yes

Status:

Status Date: 03/18/2026

Settlement Amount:

Individual Contribution
Amount:**Disclosure 3 of 5**

Reporting Source: Individual

Employing firm when
activities occurred which led
to the complaint: CWM, LLC and LPL Financial

Allegations: Client claimed that an annuity that was purchased at Nationwide in October of 2016 should have had a Joint Life rider. Client decided to surrender the policy because it did not have the joint life rider. The supervisor of Jason Comes became aware of the situation upon the liquidation of the annuity and worked with the client to reinstate the policy and find a potential solution instead of paying the surrender charge.

Product Type: Annuity-Variable

Alleged Damages: \$55,000.00

Alleged Damages Amount
Explanation (if amount not
exact): approximate value, not exact

Is this an oral complaint? Yes

Is this a written complaint? No

Is this an arbitration/CFTC
reparation or civil litigation? No**Customer Complaint Information**

Date Complaint Received: 03/25/2020

Complaint Pending? No

Status: Denied

Status Date: 07/14/2020

Settlement Amount:

Individual Contribution
Amount:**Disclosure 4 of 5**

Reporting Source: Individual



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

Allegations: CUSTOMER'S POA ALLEGES UNSUITABLE ANNUITY RECOMMENDATION.

Product Type: Annuity-Variable

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: 11/04/2009

Complaint Pending? No

Status: Denied

Status Date: 03/05/2010

Settlement Amount:

Individual Contribution Amount:

Disclosure 5 of 5

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: LINSICO / PRIVATE LEDGER CORP.

Allegations: CUSTOMER ALLEGES THAT HE ASKED TO BE TAKEN OUT OF MARKET IN SUMMER OF 2001, WHICH WAS NOT DONE, RESULTING IN LOSS IN ACCOUNT VALUE. REPRESENTATIVE DENIES THAT CUSTOMER EVER GAVE SUCH AN INSTRUCTIONS IN 2001, OR AT ANYTIME UNTIL HE CLOSED HIS ACCOUNT IN MAY 2003.

Product Type: Mutual Fund

Alleged Damages: \$5,000.00

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: 06/27/2003

Complaint Pending? No

Status: Denied



Status Date: 09/23/2003

Settlement Amount:

**Individual Contribution
Amount:**



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:	\$65,728.00
Judgment/Lien Type:	Tax
Date Filed:	10/04/2012
Type of Court:	Federal Court
Name of Court:	DOUGLAS COUNTY RECORDER
Location of Court:	DOUGLAS COUNTY, NE
Judgment/Lien Outstanding?	Yes
Broker Statement	FIRM HAS MADE A REASONABLE DETERMINATION THIS IS A REPORTABLE EVENT. ADVISOR WAS MADE AWARE OF THIS LIEN WHEN CONTACTED VIA EMAIL ON 9/26/13. IT IS IMPORTANT TO NOTE THE IRS AGENT COMMUNICATED TO JASON THAT THE IRS IS NOT REQUIRED TO NOTIFY WHEN A LIEN HAS BEEN FILED. DUE TO THE GOVERNMENT SHUTDOWN ISSUES AND BACKLOG THERE IS A DELAY IN GETTING THESE TYPES OF ISSUES CORRECTED TIMELY.



End of Report

This page is intentionally left blank.