



IAPD Report

THOMAS EDWARD JANDT

CRD# 2332028

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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

THOMAS EDWARD JANDT (CRD# 2332028)

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 **07/15/2025**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
IA	WESTPARK CAPITAL, INC.	CRD# 39914	07/18/2016
B	WESTPARK CAPITAL, INC.	CRD# 39914	07/20/2016

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **33** 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	NEWPORT COAST ASSET MANAGEMENT	16944	IRVINE, CA	06/08/2010 - 07/20/2016
B	NEWPORT COAST SECURITIES, INC.	16944	IRVINE, CA	05/27/2008 - 07/20/2016
IA	NEWPORT COAST ASSET MANAGEMENT, INC.	170311	CORONA, CA	01/14/2015 - 04/06/2015

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	2
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 **33** jurisdiction(s) and 1 SRO(s) through his or her employer(s).

Employment 1 of 1

Firm Name: **WESTPARK CAPITAL, INC.**

Main Address: 535 5TH AVE
22ND FLOOR
NEW YORK, NY 10017

Firm ID#: 39914

	Regulator	Registration	Status	Date
B	FINRA	General Securities Principal	Approved	07/20/2016
B	FINRA	General Securities Representative	Approved	07/20/2016
B	FINRA	Investment Banking Representative	Approved	07/20/2016
B	FINRA	Investment Banking Principal	Approved	10/01/2018
B	Alabama	Agent	Approved	01/30/2019
B	Alaska	Agent	Approved	04/08/2022
B	Arizona	Agent	Approved	09/09/2016
IA	Arizona	Investment Adviser Representative	Approved	11/27/2018
B	Arkansas	Agent	Approved	05/10/2022
IA	California	Investment Adviser Representative	Approved	07/18/2016
B	California	Agent	Approved	07/20/2016
B	Colorado	Agent	Approved	10/18/2016
IA	Colorado	Investment Adviser Representative	Approved	03/31/2021



Qualifications

	Regulator	Registration	Status	Date
B	Connecticut	Agent	Approved	07/29/2016
B	Florida	Agent	Approved	07/20/2016
IA	Florida	Investment Adviser Representative	Approved	12/11/2020
B	Hawaii	Agent	Approved	09/23/2016
IA	Hawaii	Investment Adviser Representative	Approved	10/13/2016
B	Idaho	Agent	Approved	07/20/2016
B	Illinois	Agent	Approved	10/28/2016
B	Indiana	Agent	Approved	02/07/2019
B	Iowa	Agent	Approved	04/03/2017
IA	Louisiana	Investment Adviser Representative	Approved	09/09/2020
B	Maryland	Agent	Approved	07/20/2016
B	Massachusetts	Agent	Approved	10/07/2016
B	Minnesota	Agent	Approved	07/22/2016
IA	Minnesota	Investment Adviser Representative	Approved	06/07/2019
B	Missouri	Agent	Approved	07/20/2016
B	Nebraska	Agent	Approved	03/31/2017
B	Nevada	Agent	Approved	07/20/2016
B	New Jersey	Agent	Approved	07/20/2016
IA	New Jersey	Investment Adviser Representative	Approved	12/21/2021



Qualifications

	Regulator	Registration	Status	Date
B	New York	Agent	Approved	07/20/2016
B	North Carolina	Agent	Approved	08/12/2016
IA	North Carolina	Investment Adviser Representative	Approved	01/09/2023
B	North Dakota	Agent	Approved	09/16/2016
B	Ohio	Agent	Approved	07/20/2016
B	Pennsylvania	Agent	Approved	07/21/2016
B	South Carolina	Agent	Approved	07/30/2016
B	Tennessee	Agent	Approved	10/18/2022
B	Texas	Agent	Approved	09/01/2016
IA	Texas	Investment Adviser Representative	Restricted Approval	05/24/2022
B	Utah	Agent	Approved	08/05/2016
B	Virginia	Agent	Approved	07/20/2016
B	Washington	Agent	Approved	07/20/2016
B	Wisconsin	Agent	Approved	03/31/2017

Branch Office Locations

WESTPARK CAPITAL, INC.

2030 Main Street
Suite 210
Irvine, CA 92614




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



Principal/Supervisory Exams

	Exam	Category	Date
	General Securities Principal Examination (S24)	Series 24	04/25/2008

General Industry/Product Exams

	Exam	Category	Date
	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	04/23/1993

State Securities Law Exams

	Exam	Category	Date
	Uniform Investment Adviser Law Examination (S65)	Series 65	05/26/2010
	Uniform Securities Agent State Law Examination (S63)	Series 63	04/26/1993

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	06/08/2010 - 07/20/2016	NEWPORT COAST ASSET MANAGEMENT	CRD# 16944	IRVINE, CA
B	05/27/2008 - 07/20/2016	NEWPORT COAST SECURITIES, INC.	CRD# 16944	IRVINE, CA
IA	01/14/2015 - 04/06/2015	NEWPORT COAST ASSET MANAGEMENT, INC.	CRD# 170311	CORONA, CA
B	06/26/2006 - 12/11/2008	AIS FINANCIAL, INC.	CRD# 41462	IRVINE, CA
B	05/21/2003 - 06/23/2006	INTEGRITY BROKERAGE SERVICES, INC.	CRD# 117589	OCEANSIDE, CA
B	10/23/2002 - 04/17/2003	FINANCE 500, INC.	CRD# 12981	IRVINE, CA
B	01/27/1995 - 10/23/2002	TRADEWAY SECURITIES GROUP, INC.	CRD# 29794	CARLSBAD, CA
B	01/27/1994 - 01/31/1995	THOMAS JAMES ASSOCIATES, INC.	CRD# 15609	ROCHESTER, NY
B	04/26/1993 - 01/28/1994	CHATFIELD DEAN & CO., INC.	CRD# 14714	GREENWOOD VILLAGE

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
07/2016 - Present	WestPark Capital Inc.	Registered Rep	Y	Los Angeles, CA, United States
11/2009 - 07/2016	NEWPORT COAST ASSET MANAGEMENT	INVESTMENT ADVISER REPRESENTATIVE	Y	CORONA, CA, United States
05/2008 - 07/2016	NEWPORT COAST SECURITIES, INC.	REGISTERED PRINCIPAL	Y	CORONA, CA, United States



Registration & Employment History



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) Thomas Jandt & Associates, Inc. dba HILTON THOMAS ESTATES AND HOMES / Market Value Realty, CORONA, CA - MANAGEMENT AND REAL ESTATE SALES - REAL ESTATE BROKER AND CEO SINCE JULY OF 2014 - 1 HRS/MONTH NOT DURING TRADING HOURS

I3 FINANCIAL, INC.

POSITION: CEO NATURE: i3 Financial, Inc. operates a dba, i3 Capital Advisors which provides consulting services in the form of due diligence review and business strategy assessment for early stage to development stage companies that are preparing to raise capital in the public and private markets. www.i3capitaladvisors.com INVESTMENT RELATED: No NUMBER OF HOURS: 5 SECURITIES TRADING HOURS: 0 START DATE: 03/06/2020

ADDRESS: 1600 Dove St, Suite 250, Newport Beach CA 92660, United States

DESCRIPTION: Management, marketing and working directly with entrepreneurs.

THOMAS JANDT REAL ESTATE BROKER

POSITION: BROKER NATURE: Residential Real Estate Sales INVESTMENT RELATED: No NUMBER OF HOURS: 5

SECURITIES TRADING HOURS: 0 START DATE: 08/01/2024

ADDRESS: 822 MERIDIAN LN, Corona CA 92882, United States

DESCRIPTION: Listing and buyer representation services for residential real estate transactions.



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	2
Judgment/Lien	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 2

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	WestPark Capital inc
Allegations:	Client claims the representative misrepresentation, churning, violation of the suitability rule, and breach of fiduciary duty
Product Type:	Equity Listed (Common & Preferred Stock)
Alleged Damages:	\$1,027,983.00
Is this an oral complaint?	No
Is this a written complaint?	No
Is this an arbitration/CFTC reparation or civil litigation?	Yes
Arbitration/Reparation forum or court name and location:	FINRA
Docket/Case #:	19-01345
Filing date of arbitration/CFTC reparation or civil litigation:	05/13/2019

Customer Complaint Information

Date Complaint Received:	05/15/2019
Complaint Pending?	No



Status: Settled
Status Date: 03/11/2020
Settlement Amount: \$825,000.00
Individual Contribution Amount: \$0.00

Disclosure 2 of 2

Reporting Source: Individual
Employing firm when activities occurred which led to the complaint: TRADEWAY SECURITIES GROUP

Allegations: EARLY WITHDRAWAL FROM AN IRA RESULTED IN PENALTIES, LOSES ON EQUITY PORTION OF ACCOUNT BROUGHT VALUE OF ACCOUNT BACK TO BREAKEVEN. ACCOUNT HELD FROM 5-94 TO 8-98.

Product Type: Other
Other Product Type(s): BOTH EQUITIES AND MUTUAL FUNDS

Alleged Damages:

Customer Complaint Information

Date Complaint Received: 06/01/1999
Complaint Pending? No
Status: Settled
Status Date: 05/14/2003
Settlement Amount: \$83,000.00
Individual Contribution Amount: \$61,000.00



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:	\$114,309.97
Judgment/Lien Type:	Tax
Date Filed with Court:	06/26/2019
Date Individual Learned:	07/11/2019
Type of Court:	State Court
Name of Court:	State
Location of Court:	Riverside, CA
Docket/Case #:	2019-0231082
Judgment/Lien Outstanding?	Yes



End of Report

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