



## IAPD Report

# JONATHAN ALAN FEICK

CRD# 2376054

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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

### JONATHAN ALAN FEICK (CRD# 2376054)

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 **05/23/2025**.

### CURRENT EMPLOYERS

This individual is not currently registered as an Investment Adviser Representative.

### QUALIFICATIONS

This individual is not currently registered as an Investment Adviser Representative.

**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	LPL FINANCIAL LLC	6413	DALLAS, TX	12/10/2012 - 01/26/2017
IA	BFC PLANNING, INC.	119682	DALLAS, TX	07/09/2012 - 12/03/2012
IA	MILKIE/FERGUSON INVESTMENTS, INC.	17606	DALLAS, TX	02/16/2010 - 06/26/2012

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	1
Criminal	1
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 not currently registered as an Investment Adviser Representative.



## 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, 0 general industry/product exams, and 1 state securities law exam.**

#### Principal/Supervisory Exams

Exam	Category	Date
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No information reported.

#### General Industry/Product Exams

Exam	Category	Date
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No information reported.

#### State Securities Law Exams

Exam	Category	Date
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IA	Uniform Investment Adviser Law Examination (S65)	Series 65	11/06/1997
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### 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	12/10/2012 - 01/26/2017	LPL FINANCIAL LLC	CRD# 6413	DALLAS, TX
IA	07/09/2012 - 12/03/2012	BFC PLANNING, INC.	CRD# 119682	DALLAS, TX
IA	02/16/2010 - 06/26/2012	MILKIE/FERGUSON INVESTMENTS, INC.	CRD# 17606	DALLAS, TX
IA	01/09/2003 - 02/01/2010	SWS FINANCIAL SERVICES	CRD# 17587	ADDISON, TX
IA	02/26/2004 - 11/11/2004	TFR ADVISORS LLP	CRD# 119755	PLANO, TX

### 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
12/2012 - Present	LPL FINANCIAL LLC	REGISTERED REPRESENTATIVE	Y	CARROLLTON, TX, 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.

1. 1/22/2013: DBA ONLY - FEICK FINANCIAL SERVICES, INC. - CARROLLTON, TX



## 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	1
Criminal	1
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 1

<b>Reporting Source:</b>	Regulator
<b>Regulatory Action Initiated By:</b>	TEXAS STATE SECURITIES BOARD
<b>Sanction(s) Sought:</b>	Reprimand
<b>Other Sanction(s) Sought:</b>	FINE
<b>Date Initiated:</b>	04/09/2001
<b>Docket/Case Number:</b>	SSB DKT NO. 01-09;ORDER NO. CAF-1422
<b>Employing firm when activity occurred which led to the regulatory action:</b>	RUSHMORE SECURITIES CORPORATION
<b>Product Type:</b>	No Product
<b>Other Product Type(s):</b>	
<b>Allegations:</b>	MR. FEICK APPLIED FOR REGISTRATION AS AN AGENT OF RUSHMORE SECURITIES CORPORATION. HE WAS CHARGED WITH TWO COUNTS OF ISSUANCE OF A BAD CHECK IN JULY OF 1996 AND PLED NOLO CONTENDRE TO THE OFFENSE IN JANUARY OF 1999. HE FAILED TO DISCLOSE THE CHARGE AND PLEA ON HIS U-4.
<b>Current Status:</b>	Final
<b>Resolution:</b>	Order
<b>Resolution Date:</b>	04/09/2001
<b>Sanctions Ordered:</b>	Monetary/Fine \$500.00





**Other Sanctions Ordered:** REPRIMAND

**Sanction Details:** \$500 PENALTY PAID ON APRIL 9, 2001

**Regulator Statement** MR. FEICK APPLIED FOR REGISTRATION AS AN AGENT OF RUSHMORE SECURITIES CORPORATION. HE WAS CHARGED WITH TWO COUNTS OF ISSUANCE OF A BAD CHECK IN JULY OF 1996 AND PLED NOLO CONTENDRE TO THE OFFENSE IN JANUARY OF 1999. AT THE TIME OF HIS PLEA, HE WAS REGISTERED AS AN AGENT OF SOUTHWEST SECURITIES, INC. HE FAILED TO TIMELY AMEND HIS CHARGE AND PLEA ON HIS U-4. MR. FEICK REGISTERED AS AN AGENT OF NATIONS FINANCIAL GROUP, INC. IN APRIL 2000, BUT FAILED TO DISCLOSE THE CHARGE AND PLEA ON HIS FORM U-4. HIS PENDING REGISTRATION WITH RUSHMORE SECURITIES WAS APPROVED WITH A REPRIMAND AND A \$500 FINE FOR FAILURE TO TIMELY AMEND HIS FORM U-4.

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**Reporting Source:** Individual

**Regulatory Action Initiated By:** STATE OF TEXAS

**Sanction(s) Sought:** Civil and Administrative Penalt(ies) /Fine(s)

**Other Sanction(s) Sought:**

**Date Initiated:** 04/09/2001

**Docket/Case Number:** # CAF-1422

**Employing firm when activity occurred which led to the regulatory action:** RUSHMORE SECURITIES CORP. & SOUTHWEST SECURITIES, INC.

**Product Type:** No Product

**Other Product Type(s):**

**Allegations:** IN 1996 I HAD MOVED FROM TX TO PA. PRIOR TO BEING INVOLVED IN THE SECURITIES INDUSTRY WROTE A CHECK TO 7-ELEVEN FOR 16.12 & 21.20. I HAD NEVER RECEIVED NOTICE THEY BOUNCED AND UPON RETURNING TO TX IN 1998 LEARNED OF ERROR AND MADE RESITUTION & PAID ASSOCIATED COURT COSTS. EVEN THOUGH NASD NEVER DID ANYTHING EVIDENTLY STATE OF TEXAS FELT THIS WAS DISCIPLINARY EVENT AND FELT I DID NOT DISCLOSE THE EVENT TO RUSHMORE AND SOUTHWEST SECURITIES IN TIMELY MANNER SO WAS FINED \$500.00 WHICH HAS BEEN SETTLED

**Current Status:** Final

**Resolution:** Settled

**Resolution Date:** 04/09/2001

**Sanctions Ordered:** Monetary/Fine \$500.00

**Other Sanctions Ordered:**

**Sanction Details:** FINED \$500.00 - PAID 04/09/2001



## 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

<b>Reporting Source:</b>	Individual
<b>Court Details:</b>	DALLAS COUNTY, DALLAS , TX. COURT - JP51. CASE #'S JM96-04310-E AND JM96 - 04398-E
<b>Charge Date:</b>	07/07/1996
<b>Charge Details:</b>	IBC -(1) 1 COUNT (2) MISDEMEANOR (3) NO CONTEST (4) NOT INVESTMENT RELATED IBC - (1) 1 COUNT (2) MISDEMEANOR (3) NO CONTEST (4) NOT INVESTMENT RELATED
<b>Felony?</b>	No
<b>Current Status:</b>	Final
<b>Status Date:</b>	02/04/1999
<b>Disposition Details:</b>	JM96-04310-E. NO CONTEST, PAID \$58 FINE AND \$97 COURT COSTS ON 1/5/1999. JM96-04398-E. NO CONTEST, PAID \$58 FINE AND \$62 COURT COSTS ON 2/4/1999.
<b>Broker Statement</b>	ON 3-22-96, A CHECK WAS WRITTEN TO 7-ELEVEN FOR \$21.20 AND ANOTHER ON 3-27-96 FOR \$16.12 TO 7-ELEVEN. SHORTLY THEREAFTER, REP HAD MOVED FROM DALLAS AND CLOSED CHECKING ACCOUNT. THE CHECKS WERE THEN RETURNED. UPON REPS RETURN TO DALLAS IN 1998, REP LEARNED OF THE CHARGES AND MADE RESTITUTION.



## 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

<b>Reporting Source:</b>	Firm
<b>Employing firm when activities occurred which led to the complaint:</b>	LPL FINANCIAL LLC
<b>Allegations:</b>	Customers allege that investments made in 2014 were unsuitable for the customers' investment objectives and risk tolerance.
<b>Product Type:</b>	Real Estate Security
<b>Alleged Damages:</b>	\$0.00
<b>Alleged Damages Amount Explanation (if amount not exact):</b>	Cannot be determined but over \$5,000.00
<b>Is this an oral complaint?</b>	No
<b>Is this a written complaint?</b>	No
<b>Is this an arbitration/CFTC reparation or civil litigation?</b>	Yes
<b>Arbitration/Reparation forum or court name and location:</b>	FINRA
<b>Docket/Case #:</b>	24-00611
<b>Filing date of arbitration/CFTC reparation or civil litigation:</b>	03/18/2024

## Customer Complaint Information

<b>Date Complaint Received:</b>	05/02/2024
<b>Complaint Pending?</b>	No
<b>Status:</b>	Settled
<b>Status Date:</b>	05/06/2025
<b>Settlement Amount:</b>	\$7,000.00
<b>Individual Contribution Amount:</b>	\$0.00



## End of Report

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