



IAPD Report

BRIAN PATRICK JACK

CRD# 2569773

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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

BRIAN PATRICK JACK (CRD# 2569773)

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 **03/31/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
IA	PINNACLE PEAK PRIVATE CLIENT GROUP, LLC	CRD# 282003	02/05/2016
IA	ASHTON THOMAS PRIVATE WEALTH	CRD# 153902	03/04/2026

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	PURSHE KAPLAN STERLING INVESTMENTS	35747	Scottsdale, AZ	09/08/2021 - 12/31/2023
IA	BCG SECURITIES, INC.	70	Scottsdale, AZ	01/24/2017 - 09/09/2021
B	BCG SECURITIES, INC.	70	Scottsdale, AZ	01/10/2017 - 09/09/2021

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
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 2

Firm Name: **ASHTON THOMAS PRIVATE WEALTH**
Main Address: 8605 EAST RAIN TREE DRIVE
SUITE 280
SCOTTSDALE, AZ 85260
Firm ID#: 153902

Regulator	Registration	Status	Date
IA Arizona	Investment Adviser Representative	Approved	03/18/2026
IA California	Investment Adviser Representative	Approved	03/04/2026
IA Maryland	Investment Adviser Representative	Approved	03/04/2026
IA Oregon	Investment Adviser Representative	Approved	03/17/2026
IA Texas	Investment Adviser Representative	Restricted Approval	03/08/2026
IA Virginia	Investment Adviser Representative	Approved	03/19/2026

Branch Office Locations

ASHTON THOMAS PRIVATE WEALTH
18867 North Thompson Peak Parkway
Suite 225
Scottsdale, AZ 85255

Employment 2 of 2

Firm Name: **PINNACLE PEAK PRIVATE CLIENT GROUP, LLC**
Main Address: 18867 N. THOMPSON PEAK PARKWAY
STE #225
SCOTTSDALE, AZ 85255
Firm ID#: 282003



Qualifications

Regulator	Registration	Status	Date
IA Arizona	Investment Adviser Representative	Approved	02/05/2016

Branch Office Locations

PINNACLE PEAK PRIVATE CLIENT GROUP, LLC
18867 N. THOMPSON PEAK PARKWAY
STE #225
SCOTTSDALE, AZ 85255




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



Principal/Supervisory Exams

Exam	Category	Date
 General Securities Sales Supervisor Examination (Options Module & General Module) (S8)	Series 8	06/28/1999

General Industry/Product Exams

Exam	Category	Date
 Investment Company Products/Variable Contracts Representative Examination (S6TO)	Series 6TO	01/02/2023
 Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
 Futures Managed Funds Examination (S31)	Series 31	06/13/2006
 General Securities Representative Examination (S7)	Series 7	05/10/1995
 Municipal Securities Representative Examination (S52)	Series 52	12/22/1994

State Securities Law Exams

Exam	Category	Date
 Uniform Investment Adviser Law Examination (S65)	Series 65	10/26/2006
 Uniform Securities Agent State Law Examination (S63)	Series 63	01/10/1995

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	09/08/2021 - 12/31/2023	PURSHE KAPLAN STERLING INVESTMENTS	CRD# 35747	Scottsdale, AZ
IA	01/24/2017 - 09/09/2021	BCG SECURITIES, INC.	CRD# 70	Scottsdale, AZ
B	01/10/2017 - 09/09/2021	BCG SECURITIES, INC.	CRD# 70	Scottsdale, AZ
B	01/22/2016 - 01/11/2017	PURSHE KAPLAN STERLING INVESTMENTS	CRD# 35747	Scottsdale, AZ
B	10/05/2009 - 02/10/2016	AMERIPRISE FINANCIAL SERVICES, INC.	CRD# 6363	SCOTTSDALE, AZ
IA	10/05/2009 - 02/10/2016	AMERIPRISE FINANCIAL SERVICES, INC.	CRD# 6363	SCOTTSDALE, AZ
IA	11/13/2006 - 10/05/2009	AMERIPRISE ADVISOR SERVICES, INC.	CRD# 5979	SCOTTSDALE, AZ
B	12/23/1994 - 10/05/2009	AMERIPRISE ADVISOR SERVICES, INC.	CRD# 5979	SCOTTSDALE, AZ

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
03/2026 - Present	Ashton Thomas Private Wealth, LLC	Investment Advisor Representative	Y	Scottsdale, AZ, United States
01/2016 - 03/2026	Pinnacle Peak Private Client Group, LLC	Managing Member, Chief Compliance Officer, and Investment Adviser Representative	Y	Scottsdale, AZ, United States
09/2021 - 12/2023	PURSHE KAPLAN STERLING INVESTMENTS	REGISTERED REPRESENTATIVE	Y	ALBANY, NY, United States
01/2017 - 09/2021	BCG Securities, Inc.	Registered Representative	Y	Cherry Hill, NJ, United States
01/2016 - 01/2017	Purshe Kaplan Sterling Investments	Registered Rep	Y	Albany, NY, 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) BLJack, LLC; Yes, Investment-Related; 25248 North Bronco Trail, Scottsdale, AZ 85255; Pass-through income; Member; 05/18/2016; Less than 5 hours/month; 0 hours/month during securities trading hours.
- 2) BLLJ Holdings, LLC; Yes, Investment-Related; 25248 North Bronco Trail, Scottsdale, AZ 85255; Alternative Assets, Crypto & Real Estate; Member; 12/21/2025; Less than 5 hours/month; 0 hours during securities trading hours.
- 3) Ashton Thomas Insurance Agency; Yes, Investment-Related; 8605 East Raintree Drive, Suite 280, Scottsdale, AZ 85260; Insurance Sales; Agent; 03/04/2026.



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	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 1

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: Pinnacle Peak Private Client Group, LLC

Allegations: Allegation: Stolen funds/securities

Allegation from [REDACTED]:

I ended my relationship with Brian Jack in the middle of June 2023. He was no longer managing my portfolio. He said that as a Schwab broker, he would advise me the amount of my 2023 required minimum distribution and would be happy to make transfers from Schwab to a credit union. We agreed I would make all trades and be responsible for all buys and sells of investments. Brian would no longer be receiving commissions from my account. Per a conversation with Liam Stros at Schwab, Brian has illegally received monthly commissions totaling approximately \$10,000 since June 2023. Brian never informed Schwab that our business relationship ended.

Brief summary of events related to the allegation(s) including dates when activities leading to the allegation(s) occurred:

I had multiple meetings with Ms. [REDACTED] starting in December 2022 to discuss the relationship and services to be provided. In June 2023, with a phone discussion on first quarter fees, [REDACTED] mentioned she would want to continue to work with me but did not want to pay the fee from the first quarter. I offered to reduce the fee schedule to the firm minimum .25% on the assets in the account and she agreed. Pinnacle Peak bills in arrears so the fee reductions from .50% to .25% started at the beginning of the second quarter, which was 4/1/2023. During the period of June 2023 to January 2024, I continued to manage



the account as normal. In January 2024, I noticed the delinked account on Alerts and called [REDACTED] to find out what was wrong. She wanted to manage the account on her own. She did not want the ongoing fee to service and manage the account. I notified [REDACTED] that I could not reduce the fee any lower than the .25% the accounts were being charged after the first reduction as of 4/1/2023. I also made her aware that delinking the account would mean that I would no longer be able to work with her. Soon after, I received a voice message from "[REDACTED]" (No complete name or number left on the message) that he was speaking on behalf of [REDACTED] who stated she was unhappy and felt the fees were not fair and that [REDACTED] would be filing a complaint with the SEC. On January 10th, 2024, I called [REDACTED] to let her know about the message and asked her what I had done wrong. I additionally asked her what I could do to make her feel whole. She told me that she appreciated all of the work I did with the management of the assets, consolidation of the accounts, RMD and distribution processing, but she would feel better if I reversed the fees on all three accounts from 10/1/2023-1/1/2024. That included the billing period of 7/1/2023-12/31/2023 (6 Months) which totaled \$3,116.40. I told [REDACTED] that I would mail a check. I asked her again if that was what she thought was fair and she said yes. She also agreed to contact the SEC and withdraw the complaint. As a courtesy to Ms. [REDACTED] and in order to appease any negative experience, Pinnacle Peak is willing to further adjust billing to annul the advisory fee paid by Ms. [REDACTED] for 50% of the month of June (\$257.70).

Product Type: Other: Stolen funds/securities

Alleged Damages: \$10,000.00

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: 03/18/2024

Complaint Pending? Yes

Settlement Amount:

**Individual Contribution
Amount:**



End of Report

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