



IAPD Report

JASON ROBERT ODETTE

CRD# 2691630

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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

JASON ROBERT ODETTE (CRD# 2691630)

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 **01/08/2025**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	PRIVATE CLIENT SERVICES, LLC	CRD# 120222	10/02/2020
IA	MARIDEA WEALTH MANAGEMENT	CRD# 325523	09/20/2024

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **11** 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	VITALSTONE FINANCIAL, LLC	310485	SHAVANO PARK, TX	10/01/2020 - 11/22/2024
B	MML INVESTORS SERVICES, LLC	10409	San Antonio, TX	03/25/2017 - 10/06/2020
IA	MML INVESTORS SERVICES, LLC	10409	San Antonio, TX	03/25/2017 - 10/06/2020

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
Termination	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 **11** jurisdiction(s) and 1 SRO(s) through his or her employer(s).

Employment 1 of 2

Firm Name: **MARIDEA WEALTH MANAGEMENT**
Main Address: 25 KENT AVENUE
SUITE 401
BROOKLYN, NY 11249
Firm ID#: 325523

	Regulator	Registration	Status	Date
IA	Texas	Investment Adviser Representative	Approved	09/20/2024

Branch Office Locations

MARIDEA WEALTH MANAGEMENT
3009 NAPIER PARK
SHAVANO PARK, TX 78231

Employment 2 of 2

Firm Name: **PRIVATE CLIENT SERVICES, LLC**
Main Address: 2225 LEXINGTON ROAD
LOUISVILLE, KY 40206
Firm ID#: 120222

	Regulator	Registration	Status	Date
B	FINRA	General Securities Principal	Approved	10/02/2020
B	FINRA	General Securities Representative	Approved	10/02/2020
B	California	Agent	Approved	10/02/2020
B	Colorado	Agent	Approved	10/02/2020
B	Florida	Agent	Approved	10/02/2020
B	Georgia	Agent	Approved	10/02/2020



Qualifications

	Regulator	Registration	Status	Date
B	Idaho	Agent	Approved	10/02/2020
B	Illinois	Agent	Approved	10/02/2020
B	Massachusetts	Agent	Approved	10/02/2020
B	New Hampshire	Agent	Approved	05/18/2023
B	New York	Agent	Approved	10/02/2020
B	North Carolina	Agent	Approved	10/02/2020
B	Texas	Agent	Approved	10/02/2020

Branch Office Locations

PRIVATE CLIENT SERVICES, LLC

3009 Napier Park
Ste 101
San Antonio, TX 78231



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
B	General Securities Principal Examination (S24)	Series 24	02/27/1997

General Industry/Product Exams

	Exam	Category	Date
B	Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
B	Futures Managed Funds Examination (S31)	Series 31	04/24/1996
B	General Securities Representative Examination (S7)	Series 7	01/09/1996

State Securities Law Exams

	Exam	Category	Date
IA	Uniform Investment Adviser Law Examination (S65)	Series 65	07/18/1996
B	Uniform Securities Agent State Law Examination (S63)	Series 63	01/12/1996



PROFESSIONAL DESIGNATIONS

This section details that the representative has reported 1 professional designation(s).

Certified Financial Planner

This representative holds or did hold 1 professional designation(s) that may have been used to qualify as an Investment Advisor representative. Please check with the appropriate designation authority for verification that the designation is still in effect. The contact information for these professional designation authorities can be found on the website for the North American Securities Administrators Association at <http://www.nasaa.org>



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	10/01/2020 - 11/22/2024	VITALSTONE FINANCIAL, LLC	CRD# 310485	SHAVANO PARK, TX
B	03/25/2017 - 10/06/2020	MML INVESTORS SERVICES, LLC	CRD# 10409	San Antonio, TX
IA	03/25/2017 - 10/06/2020	MML INVESTORS SERVICES, LLC	CRD# 10409	San Antonio, TX
IA	03/04/2015 - 03/25/2017	MSI FINANCIAL SERVICES, INC.	CRD# 14251	SAN ANTONIO, TX
B	02/17/2015 - 03/25/2017	MSI FINANCIAL SERVICES, INC.	CRD# 14251	SAN ANTONIO, TX
IA	01/27/2014 - 02/18/2015	TEAMWORK FINANCIAL ADVISORS, LLC	CRD# 165237	SAN ANTONIO, TX
IA	12/02/2013 - 12/16/2013	TEAMWORK FINANCIAL ADVISORS, LLC	CRD# 165237	SAN ANTONIO, TX
B	01/06/2010 - 11/08/2013	CURIAN CLEARING, LLC	CRD# 132938	DENVER, CO
IA	04/11/2003 - 11/08/2013	CURIAN CAPITAL, LLC	CRD# 120270	DENVER, CO
B	01/06/2006 - 12/31/2009	JACKSON NATIONAL LIFE DISTRIBUTORS LLC	CRD# 40178	FRANKLIN, TN
B	04/11/2003 - 12/31/2005	INVESTMENT CENTERS OF AMERICA, INC.	CRD# 16443	APPLETON, WI
B	09/29/1999 - 04/11/2003	MFS/SUN LIFE FINANCIAL DISTRIBUTORS, INC.	CRD# 5496	WELLESLEY HILLS, MA
B	02/03/1997 - 09/10/1999	H.D. VEST INVESTMENT SECURITIES, INC.	CRD# 13686	DALLAS, TX
B	04/18/1996 - 01/06/1997	DEAN WITTER REYNOLDS INC.	CRD# 7556	PURCHASE, NY
B	01/12/1996 - 04/12/1996	WILLIAMS, BUCHANAN & COMPANY, INC.	CRD# 22704	DALLAS, TX



Registration & Employment History

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
09/2024 - Present	MARIDEA INSURANCE COMPANY, LLC	INSURANCE AGENT	N	SAN ANTONIO, TX, United States
09/2024 - Present	MARIDEA WEALTH MANAGEMENT LLC	INVESTMENT ADVISOR REPRESENTATIVE	Y	SAN ANTONIO, TX, United States
10/2020 - Present	PRIVATE CLIENT SERVICES, LLC	REGISTERED REPRESENTATIVE	Y	SAN ANTONIO, TX, United States
10/2020 - Present	VITALSTONE FINANCIAL, LLC	INVESTMENT ADVISOR REPRESENTATIVE	Y	SHAVANO PARK, TX, United States
03/2017 - 10/2020	MML INVESTORS SERVICES, LLC	REGISTERED REPRESENTATIVE	Y	SAN ANTONIO, TX, United States
03/2017 - 10/2020	MML INVESTORS SERVICES, LLC	INVESTMENT ADVISOR REPRESENTATIVE	Y	SAN ANTONIO, TX, United States
07/2016 - 09/2020	MASS MUTUAL	AGENT	Y	SAN ANTONIO, TX, United States
03/2015 - 03/2017	MSI FINANCIAL SERVICES, INC.	INVESTMENT ADVISOR REPRESENTATIVE	Y	SAN ANTONIO, TX, United States
02/2015 - 03/2017	MSI FINANCIAL SERVICES, INC.	REGISTERED REPRESENTATIVE	Y	SAN ANTONIO, 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) VitalStone Financial, LLC: DBA for Maridea Wealth Management, LLC ; I devote 40 hours/week to this business and provide financial planning and investment management services to clients. The address is: 2915 W. Bitters Rd., Suite 315, San Antonio, TX 78248
- 2) Maridea Insurance Company, LLC; Not investment-related; Same address; Licensed Insurance Agent; Insurance sales; Implementation of insurance recommendations; Approx. 10% of time during the month.
- 3) Maridea Wealth Management LLC; Investment-related; 25 Kent Avenue Suite 401, Brooklyn, NY 11249; Registered Investment Advisor; Start date: 09/2024; Investment advisory services offered through Maridea Wealth Management LLC. Mr. Odette serves as an Investment Advisor Representative ("IAR") for Maridea Wealth Management LLC since 09/2024.
- 4) Mr. Odette is registered with Private Client Services, LLC ("PCS") and Maridea Wealth Management LLC ("Maridea"). Mr. Odette has served as a registered representative with PCS since 10/2020 and an investment advisor representative with Maridea since 09/2024. Business is conducted from 3009 Napier Park, Shavano Park, TX. Approximately 90% of Mr. Odette's time is for



Registration & Employment History



OTHER BUSINESS ACTIVITIES

services as an investment advisor representative and the balance as a registered representative.



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
Termination	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

Reporting Source:	Regulator
Regulatory Action Initiated By:	FINRA
Sanction(s) Sought:	Other: N/A
Date Initiated:	11/19/2013
Docket/Case Number:	2012033467202
Employing firm when activity occurred which led to the regulatory action:	JACKSON NATIONAL LIFE DISTRIBUTORS LLC
Product Type:	Other: UNSPECIFIED SECURITIES
Allegations:	FINRA RULE 2010, NASD RULE 2110: ODETTE HAD A PERSONAL BROKERAGE ACCOUNT AT A BROKER-DEALER OTHER THAN HIS MEMBER FIRM THAT WAS PROPERLY DISCLOSED TO THE FIRM PURSUANT TO NASD RULE 3050. HOWEVER, DURING TWO SEPARATE MONTHS, ODETTE EFFECTED TRANSACTIONS IN HIS PERSONAL BROKERAGE ACCOUNT FOR A REGISTERED REPRESENTATIVE EMPLOYED WITH ANOTHER MEMBER FIRM (REGISTERED REPRESENTATIVE). ALL OF THE PROFITS FROM THE FIRST MONTH'S TRANSACTION AND HALF OF THE PROFITS FROM THE OTHER MONTH'S TRANSACTION WERE PAID TO THE REGISTERED REPRESENTATIVE BY ODETTE. ODETTE DID NOT DISCLOSE THE REGISTERED REPRESENTATIVE'S FINANCIAL INTEREST IN THESE TRANSACTIONS TO HIS FIRM. ODETTE'S ACTIONS ALLOWED THE REGISTERED REPRESENTATIVE TO ACT IN CONTRAVENTION OF BOTH NASD RULE 3050 AND HIS FIRM'S WRITTEN PROCEDURES.
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:	11/19/2013
Sanctions Ordered:	Civil and Administrative Penalty(ies)/Fine(s)
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?

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:

Is Payment Plan Current:

Date Paid by individual: 08/02/2014

Was any portion of penalty waived? No

Amount Waived:

Regulator Statement WITHOUT ADMITTING OR DENYING THE FINDINGS, ODETTE CONSENTED TO THE DESCRIBED SANCTION AND TO THE ENTRY OF FINDINGS; THEREFORE, HE IS FINED \$5,000.

FINE PAID IN FULL ON AUGUST 2, 2014.

Reporting Source: Individual

Regulatory Action Initiated By: FINRA

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

Date Initiated: 09/19/2013

Docket/Case Number: 20120334672

Employing firm when activity occurred which led to the regulatory action: CURIAN CAPITAL

Product Type: Equity Listed (Common & Preferred Stock)

Allegations: THAT A SECURITIES TRANSACTION I MADE IN MY BROKERAGE ACCOUNT, WHERE ANOTHER LICENSED INDIVIDUAL HAD FINANCIAL BENEFIT,



ALLOWED HIM TO BYPASS HIS REQUIREMENTS OF RULE 3050

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: 11/19/2013

Sanctions Ordered: Civil and Administrative Penalty(ies)/Fine(s)

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: INSTALLMENT PLAN

Is Payment Plan Current: Yes

Date Paid by individual: 12/02/2013

Was any portion of penalty waived? No

Amount Waived:



Termination

This disclosure event involves a situation where the Investment Adviser Representative voluntarily resigned, was discharged or was permitted to resign after allegations were made that accused the Investment Adviser Representative of violating investment-related statutes, regulations, rules or industry standards of conduct; fraud or the wrongful taking of property; or failure to supervise in connection with investment-related statutes, regulations, rules or industry standards of conduct.

Disclosure 1 of 1

Reporting Source: Firm
Firm Name: CURIAN CLEARING LLC
Termination Type: Permitted to Resign
Termination Date: 10/11/2013

Allegations: CLEARING PERMITTED MR. ODETTE TO RESIGN AS A RESULT OF AN INQUIRY BY FINRA INTO THE PERSONAL TRADING OF MR. ODETTE FOR THE PERIOD OF 2007 THROUGH 2010. AS A RESULT OF THE FINRA INQUIRY, INFORMATION CAME TO THE ATTENTION OF CLEARING THAT MR. ODETTE ALLEGEDLY EXECUTED A TRADE IN HIS PERSONAL ACCOUNT FOR AN INDIVIDUAL ASSOCIATED WITH ANOTHER MEMBER FIRM WHOSE FINANCIAL INTEREST IN MR. ODETTE'S ACCOUNT WAS NOT DISCLOSED TO EITHER EMPLOYING MEMBER

Product Type: Equity Listed (Common & Preferred Stock)

Reporting Source: Firm
Firm Name: CURIAN CAPITAL, LLC
Termination Type: Permitted to Resign
Termination Date: 10/11/2013

Allegations: CLEARING PERMITTED MR. ODETTE TO RESIGN AS A RESULT OF AN INQUIRY BY FINRA INTO THE PERSONAL TRADING OF MR. ODETTE FOR THE PERIOD OF 2007 THROUGH 2010. AS A RESULT OF THE FINRA INQUIRY, INFORMATION CAME TO THE ATTENTION OF CLEARING THAT MR. ODETTE ALLEGEDLY EXECUTED A TRADE IN HIS PERSONAL ACCOUNT FOR AN INDIVIDUAL ASSOCIATED WITH ANOTHER MEMBER FIRM WHOSE FINANCIAL INTEREST IN MR. ODETTE'S ACCOUNT WAS NOT DISCLOSED TO EITHER EMPLOYING MEMBER

Product Type: Equity Listed (Common & Preferred Stock)

Reporting Source: Individual
Firm Name: CURIAN CAPITAL
Termination Type: Permitted to Resign
Termination Date: 10/11/2013

Allegations: I DIDN'T PROPERLY DISCLOSE ANOTHER INDIVIDUAL HAD A FINANCIAL INTEREST IN MY BROKERAGE ACCOUNT

Product Type: Equity Listed (Common & Preferred Stock)



End of Report

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