



IAPD Report

ERIC M JENSON

CRD# 2873787

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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

ERIC M JENSON (CRD# 2873787)

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 **03/11/2025**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	LPL FINANCIAL LLC	CRD# 6413	09/14/2023
IA	LPL FINANCIAL LLC	CRD# 6413	09/14/2023

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **18** 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	TRANSAMERICA FINANCIAL ADVISORS, INC	16164	GREENWOOD VILLAGE, CO	01/06/2012 - 09/05/2023
IA	TRANSAMERICA FINANCIAL ADVISORS, INC.	16164	GREENWOOD VILLAGE, CO	01/06/2012 - 09/05/2023
IA	INVESTMENT ADVISORS INTERNATIONAL, INC.	139233	GREENWOOD VILLAGE, CO	07/06/2006 - 01/06/2012

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
Customer Dispute	4



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

Employment 1 of 1

Firm Name: **LPL FINANCIAL LLC**
Main Address: 1055 LPL WAY
FORT MILL, SC 29715
Firm ID#: 6413

	Regulator	Registration	Status	Date
B	FINRA	Invest. Co and Variable Contracts	Approved	09/14/2023
B	FINRA	Investment Co./Variable Contracts Prin	Approved	09/14/2023
B	FINRA	General Securities Representative	Approved	03/24/2025
B	Arizona	Agent	Approved	09/14/2023
B	Arkansas	Agent	Approved	10/03/2023
B	California	Agent	Approved	09/15/2023
IA	California	Investment Adviser Representative	Approved	06/25/2024
B	Colorado	Agent	Approved	09/14/2023
IA	Colorado	Investment Adviser Representative	Approved	09/14/2023
B	Florida	Agent	Approved	11/08/2023
B	Georgia	Agent	Approved	06/20/2024
B	Idaho	Agent	Approved	09/14/2023
B	Michigan	Agent	Approved	09/14/2023



Qualifications

Regulator	Registration	Status	Date
B Nevada	Agent	Approved	09/14/2023
B New Mexico	Agent	Approved	04/09/2024
B New York	Agent	Approved	09/23/2023
B North Carolina	Agent	Approved	01/02/2025
B South Carolina	Agent	Approved	09/19/2023
B Tennessee	Agent	Approved	09/15/2023
B Texas	Agent	Approved	09/14/2023
IA Texas	Investment Adviser Representative	Restricted Approval	09/14/2023
B Utah	Agent	Approved	09/15/2023
B Virginia	Agent	Approved	09/14/2023
B Washington	Agent	Approved	09/14/2023

Branch Office Locations

LPL FINANCIAL LLC
1201 PUERTA DEL SOL #334
SAN CLEMENTE, CA 92673




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
 Investment Company Products/Variable Contracts Principal Examination (S26)	Series 26	01/02/2023

General Industry/Product Exams

Exam	Category	Date
 General Securities Representative Examination (S7TO)	Series 7TO	03/24/2025
 Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
 Investment Company Products/Variable Contracts Representative Examination (S6)	Series 6	04/18/1997

State Securities Law Exams

Exam	Category	Date
 Uniform Investment Adviser Law Examination (S65)	Series 65	01/09/2006
 Uniform Securities Agent State Law Examination (S63)	Series 63	04/18/1997

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	01/06/2012 - 09/05/2023	TRANSAMERICA FINANCIAL ADVISORS, INC	CRD# 16164	GREENWOOD VILLAGE
IA	01/06/2012 - 09/05/2023	TRANSAMERICA FINANCIAL ADVISORS, INC.	CRD# 16164	GREENWOOD VILLAGE
IA	07/06/2006 - 01/06/2012	INVESTMENT ADVISORS INTERNATIONAL, INC.	CRD# 139233	GREENWOOD VILLAGE
B	03/21/2005 - 01/06/2012	WORLD GROUP SECURITIES, INC.	CRD# 114473	GREENWOOD VILLAGE
B	04/21/1997 - 04/12/2002	WMA SECURITIES, INC.	CRD# 32625	DULUTH, GA

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
09/2023 - Present	LPL FINANCIAL LLC	Registered Representative	Y	HIGHLANDS RANCH, CO, United States
12/2021 - 09/2023	Demographic Trends	Owner	N	Highland Ranch, CO, United States
01/2012 - 09/2023	TRANSAMERICA FINANCIAL ADVISORS, INC	REGISTERED REP./INVESTMENT ADVISOR REP.	Y	GREENWOOD VILLAGE, CO, United States
12/2009 - 09/2023	5675 DTC Office Partners, LLC	Member	N	Greenwood Village, CO, United States
12/2009 - 09/2023	DBA: 5675 DTC OFFICE PARTNERS	1/3 OWNER	N	PARKER, CO, United States
05/2009 - 09/2023	SUMMIT CAPITAL VENTURES	PARTNER	N	SILVERTHORNE, CO, United States
04/2002 - 09/2023	WORLD FINANCIAL GROUP	ASSOCIATE	N	GREENWOOD VILLAGE, CO, United States
12/1997 - 09/2023	JENSON & ASSOCIATES	PRESIDENT	N	HENDERSON, NV, United States
07/2017 - 12/2018	College Funding Solutions	Certified College Advisor	N	Salem, OR, United States



Registration & Employment History

EMPLOYMENT HISTORY

Employment Dates	Employer Name	Position	Investment Related	Employer Location
03/2009 - 12/2016	INTEGRATED TAX ADVISORS	MARKET TAX PREP	N	DENVER, CO, 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) 09/2023 - Priority Wealth Partners / DBA for LPL Business (entity for LPL business) - Inv. Related - At Reported Business Location(s)
- 2) 09/2023 - Gladstone Wealth Partners / DBA for LPL Business (entity for LPL business) - Inv. Related - At Reported Business Location(s)
- 3) 09/2023 - One Resource Group / Non-Variable Insurance / Inv.Related / 09/05/2023 - 5 Hrs per month
- 4) 09/2023 - Jenson and Associates, Inc. / Business Entity For Tax/Investment Purposes Only / Not Inv. Related / Start date - 12/01/1997 - 120 Hrs per month
- 5) 09/2023 - Demographic Trends / Business Entity For Tax/Investment Purposes Only / Not Inv. Related / Start date -03/15/2022
- 6)09/2023 -Summit Capital Ventures / Business Entity For Tax/Investment Purposes Only / Not Inv. Related / Start date - 04/12/2023



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	4

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 4

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	TRANSAMERICA FINANCIAL ADVISORS, INC
Allegations:	Client alleges that rep misrepresented the variable annuity product at the time of sale.
Product Type:	Annuity-Variable
Alleged Damages:	\$9,601.44
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:	11/30/2021
Complaint Pending?	No
Status:	Evolved into Arbitration/CFTC reparation (the individual is a named party)
Status Date:	10/13/2022
Settlement Amount:	
Individual Contribution Amount:	

Arbitration Information



Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.): FINRA

Docket/Case #: 22-02222

Date Notice/Process Served: 10/13/2022

Arbitration Pending? No

Disposition: Settled

Disposition Date: 01/23/2023

Monetary Compensation Amount: \$9,500.00

Individual Contribution Amount: \$9,500.00

Disclosure 2 of 4

Reporting Source: Firm

Employing firm when activities occurred which led to the complaint: WMA SECURITIES, INC.

Allegations: CLIENT ALLEGES THAT RR DID NOT INFORM HER OF THE SURRENDER CHARGES ASSOCIATED WITH EARLY WITHDRAWALS. CLIENT ALSO ALLEGES THAT SHE NEVER RECEIVED ?THE 300 PAGE BOOK? THE RR WAS GOING TO GIVE HER ABOUT HER REGARDING HER POLICY. CLIENT PURCHASED A VUL ON 9/16/1997.

Product Type: Insurance

Alleged Damages: \$5,100.00

Customer Complaint Information

Date Complaint Received: 06/25/2002

Complaint Pending? Yes

Settlement Amount:

Individual Contribution Amount:

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: WMA SECURITIES

Allegations: CLIENT ALLEGES THAT RR DID NOT INFORM HER OF THE SURRENDER CHARGES ASSOCIATED W/EARLY W/DRAW. ALSO ALLEGES THAT NEVER REC'D THE 300 PG BOOK?

Product Type: Insurance

Other Product Type(s): VUL

Alleged Damages: \$5,100.00

Customer Complaint Information



Date Complaint Received: 06/25/2002

Complaint Pending? No

Status: Denied

Status Date: 07/16/2002

Settlement Amount: \$0.00

Individual Contribution Amount:

Broker Statement

THE CLIENT WAS TOLD ABOUT THE SURRENDER CHARGES. SHE AFFIRMED THAT THIS WAS A "LONG-TERM" ACCOUNT FOR HER. SHE WAS ALSO GIVEN A PROSPECTUS. PRODUCT PROVIDER DETERMINED THAT AN ADJUSTMENT IN THE SURRENDER AMOUNT IS NOT WARRANTED.

Disclosure 3 of 4

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: WMA SECURITIES, INC.

Allegations: CUSTOMER ALLEGES REPRESENTATIVE ADVISED HIM THAT HIS INITIAL \$200,000 INVESTMENT IN AN AMERICAN SKANDIA VARIABLE ANNUITY, ISSUED 03/02/2000 WAS GUARANTEED AT THE END OF A 10 YEAR PERIOD.

Product Type: Annuity(ies) - Variable

Other Product Type(s): N/A

Alleged Damages: \$200,000.00

Customer Complaint Information

Date Complaint Received: 05/18/2001

Complaint Pending? No

Status: Denied

Status Date: 07/18/2001

Settlement Amount:

Individual Contribution Amount:

Broker Statement

BASED UPON THE REVIEW OF THE FILE, OUR DOCUMENTED FILE RECORDS, AND THE INFORMATION PROVIDED BY MR. JENSON, IT APPEARS THERE WAS NO MISREPRESENTATION IN THE PRESENTATION OF CUSTOMER'S VARIABLE ANNUITY. IT IS OUR BELIEF THAT CUSTOMER HAD THE INFORMATION WITH WHICH TO UNDERSTAND HIS ANNUITY CONTRACT'S TERMS AND CONDITIONS, THE TERMS AND CONDITIONS OF THE PERFORMANCE-RELATED BENEFITS ENDORSEMENT, HIS SUBACCOUNT INVESTMENT OPTIONS AND THE POTENTIAL VOLATILITY OF HIS INVESTMENT OPTIONS; THEREFORE WE BELIEVE THAT CUSTOMER HAD THE INFORMATION AND DOCUMENTATION NECESSARY TO MAKE AN INFORMED DECISION. ADVISED CUSTOMER IN WRITING AS TO THE RESULTS OF OUR INVESTIGATION.

Disclosure 4 of 4



Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	WMA SECURITIES, INC.
Allegations:	CLIENTS ALLEGE SUITABILITY CONCERNS OF TWO VARIABLE ANNUITY CONTRACTS ISSUED ON 05/30/2000 AND 06/09/2000.
Product Type:	Annuity(ies) - Variable
Alleged Damages:	\$133,407.38
Customer Complaint Information	
Date Complaint Received:	05/07/2001
Complaint Pending?	No
Status:	Settled
Status Date:	01/08/2002
Settlement Amount:	\$36,890.62
Individual Contribution Amount:	\$0.00
Broker Statement	WMAS RESCINDED VARIABLE ANNUITY CONTRACTS. CLIENTS ALSO RECEIVED A SETTLEMENT IN THE AMOUNT OF \$36,890.62. NO INDICATIONS OF SALES PRACTICE VIOLATIONS ON THE PART OF THE REGISTERED REPRESENTATIVE.



End of Report

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