



IAPD Report

JEFFREY JOHN CASEY

CRD# 3040426

<u>Section Title</u>	<u>Page(s)</u>
Report Summary	1
Qualifications	2 - 3
Registration and Employment History	4 - 5
Disclosure Information	6



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

JEFFREY JOHN CASEY (CRD# 3040426)

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 **01/22/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
IA	CG ADVISORY SERVICES	CRD# 110929	08/06/2010

QUALIFICATIONS

This representative is currently registered in **0** SRO(s) and **3** 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	GENEOS WEALTH MANAGEMENT, INC.	120894	Haslett, MI	08/31/2017 - 02/01/2019
B	WFG INVESTMENTS, INC.	22704	CHARLOTTE, NC	05/15/2015 - 08/31/2017
B	INVEST FINANCIAL CORPORATION	12984	HASLETT, MI	01/21/2009 - 05/18/2015

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	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 **3** jurisdiction(s) and **0** SRO(s) through his or her employer(s).

Employment 1 of 1

Firm Name: **CG ADVISORY SERVICES**
Main Address: 148 E GRAND RIVER AVE.
WILLIAMSTON, MI 48895
Firm ID#: 110929

Regulator	Registration	Status	Date
IA Michigan	Investment Adviser Representative	Approved	08/06/2010
IA New Jersey	Investment Adviser Representative	Approved	07/21/2014
IA North Carolina	Investment Adviser Representative	Approved	01/09/2014

Branch Office Locations

CG ADVISORY SERVICES
148 E GRAND RIVER AVE.
WILLIAMSTON, MI 48895

CG ADVISORY SERVICES
1927 S. TYRON STREET
SUITE 106
CHARLOTTE, NC 28203



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, 2 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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B Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
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B General Securities Representative Examination (S7)	Series 7	09/14/1998
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State Securities Law Exams

Exam	Category	Date
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B Uniform Securities Agent State Law Examination (S63)	Series 63	09/18/1998
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PROFESSIONAL DESIGNATIONS

This section details that the representative has reported **2** professional designation(s).

Certified Financial Planner

Chartered Financial Consultant

This representative holds or did hold **2** 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
B	08/31/2017 - 02/01/2019	GENEOS WEALTH MANAGEMENT, INC.	CRD# 120894	Haslett, MI
B	05/15/2015 - 08/31/2017	WFG INVESTMENTS, INC.	CRD# 22704	CHARLOTTE, NC
B	01/21/2009 - 05/18/2015	INVEST FINANCIAL CORPORATION	CRD# 12984	HASLETT, MI
B	10/30/2001 - 01/22/2009	ROYAL ALLIANCE ASSOCIATES, INC.	CRD# 23131	HASLETT, MI
B	09/03/1999 - 11/13/2001	VESTAX SECURITIES CORPORATION	CRD# 10332	HUDSON, OH
B	05/28/1999 - 09/07/1999	CAMBRIDGE INVESTMENT RESEARCH, INC.	CRD# 39543	FAIRFIELD, IA
B	09/16/1998 - 05/28/1999	VESTAX SECURITIES CORPORATION	CRD# 10332	HUDSON, OH

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
10/2001 - Present	CAPITAL ASSET ADVISORY SERVICES	INVESTMENT ADVISOR REPRESENTATIVE	Y	HASLETT, MI, United States
10/2001 - Present	CG FINANCIAL SERVICES	DBA	N	HASLETT, MI, United States
08/2017 - 02/2019	Geneos Wealth Management Inc	Registered Representative	Y	Haslett, MI, United States
05/2015 - 08/2017	WFG INVESTMENTS, INC.	REGISTERED REPRESENTATIVE	Y	WILLIAMSTON, MI, United States
10/2001 - 08/2017	CAPITAL ASSET INSURANCE SERVICES	AGENT	Y	HASLETT, MI, 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.)CAPITAL ASSET ADVISORY SERVICES LLC - Owner/IAR of investment related business located at branch location.
- 2.)CAPITAL ASSET INSURANCE SERVICES - owner of non-investment fixed insurance related business located at branch location.
- 3.)DBA:CG FINANCIAL SERVICES - non investment related business located at branch location.
- 4.) CG Insurance Services- owner of non-investment related fixed insurance agency located at branch location.
- 5)CAAS Inc - Holding Company/Owner
- 6)Capital Asset Properties - Real Estate owner
- 7)CG HOLDINGS INC - Owner
- 8)WEALTH ADVISORY GROUP - Owner/Back Office Services.
- 9)CGFS REAL ESTATE HOLDINGS LLC-OWNER/COMMERCIAL REAL ESTATE HOLDING.



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: CAPITAL ASSET ADVISORY SERVICES, LLC

Allegations: CLIENT ALLEGES THAT JEFFREY CASEY AND CAPITAL ASSET ADVISORY SERVICES, LLC (CAAS) ARE RESPONSIBLE FOR MARKET LOSS THAT SHE EXPERIENCED IN HER 403(B) ACCOUNT DURING THE TIME THAT ELAPSED BETWEEN THE DATE SHE SIGNED TRANSFER PAPERWORK AND THE TIME THE ACCOUNT TRANSFER WAS COMPLETE. [CUSTOMER] SIGNED AND MAILED ACCOUNT TRANSFER FORMS TO CAAS ON 12/14/08. CAAS RECEIVED, SIGNATURE GUARANTEED AND MAILED THE FORMS TO THE MASON PUBLIC SCHOOLS ON 12/23/08. DELIVERY WAS DELAYED DUE TO THE SCHOOL DISTRICT'S HOLIDAY CLOSURE SCHEDULE. MASON PUBLIC SCHOOLS FORWARDED THE FORMS TO 403(B) ASP FOR PROCESSING ON 1/8/09. 403(B) ASP RECEIVED DELIVERY OF THE FORMS ON 1/12/09. THE TRANSFER WAS FURTHER DELAYED DUE TO VANGUARD REFUSING TO RELEASE ACCOUNT INFORMATION AND THEIR REQUIREMENT FOR COMPLETION OF ADDITIONAL FORMS, THE VANGUARD DISTRIBUTION OF ASSET FORMS. ON 2/19/09, VANGUARD FORMS WERE SENT TO [CUSTOMER]. 403(B) ASP FORWARDED THESE FORMS TO VANGUARD FOR PROCESSING ON 2/27/09. ASSETS WERE SENT FROM VANGUARD TO 403(B) ASP ON 3/3/09. 403(B) ASP RECEIVED AND DEPOSITED ASSETS INTO [CUSTOMER'S] 403(B) ACCOUNT ON 3/12/09.

Product Type: Mutual Fund

Alleged Damages: \$60,000.00



Alleged Damages Amount APPROXIMATION OF LOSS

Explanation (if amount not exact):

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: 06/01/2010

Complaint Pending? No

Status: Denied

Status Date: 08/24/2011

Settlement Amount:

**Individual Contribution
Amount:**

Broker Statement

DURING THE PERIOD OF LOSS FOR [CUSTOMER], CAAS LLC NOR JEFFREY CASEY WERE IN CUSTODY OF THE ACCOUNT NOR DID THEY PROVIDE RECOMMENDATIONS FOR HER ACCOUNT HELD WITH VANGUARD; [CUSTOMER] WAS RECEIVING ADVICE FROM HER CURRENT ADVISOR [OTHER FIRM EMPLOYEE] ON ALL OF HER ACCOUNTS. ALSO, ONCE THE ACCOUNT TRANSFER WAS TO BE COMPLETE, THEY WERE TO GIVE US INSTRUCTIONS ON HOW SHE WANTED THE MONEY INVESTED AT BARB'S DIRECTION. AT NO TIME HAD WE PROVIDED [CUSTOMER] INVESTMENT RECOMMENDATIONS FOR HER ACCOUNT WHEN HELD AT VANGUARD. [CUSTOMER] CHOSE TO SELECT A NEW PROVIDER AT THE MASON SCHOOLS 403(B) VENDOR FAIR AS A RESULT OF VANGUARD NO LONGER BEING AN APPROVED VENDOR AT THE DISTRICT DUE TO NEW 403(B) REGULATIONS.



End of Report

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