



IAPD Report

Jonathan Corteen

CRD# 3125335

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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 Corteen (CRD# 3125335)

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 **06/17/2025**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	ONEAMERICA SECURITIES, INC.	CRD# 4173	05/04/2017
IA	ONEAMERICA SECURITIES, INC.	CRD# 4173	05/04/2017

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **13** 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	HORNOR, TOWNSEND & KENT, INC.	4031	CHICAGO, IL	03/10/2009 - 05/02/2017
B	HORNOR, TOWNSEND & KENT, INC.	4031	CHICAGO, IL	11/14/2008 - 05/02/2017
IA	SIGNATOR INVESTORS, INC.	468	ROSEMONT, IL	04/10/2006 - 11/19/2008

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
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 currently registered with **13** jurisdiction(s) and 1 SRO(s) through his or her employer(s).

Employment 1 of 1

Firm Name: **ONEAMERICA SECURITIES, INC.**

Main Address: ONE AMERICAN SQUARE
INDIANAPOLIS, IN 46282

Firm ID#: 4173

	Regulator	Registration	Status	Date
B	FINRA	General Securities Principal	Approved	05/04/2017
B	FINRA	General Securities Representative	Approved	05/04/2017
B	FINRA	Operations Professional	Approved	05/08/2017
IA	California	Investment Adviser Representative	Approved	06/02/2023
B	California	Agent	Approved	08/05/2024
B	Colorado	Agent	Approved	09/22/2021
IA	Colorado	Investment Adviser Representative	Approved	05/31/2023
B	Florida	Agent	Approved	03/22/2022
IA	Florida	Investment Adviser Representative	Approved	05/31/2023
B	Illinois	Agent	Approved	05/04/2017
IA	Illinois	Investment Adviser Representative	Approved	05/04/2017
B	Kentucky	Agent	Approved	05/02/2022
B	Massachusetts	Agent	Approved	06/18/2025



Qualifications

Regulator	Registration	Status	Date
B Minnesota	Agent	Approved	09/23/2021
IA Minnesota	Investment Adviser Representative	Approved	09/30/2021
B Nevada	Agent	Approved	07/12/2022
B Pennsylvania	Agent	Approved	07/13/2021
IA Pennsylvania	Investment Adviser Representative	Approved	07/13/2021
B South Carolina	Agent	Approved	07/06/2022
B South Dakota	Agent	Approved	09/27/2021
B Virginia	Agent	Approved	08/05/2024
IA Virginia	Investment Adviser Representative	Approved	08/05/2024
B Wisconsin	Agent	Approved	09/24/2021
IA Wisconsin	Investment Adviser Representative	Approved	09/30/2021

Branch Office Locations

ONEAMERICA SECURITIES, INC.
100 Tri State International
Suite 145
Lincolnshire, IL 60069




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



Principal/Supervisory Exams

Exam	Category	Date
 General Securities Principal Examination (S24)	Series 24	04/19/2004

General Industry/Product Exams

Exam	Category	Date
 Operations Professional Examination (S99TO)	Series 99TO	01/02/2023
 Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
 General Securities Representative Examination (S7)	Series 7	05/23/2000
 Investment Company Products/Variable Contracts Representative Examination (S6)	Series 6	09/24/1998

State Securities Law Exams

Exam	Category	Date
 Uniform Investment Adviser Law Examination (S65)	Series 65	10/14/1999
 Uniform Securities Agent State Law Examination (S63)	Series 63	09/25/1998

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	03/10/2009 - 05/02/2017	HORNOR, TOWNSEND & KENT, INC.	CRD# 4031	CHICAGO, IL
B	11/14/2008 - 05/02/2017	HORNOR, TOWNSEND & KENT, INC.	CRD# 4031	CHICAGO, IL
IA	04/10/2006 - 11/19/2008	SIGNATOR INVESTORS, INC.	CRD# 468	ROSEMONT, IL
B	08/12/2004 - 11/19/2008	SIGNATOR INVESTORS, INC.	CRD# 468	ROSEMONT, IL
IA	07/07/2000 - 07/13/2004	AXA ADVISORS, LLC	CRD# 6627	NORTHBROOK, IL
B	07/06/1999 - 07/13/2004	AXA ADVISORS, LLC	CRD# 6627	NEW YORK, NY
B	07/06/1999 - 01/05/2000	THE EQUITABLE LIFE ASSURANCE SOCIETY OF THE UNITED STATES	CRD# 4039	NEW YORK, NY
B	03/16/1999 - 06/22/1999	SIGNATOR INVESTORS, INC.	CRD# 468	BOSTON, MA

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
05/2017 - Present	American United Life	General Agent	N	Oakbrook Terrace, IL, United States
05/2017 - Present	OneAmerica Securities	Registered Rep	Y	Oakbrook Terrace, IL, United States
11/2008 - 05/2017	HORNOR TOWNSEND & KENT INC	REGISTERED REP	Y	HORSHAM, PA, United States
11/2008 - 05/2017	PENN MUTUAL LIFE INS CO	AGENT	Y	HORSHAM, PA, 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.

Non-variable insurance sales (fixed life, fixed annuities, health, P&C)**Owner: Blade-Hammer Design, LLC - app development**Owner: The Culture Junky, LLC - business consulting, author/publisher, public speaking, educational courses**Owner: THG Property Casualty, LLC - P&C insurance sales**Co-Owner: MaxOut Brokerage, LLC - fixed insurance



Registration & Employment History



OTHER BUSINESS ACTIVITIES

sales**Owner: Redew, Inc. - holding company for THG and MaxOut Brokerage



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
Criminal	1
Customer Dispute	1

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

Reporting Source:	Individual
Court Details:	LAKE HAVASU CITY MUNICIPAL COURT 95CR384-85
Charge Date:	03/15/1994
Charge Details:	I WAS CHARGED WITH USING A FALSE IDENTIFICATION CARD TO PURCHASE ALCOHOL AND FURNISHING ACOHOL TO A MINOR. I WAS FINED \$165.00 AND ON PROBATION FOR 12 MONTHS.
Felony?	No
Current Status:	Final
Status Date:	03/16/1995
Disposition Details:	CHARGED WITH TWO COUNTS OF MISDEMEANOR. ONE FOR USING FALSE IDENTIFICATION AND THE OTHER FOR CONTRIBUTING TO THE DELIQUENCY OF A MINOR. I WAS FINED \$180.00. NO OTHER FORM OF PUNISHMENT OR SUSPENSION OCCURRED. CHARGES WERE TO BE DROPPED FROM RECORD ONE YEAR AFTER INCIDENCE IF RECORD REMAINED CLEAR.
Broker Statement	DURING SPRING BREAK OF 1994, I ATTEMPTED TO PURCHASE A CASE OF BEER USING FALSE IDENTIFICATION, WHILE ACCOMPANIED BY A MINOR. I SPENT THE NIGHT IN JAIL AND MET WITH THE JUDGE THE FOLLOWING MORNING. THE JUDGE FINED ME \$180.00 AND RELEASED ME. THERE WERE NO OTHER FINES OR SUSPENSIONS FOR THIS EVENT. THE JUDGE ALSO STATED THAT THESE CHARGES SHOULD BE DROPPED ONE YEAR LATER IF NO OTHER CHARGES OCCURRED.



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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: Firm

Employing firm when activities occurred which led to the complaint: AXA ADVISORS

Allegations: CLIENT ALLEGES MISREPRESENTATION IN THE SALE OF A 2002 VARIABLE LIFE INSURANCE POLICY. CLIENT ALLEGES THE AGENT DID NOT DISCLOSE SURRENDER CHARGES, OTHER CHARGES, PENALTIES, OR THE FACT THAT ONCE ENTERED INTO, A CONTRACT CANNOT BE ALTERED UNDER ANY CIRCUMSTANCES. CLIENT REQUESTED TO TERMINATE THE CONTRACT. DAMAGES ARE UNSPECIFIED.

Product Type: Insurance

Alleged Damages: \$0.00

Customer Complaint Information

Date Complaint Received: 04/19/2005

Complaint Pending? No

Status: Denied

Status Date: 05/10/2005

Settlement Amount:

Individual Contribution Amount:

Firm Statement THE FIRM FOUND NO BASIS UNDER WHICH TO TERMINATE THE CONTRACT, WAIVING THE SURRENDER CHARGE.

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: AXA ADVISORS

Allegations: CLIENT ALLEGES MISPREPRESENTATION IN THE SALE OF A 2002 VARIABLE LIFE INSURANCE POLICY. CLIENT ALLEGES THE AGENT DID NOT DISCLOSE SURRENDER CHARGES, OTHER CHARGES, PENALTIES, OR THE FACT THAT ONCE ENTERED INTO, A CONTRACT CANNOT BE ALTERED UNDER ANY CIRCUMSTANCES. CLIENT REQUESTED TO TERMINATE THE CONTRACT. DAMEGES ARE UNSPECIFIED.

Product Type: Insurance

Alleged Damages: \$0.00

Customer Complaint Information



Date Complaint Received:	04/19/2005
Complaint Pending?	No
Status:	Denied
Status Date:	05/10/2005
Settlement Amount:	
Individual Contribution Amount:	
Broker Statement	AS OF 4-19-07 THIS IS NOT REPORTABLE ANY LONGER PER NASD NOTICE. PLEASE REMOVE THIS FROM THE U-4



End of Report

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