



IAPD Report

HEATH JASON RAINWATER

CRD# 3131754

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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

HEATH JASON RAINWATER (CRD# 3131754)

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 **02/15/2023**.

CURRENT EMPLOYERS

Firm	CRD#	Registered Since
IA FIREWALL CAPITAL MANAGEMENT	CRD# 142084	11/22/2006

QUALIFICATIONS

This representative is currently registered in **0** SRO(s) and **1** 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 MERRILL LYNCH PIERCE FENNER & SMITH INC.	7691	SEATTLE, WA	06/29/2005 - 10/18/2006
IA CHARLES SCHWAB & CO., INC.	5393	BELLEVUE, WA	03/18/2004 - 01/12/2005
IA CHARLES SCHWAB & CO., INC.	5393	BELLEVUE, WA	02/21/2003 - 09/25/2003

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
Judgment/Lien	2



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

Employment 1 of 1

Firm Name: **FIREWALL CAPITAL MANAGEMENT**
Main Address: 1110 STEVENSON AVE. #207
ENUMCLAW, WA 98022
Firm ID#: 142084

Regulator	Registration	Status	Date
IA Washington	Investment Adviser Representative	Approved	11/22/2006

Branch Office Locations

FIREWALL CAPITAL MANAGEMENT
1634 PORTER STREET
SUITE C
ENUMCLAW, WA 98022



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, 0 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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No information reported.

State Securities Law Exams

Exam	Category	Date
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IA Uniform Investment Adviser Law Examination (S65)	Series 65	01/13/1999
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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	06/29/2005 - 10/18/2006	MERRILL LYNCH PIERCE FENNER & SMITH INC.	CRD# 7691	SEATTLE, WA
IA	03/18/2004 - 01/12/2005	CHARLES SCHWAB & CO., INC.	CRD# 5393	BELLEVUE, WA
IA	02/21/2003 - 09/25/2003	CHARLES SCHWAB & CO., INC.	CRD# 5393	BELLEVUE, WA
IA	09/18/2000 - 07/18/2002	UBS PAINWEBBER INC.	CRD# 8174	SEATTLE, WA

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
05/2013 - Present	Grace Point Community Church	Lead Pastor	N	Enumclaw, WA, United States
11/2006 - Present	FIREWALL CAPITAL MANAGEMENT, LLC	INVESTMENT ADVISOR REPRESENTATIVE	Y	ENUMCLAW, WA, 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.

I AM EMPLOYED WITH THE SEATTLE FIRE DEPARTMENT AS A FIRE FIGHTER. IT IS NOT INVESTMENT RELATED. THE ADDRESS OF THE SEATTLE FIRE DEPARTMENT IS: 301 2ND AVE. S. SEATTLE, WA 98104. I WORK 180 HOURS/MONTH AND AM RESPONSIBLE OF PROTECTING THE SEATTLE COMMUNITY FROM LOSS OF LIFE AND PROPERTY RESULTING FROM FIRE, MEDICAL EMERGENCIES AND OTHER DISASTERS.

Since May of 2013 Mr. Rainwater has been the head pastor at Grace Point Northwest Community Church in Enumclaw Washington. He spends approximately 40 hours per week working there and receives compensation for his services to the church. His services to the church are not investment-related.

I AM ALSO AN AGENT FOR THE FULL GOSPEL CHURCH OF JESUS CHRIST. I VOLUNTEER MY TIME MENTORING, TEACHING AND FURTHERING THE GOSPEL OF CHRIST. THE CHURCH IS LOCATED AT 16229 NORTHUP WAY, BELLEVUE, WA 98108.



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
Judgment/Lien	2

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: UBS PAINWEBBER INC.

Allegations: ALLEGED THAT A VARIABLE ANNUITY WAS NOT A SUITABLE INVESTMENT FOR AN ELDERLY COUPLE AND THAT I KNOWINGLY TOOK ADVANTAGE OF THEM. AFTER MEETING WITH THEM ON 8 SEPARATE OCCASSIONS, INCLUDING THEIR DAUGHTER AND SON-IN-LAW ON THE FINAL 2 APPOINTMENTS, WE DECIDED TO INVEST \$530,000 IN A COMBINATION FIXED AND VARIABLE ANNUITY. THIS AMOUNT REPRESENTED LESS THAN 25% OF THEIR INVESTABLE ASSETS AND LEFT THEM WITH OVER \$270,000 OF CASH AVAILABLE TO THEM IN VARIOUS ACCOUNTS. MANULIFE WOOD LOGAN IS AAA/AA+ RATED INSURANCE COMPANY. THE PERFORMANCE OF THEIR INVESTMENT PORTFOLIO WAS STELLAR. SHE NEVER LOST \$1, BUT IN FACT GAINED OVER \$42,000 IN THE PRODUCT AND WAS RELEASED BY THE INSURANCE COMPANY WITHOUT ANY BACK-END SALES CHARGE.

Product Type: Annuity(ies) - Fixed

Other Product Type(s): THIS WAS A COMBINATION FIXED/VARIABLE ANNUITY

Alleged Damages: \$7,000.00

Customer Complaint Information

Date Complaint Received: 01/03/2002

Complaint Pending? No

Status: Closed/No Action



Status Date: 05/01/2002

Settlement Amount:

**Individual Contribution
Amount:**



Judgment/Lien

This disclosure event involves an unsatisfied and outstanding judgment or lien against the Investment Adviser Representative.

Disclosure 1 of 2

Reporting Source: Individual
Judgment/Lien Holder: Renton Collections Inc.
Judgment/Lien Amount: \$9,931.00
Judgment/Lien Type: Civil
Date Filed with Court: 04/04/2014
Date Individual Learned: 04/04/2014
Type of Court: District Court
Name of Court: King County District Court - Southwest
Location of Court: Washington
Docket/Case #: 14211123
Judgment/Lien Outstanding? Yes

Disclosure 2 of 2

Reporting Source: Individual
Judgment/Lien Holder: Midland Funding LLC
Judgment/Lien Amount: \$10,032.00
Judgment/Lien Type: Civil
Date Filed with Court: 04/28/2010
Date Individual Learned: 04/28/2010
Type of Court: Superior Court
Name of Court: King County Superior Court
Location of Court: Kent, Washington
Docket/Case #: 102111247
Judgment/Lien Outstanding? Yes



End of Report

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