



## IAPD Report

# JEFFREY ALLEN GUMP

CRD# 3217954

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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

### JEFFREY ALLEN GUMP (CRD# 3217954)

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 **11/10/2023**.

### CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
<b>B</b>	PURSHE KAPLAN STERLING INVESTMENTS	CRD# 35747	10/01/2012
<b>IA</b>	CHOREO, LLC	CRD# 111221	01/27/2023

### QUALIFICATIONS

This representative is currently registered in **1** 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>IA</b>	CHERRY BEKAERT WEALTH MANAGEMENT LLC	108504	VIRGINIA BEACH, VA	09/23/2010 - 01/25/2023
<b>B</b>	CAMBRIDGE INVESTMENT RESEARCH, INC.	39543	VIRGINIA BEACH, VA	09/17/2010 - 10/17/2012
<b>B</b>	LINCOLN FINANCIAL SECURITIES CORPORATION	3870	VIRGINIA BEACH, VA	02/29/2008 - 09/27/2010

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 1 SRO(s) through his or her employer(s).

#### Employment 1 of 2

Firm Name: **CHOREO, LLC**  
Main Address: 6735 VISTAGREEN WAY  
SUITE 110  
ROCKFORD, IL 61107  
Firm ID#: 111221

Regulator	Registration	Status	Date
IA Virginia	Investment Adviser Representative	Approved	01/27/2023

#### Branch Office Locations

**CHOREO, LLC**  
222 CENTRAL PARK AVENUE  
SUITE 1400  
VIRGINIA BEACH, VA 23462

#### Employment 2 of 2

Firm Name: **PURSHE KAPLAN STERLING INVESTMENTS**  
Main Address: 80 STATE STREET  
ALBANY, NY 12207  
Firm ID#: 35747

Regulator	Registration	Status	Date
B FINRA	General Securities Representative	Approved	10/01/2012
B FINRA	Municipal Securities Representative	Approved	10/11/2012
B FINRA	Registered Options Principal	Approved	10/11/2012
B California	Agent	Approved	10/01/2012
B North Carolina	Agent	Approved	01/03/2019
B Virginia	Agent	Approved	10/01/2012



## Qualifications

Regulator	Registration	Status	Date
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### Branch Office Locations

222 CENTRAL PARK AVENUE  
SUITE 1400  
VIRGINIA BEACH, VA 23462




## 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
 Registered Options Principal Examination (S4)	Series 4	06/15/2000

#### General Industry/Product Exams

Exam	Category	Date
 Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
 General Securities Representative Examination (S7)	Series 7	08/17/1999
 Municipal Securities Representative Examination (S52)	Series 52	05/24/1999

#### State Securities Law Exams

Exam	Category	Date
 Uniform Investment Adviser Law Examination (S65)	Series 65	06/25/2001
 Uniform Securities Agent State Law Examination (S63)	Series 63	06/07/1999

### 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	09/23/2010 - 01/25/2023	CHERRY BEKAERT WEALTH MANAGEMENT LLC	CRD# 108504	VIRGINIA BEACH, VA
B	09/17/2010 - 10/17/2012	CAMBRIDGE INVESTMENT RESEARCH, INC.	CRD# 39543	VIRGINIA BEACH, VA
B	02/29/2008 - 09/27/2010	LINCOLN FINANCIAL SECURITIES CORPORATION	CRD# 3870	VIRGINIA BEACH, VA
IA	03/14/2008 - 09/21/2010	LEVEL FOUR ADVISORY SERVICES	CRD# 134086	VIRGINIA BEACH, VA
IA	07/29/2003 - 03/14/2008	H&R BLOCK FINANCIAL ADVISORS, INC.	CRD# 5979	VIRGINIA BEACH, VA
B	05/25/1999 - 03/14/2008	H&R BLOCK FINANCIAL ADVISORS, INC.	CRD# 5979	VIRGINIA BEACH, VA
IA	06/02/2003 - 07/29/2003	RSM MCGLADREY, INC.	CRD# 111221	VIRGINIA BEACH, VA

### 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
01/2023 - Present	Choreo LLC	Senior Director	Y	Minneapolis, MN, United States
10/2012 - Present	PURSHE KAPLAN STERLING INVESTMENT	REGISTERED REP	Y	ALBANY, NY, United States
09/2010 - 12/2022	CHERRY BEKAERT WEALTH MANAGEMENT SERVICES, LLC	FINANCIAL ADVISOR	Y	VIRGINIA BEACH, VA, 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) Choreo LLC. Investment Related. 801 Nicollet Mall, Suite 1200 Minneapolis, MN 55402. RIA. Senior Director. 1/1/2023. Hrs/month 160 all during trading hours. Full time advisor for Choreo LLC. Manage a book of business and charge investment advisory fees based on client's AUM.

2) Dempsey Companies, Investment-Related, 2951 Piedmont Road, NE, Suite 200, Atlanta, GA 30305. Insurance, Insurance



## Registration & Employment History



### OTHER BUSINESS ACTIVITIES

Agent, 01/2011. 15 hours/month. Initiate and service insurance products.

3) Ash Brokerage, Investment-Related, 8888 South Harrison Street, Suite 900, Fort Wayne, IN, 46802. Insurance, Insurance Agent, 09/2022. 5 hours/month. Initiate and service insurance products.

4) Tidewater Soccer Referee Association. Not Investment Related. PO Box 5666, Virginia Beach VA 23471. Soccer Club. Referee. Start 8/1/2016. 15 hours per month not during trading. Referee soccer matches for youth, middle school, high school and adult leagues.

5) Virginia Rush Booster Club. Not Investment Related. 2044 Landstowne Centre Way, Virginia Beach VA 23465. Travel Soccer Club. Treasurer/Board Member. Start 10/1/2013. Managing quickbooks for bank account and paypal account. Also helping create financial reports and budgets.



## 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:** H&R BLOCK FINANCIAL ADVISORS, INC.

**Allegations:** CUSTOMER SAID THAT SHE INSTRUCTED THE SALE OF UNSPECIFIED STOCKS SUFFICIENT TO RESULT IN AN \$8000 LOSS. SHE ALLEGES THAT PERMISSION WAS NOT GIVEN TO SELL ALL OF HER STOCK. THE TRANSACTIONS OCCURRED ON DECEMBER 23, 2003.

**Product Type:** Equity - OTC

**Alleged Damages:** \$20,000.00

### Customer Complaint Information

**Date Complaint Received:** 08/01/2003

**Complaint Pending?** No

**Status:** Denied

**Status Date:** 06/30/2003

**Settlement Amount:**

**Individual Contribution Amount:**

**Broker Statement** THE FIRM REVIEWED THE MATTER, DETERMINED THAT THE ALLEGATIONS WERE WITHOUT MERIT AND DENIED THE CLAIM. BY THE CUSTOMER'S OWN ADMISSION, SHE DID NOT SPECIFY WHICH SECURITIES TO SELL AND FIRM POLICY PROHIBITS DISCRETIONARY TRADING. I SPOKE WITH THE CUSTOMER AND CONFIRMED EACH SECURITY AND THE NUMBER OF



SHARES BEING SOLD BEFORE ENTERING THE ORDERS. CONFIRMATIONS OF THE TRADES AND ACCOUNT STATEMENTS SHOWING THE ACCOUNT ACTIVITY AND SALES OF THE SECURITIES WERE SENT TO THE CUSTOMER'S ADDRESS. SHE DID NOT CONTACT THE FIRM UNTIL APPROXIMATELY 6 MONTHS AFTER THE TRANSACTIONS OCCURRED.



## End of Report

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