



IAPD Report

JEFFREY LAWRENCE JACKSON

CRD# 3228855

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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 LAWRENCE JACKSON (CRD# 3228855)

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 **01/17/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	LPL FINANCIAL LLC	CRD# 6413	07/10/2025
IA	LPL FINANCIAL LLC	CRD# 6413	07/10/2025

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **17** 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	NEXT FINANCIAL GROUP, INC.	46214	MANCHESTER, TN	10/17/2007 - 07/10/2025
IA	NEXT FINANCIAL GROUP, INC.	46214	MANCHESTER, TN	10/17/2007 - 07/10/2025
IA	HERITAGE WEALTH MANAGEMENT, LLC	304660	FAYETTEVILLE, TN	02/20/2020 - 05/15/2025

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
Regulatory Event	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 **17** 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	General Securities Principal	Approved	07/10/2025
B	FINRA	General Securities Representative	Approved	07/10/2025
B	FINRA	Invest. Co and Variable Contracts	Approved	07/10/2025
B	Alabama	Agent	Approved	07/10/2025
B	Arizona	Agent	Approved	03/16/2026
B	Colorado	Agent	Approved	01/06/2026
B	District of Columbia	Agent	Approved	07/10/2025
B	Florida	Agent	Approved	07/10/2025
B	Georgia	Agent	Approved	07/10/2025
B	Hawaii	Agent	Approved	02/06/2026
B	Illinois	Agent	Approved	07/10/2025
B	Indiana	Agent	Approved	07/10/2025
B	Kentucky	Agent	Approved	02/06/2026



Qualifications

Regulator	Registration	Status	Date
B Louisiana	Agent	Approved	01/07/2026
B Maryland	Agent	Approved	07/10/2025
B North Carolina	Agent	Approved	01/06/2026
B Pennsylvania	Agent	Approved	01/06/2026
B Tennessee	Agent	Approved	07/10/2025
IA Tennessee	Investment Adviser Representative	Approved	07/10/2025
B Texas	Agent	Approved	07/10/2025
IA Texas	Investment Adviser Representative	Approved	07/10/2025
B Virginia	Agent	Approved	07/10/2025
IA Virginia	Investment Adviser Representative	Approved	07/10/2025

Branch Office Locations

LPL FINANCIAL LLC
71 NEW BUSHY BRANCH RD
SUITE 100
MANCHESTER, TN 37355




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 1 state securities law exam.


Principal/Supervisory Exams

Exam	Category	Date
 General Securities Principal Examination (S24)	Series 24	11/13/2012

General Industry/Product Exams

Exam	Category	Date
 Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
 General Securities Representative Examination (S7)	Series 7	12/27/1999
 Investment Company Products/Variable Contracts Representative Examination (S6)	Series 6	08/10/1999

State Securities Law Exams

Exam	Category	Date
 Uniform Securities Agent State Law Examination (S63)	Series 63	08/10/1999

PROFESSIONAL DESIGNATIONS

This section details that the representative has reported 1 professional designation(s).

Certified Financial Planner

This representative holds or did hold 1 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	10/17/2007 - 07/10/2025	NEXT FINANCIAL GROUP, INC.	CRD# 46214	MANCHESTER, TN
IA	10/17/2007 - 07/10/2025	NEXT FINANCIAL GROUP, INC.	CRD# 46214	MANCHESTER, TN
IA	02/20/2020 - 05/15/2025	HERITAGE WEALTH MANAGEMENT, LLC	CRD# 304660	FAYETTEVILLE, TN
IA	08/30/2019 - 12/31/2019	HERITAGE WEALTH MANAGEMENT, LLC	CRD# 304660	MANCHESTER, TN
IA	08/22/2007 - 10/19/2007	EDWARD JONES	CRD# 250	MANCHESTER, TN
B	11/11/1999 - 10/19/2007	EDWARD JONES	CRD# 250	MANCHESTER, TN
B	08/14/1999 - 11/18/1999	FRANKLIN FINANCIAL SERVICES CORPORATION	CRD# 5435	HOUSTON, TX

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
07/2025 - Present	LPL FINANCIAL LLC	Registered Representative	Y	MANCHESTER, TN, United States
08/2019 - Present	Heritage Wealth Management	Owner / CCO	Y	MANCHESTER, TN, United States
10/2007 - 07/2025	NEXT FINANCIAL GROUP INC	REGISTERED REPRESENTATIVE	Y	MANCHESTER, TN, 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.

- 07/10/2025- Hangarcraft LLC- Business Owner- Not INV Related- Home Based- Start date 08/26/2019- 5 Hours Per Month- 2 Hours During Trading
- 07/10/2025- SH Rentals- Real Estate Rental- INV Related- At Reported Business Location(s)- Start date 08/26/2019- 5 Hours Per Month- 2 Hours During Trading
- 07/10/2025- Southern Heritage Investments- DBA for LPL Business (entity for LPL business)- INV Related- At Reported Business Location(s)- Start date 10/08/2007- 130 Hours Per Month- 130 Hours During Trading



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
Regulatory Event	1

Regulatory Event

This disclosure event may include a final, formal proceeding initiated by a regulatory authority (e.g., a state securities agency, a federal regulator such as the Securities and Exchange Commission or the Commodities Futures Trading Commission, or a foreign financial regulatory body) for a violation of investment-related rules or regulations. This disclosure event may also include a revocation or suspension of an Investment Adviser Representative's authority to act as an attorney, accountant or federal contractor.

Disclosure 1 of 1

Reporting Source:	Regulator
Regulatory Action Initiated By:	Tennessee Securities Division
Sanction(s) Sought:	Civil and Administrative Penalty(ies)/Fine(s)
Date Initiated:	07/17/2020
Docket/Case Number:	Matter No.: 21-01281
URL for Regulatory Action:	https://www.tn.gov/content/dam/tn/commerce/documents/securities/consentorders/JM%20Final%20Heritage%20Wealth%2012.2.25signed).pdf
Employing firm when activity occurred which led to the regulatory action:	Heritage Wealth Management, L.L.C. (CRD# 304660)
Product Type:	No Product
Allegations:	Respondents failed to meet minimum net capital; failed to disclose all advisory fees to its clients and/or misrepresented or omitted the material facts necessary to ensure its statements to clients were not misleading; failed to provide or deliver written disclosure statements to its clients; failed to maintain records of discretionary accounts and copies of client agreements; failed to update the Form ADV; failed to meet the reporting requirements and custodial requirements when having custody of client funds; failed to obtain and maintain written documentation of discretionary authority for discretionary accounts; and failed to supervise.
Current Status:	Final
Resolution:	Order



Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct? No

Resolution Date: 12/04/2025

Sanctions Ordered: Civil and Administrative Penalty(ies)/Fine(s)

Monetary Sanction 1 of 1

Monetary Related Sanction: Civil and Administrative Penalty(ies)/Fine(s)

Total Amount: \$15,000.00

Portion Levied against individual: \$15,000.00

Payment Plan:

Is Payment Plan Current:

Date Paid by individual:

Was any portion of penalty waived? No

Amount Waived:

Reporting Source: Individual

Regulatory Action Initiated By: Tennessee Securities Division

Sanction(s) Sought: Civil and Administrative Penalty(ies)/Fine(s)

Date Initiated: 12/04/2025

Docket/Case Number: 21-01281

Employing firm when activity occurred which led to the regulatory action: Heritage Wealth Management

Product Type: No Product

Allegations: On December 4, 2025, in connection with a routine cyclical books and records of examination of Heritage Wealth Management, LLC ("Heritage Wealth"), and a subsequent 2024 books and records examination, Respondent Jackson entered into a Consent Order with the Tennessee Securities Division regarding allegations that Respondent Jackson failed to supervise in violation of Tenn. Code Ann. 48-1-112(a)(2)(J). Respondent Jackson agreed to comply with the Tennessee Securities Act of 1980 and pay a civil penalty in the amount of \$15,000. Respondents Jackson and Heritage Wealth will pay the civil penalty in accordance with the terms of the Consent Order.

Current Status: Final

Resolution: Consent



Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct?	No
Resolution Date:	12/04/2025
Sanctions Ordered:	Civil and Administrative Penalty(ies)/Fine(s)
Monetary Sanction 1 of 1	
Monetary Related Sanction:	Civil and Administrative Penalty(ies)/Fine(s)
Total Amount:	\$15,000.00
Portion Levied against individual:	\$15,000.00
Payment Plan:	
Is Payment Plan Current:	
Date Paid by individual:	
Was any portion of penalty waived?	No
Amount Waived:	



End of Report

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