



IAPD Report

JASON STEVEN HAWKE

CRD# 4177415

<u>Section Title</u>	<u>Page(s)</u>
Report Summary	1
Qualifications	2 - 3
Registration and Employment History	5 - 6
Disclosure Information	7

i 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

JASON STEVEN HAWKE (CRD# 4177415)

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 **01/09/2026**.

CURRENT EMPLOYERS

Firm	CRD#	Registered Since
IA HAWKE FINANCIAL GROUP	CRD# 301733	01/09/2026

QUALIFICATIONS

This representative is currently registered in **0** SRO(s) and **2** 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 HAWKE FINANCIAL GROUP	301733	MERIDIAN, ID	09/01/2019 - 12/31/2025
B D.H. HILL SECURITIES, LLLP	41528	Meridian, ID	10/21/2020 - 08/19/2025
IA NATIONAL ASSET MANAGEMENT, INC.	115927	MERIDAN, ID	12/15/2011 - 03/27/2019

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
Criminal	1
Customer Dispute	8
Termination	4





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

Employment 1 of 1

Firm Name: **HAWKE FINANCIAL GROUP**
Main Address: 2484 N STOKESBERRY PLACE
SUITE 100
MERIDIAN, ID 83646-6083
Firm ID#: 301733

Regulator	Registration	Status	Date
 Idaho	Investment Adviser Representative	Approved	01/12/2026
 Texas	Investment Adviser Representative	Restricted Approval	01/09/2026

Branch Office Locations

HAWKE FINANCIAL GROUP
2484 N STOKESBERRY PLACE SUITE 100
meridian, ID 83646





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 2 principal/supervisory exams, 4 general industry/product exams, and 3 state securities law exams.





Principal/Supervisory Exams

Exam	Category	Date
 General Securities Principal Examination (S24)	Series 24	07/22/2003
 Investment Company Products/Variable Contracts Principal Examination (S26)	Series 26	06/09/2001

General Industry/Product Exams

Exam	Category	Date
 Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
 National Commodity Futures Examination (S3)	Series 3	10/31/2013
 General Securities Representative Examination (S7)	Series 7	06/10/2003
 Investment Company Products/Variable Contracts Representative Examination (S6)	Series 6	06/12/2000

State Securities Law Exams

Exam	Category	Date
 Uniform Investment Adviser Law Examination (S65)	Series 65	09/26/2011
  Uniform Combined State Law Examination (S66)	Series 66	06/07/2004
 Uniform Securities Agent State Law Examination (S63)	Series 63	06/03/2000



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	09/01/2019 - 12/31/2025	HAWKE FINANCIAL GROUP	CRD# 301733	MERIDIAN, ID
B	10/21/2020 - 08/19/2025	D.H. HILL SECURITIES, LLLP	CRD# 41528	Meridian, ID
IA	12/15/2011 - 03/27/2019	NATIONAL ASSET MANAGEMENT, INC.	CRD# 115927	MERIDAN, ID
B	10/07/2011 - 03/27/2019	NATIONAL SECURITIES CORPORATION	CRD# 7569	MERIDIAN, ID
B	07/20/2011 - 09/13/2011	NEWBRIDGE SECURITIES CORPORATION	CRD# 104065	MERIDIAN, ID
IA	05/16/2008 - 08/02/2011	J P TURNER & COMPANY CAPITAL MANAGEMENT, LLC	CRD# 124446	MERIDAN, ID
B	05/16/2008 - 08/02/2011	J.P. TURNER & COMPANY, L.L.C.	CRD# 43177	MERIDIAN, ID
IA	06/08/2004 - 05/22/2008	LPL FINANCIAL CORPORATION	CRD# 6413	MERIDIAN, ID
B	02/13/2003 - 05/22/2008	LPL FINANCIAL CORPORATION	CRD# 6413	MERIDIAN, ID
B	04/12/2002 - 02/26/2003	WORLD GROUP SECURITIES, INC.	CRD# 114473	DULUTH, GA
B	06/13/2000 - 04/12/2002	WMA SECURITIES, INC.	CRD# 32625	DULUTH, GA

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
09/2020 - Present	D.H. HILL SECURITIES, LLLP	REGISTERED REPRESENTATIVE	Y	KINGWOOD, TX, United States
02/2002 - Present	HAWKE FINANCIAL GROUP, LLC	OWNER, CCO & IAR	Y	MERIDIAN, ID, United States
01/2008 - 05/2023	INTEGRATED WEALTH CONCEPTS LLC	OWNER / INSURANCE PRODUCER	N	MERIDIAN, ID, United States



Registration & Employment History

EMPLOYMENT HISTORY

Employment Dates	Employer Name	Position	Investment Related	Employer Location
09/2011 - 03/2019	NATIONAL ASSET MANAGEMENT, INC.	INVESTMENT ADVISER REPRESENTATIVE	Y	MERIDIAN, ID, United States
09/2011 - 03/2019	NATIONAL SECURITIES CORP	REGISTERED REPRESENTATIVE	Y	MERIDIAN, ID, 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) JPT PROPERTIES LLC; NON-INVESTMENT RELATED; 439 E. SHORE DR. STE 100, EAGLE, ID 83616; REAL ESTATE, PROPERTY MANAGEMENT; PRESIDENT & OWNER. START DATE 01/2015; 2 HOURS/MONTH, NONE DURING TRADING HOURS
- 2) LIVESTOCK CATTLE BUSINESS; NON INVESTMENT RELATED; BUYING CALFS, FEEDING AND SELLING TO MEAT CONTRACTOR, OWNER & PARTNER, START DATE: 01/2014; 1 HOUR/MONTH; TRADING HOURS 0.
- 3) HAWKE FINANCIAL GROUP LLC, INVESTMENT RELATED; START DATE 5/2019, 2404 N. STOKESBERRY PL., MERIDIAN, ID; OWNER & SEC REGISTERED RIA, APPROX 140 HRS/MO AND DURING TRADING, FEE BASED MONEY MANAGEMENT, HOURLY FEES FOR FINANCIAL PLANNING
- 4) D.H. HILL SECURITIES, LLLP; INVESTMENT RELATED; 1543 GREEN OAK PLACE, SUITE 100, KINGWOOD TEXAS 77339; REGISTERED REPRESENTATIVE SINCE 10/2020; APPROX 10 HOURS PER WEEK DURING TRADING HOURS
- 5) STONEBRIAR HOMEOWNERS ASSOCIATION, INC; NON-PROFIT; NON-INVESTMENT RELATED; PO BOX 810 STAR, ID 83669; DUTIES: TREASURER; START DATE: 05/18/2023; HOURS PER MONTH: 5, HOURS DURING TRADING: 0



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
Criminal	1
Customer Dispute	8
Termination	4

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:	IDAHO DEPARTMENT OF FINANCE
Sanction(s) Sought:	Cease and Desist Civil and Administrative Penalty(ies)/Fine(s) Suspension
Date Initiated:	04/01/2019
Docket/Case Number:	2019-7-06
URL for Regulatory Action:	https://www.finance.idaho.gov/legal/administrative-actions/securities/enforcement-orders/documents/2019/4861-2019-7-06-hawke-a&o.pdf
Employing firm when activity occurred which led to the regulatory action:	NATIONAL SECURITIES CORPORATION
Product Type:	Other: CONSERVATION EASEMENT
Allegations:	MR. HAWKE, AS AGENT OF NATIONAL SECURITIES CORPORATION ("NSC"), VIOLATED NSC'S WRITTEN POLICIES AND PROCEDURES AND FINRA RULE 3280 WHEN HE FAILED TO PROVIDE NOTICE TO NSC PRIOR TO ENGAGING IN PRIVATE SECURITIES TRANSACTIONS.
Current Status:	Final
Resolution:	Order
Does the order constitute a	Yes



final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct?

Resolution Date: 09/27/2019

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

Sanction 1 of 1

Sanction Type: Suspension

Capacities Affected: REGISTRATION

Duration: 30 DAYS

Start Date: 09/01/2019

End Date: 09/30/2019

Monetary Sanction 1 of 1

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

Total Amount: \$10,000.00

Portion Levied against individual: \$10,000.00

Payment Plan:

Is Payment Plan Current: Yes

Date Paid by individual: 09/27/2019

Was any portion of penalty waived? No

Amount Waived:

Regulator Statement

MR. HAWKE VIOLATED FINRA RULES AND IDAHO LAW WHEN HE PERSONALLY PARTICIPATED IN A PRIVATE SECURITIES TRANSACTION INVOLVING A CONSERVATION EASEMENT WITHOUT GIVING HIS BROKER-DEALER PRIOR WRITTEN NOTICE. THE DEPARTMENT HAD PREVIOUSLY ISSUED A LETTER OF CENSURE TO MR. HAWKE FOR FAILURE TO NOTIFY HIS PRIOR BROKER-DEALER ABOUT PARTICIPATION IN A PRIVATE SECURITIES TRANSACTION. IN ADDITION TO THE FINE AND SUSPENSION, MR. HAWKE HAS AGREED TO HIRE AN INDEPENDENT COMPLIANCE CONSULTANT TO CONDUCT AN ANNUAL EXAMINATION OF HIS INVESTMENT ADVISORY BUSINESS FOR A PERIOD OF FIVE YEARS.

Reporting Source: Individual

Regulatory Action Initiated By: Idaho Department of Finance

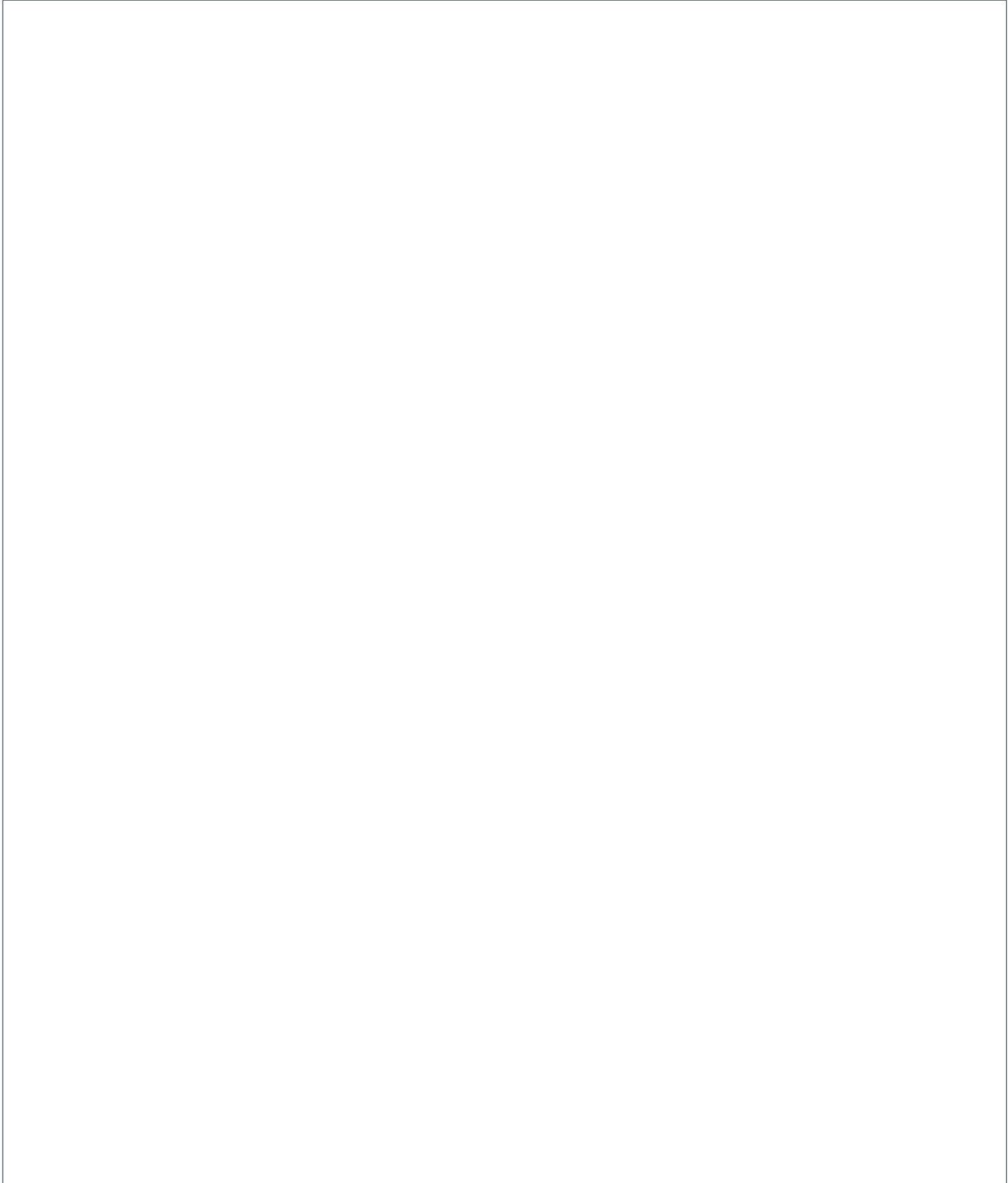
Sanction(s) Sought: Cease and Desist
Civil and Administrative Penalty(ies)/Fine(s)
Suspension

Date Initiated: 04/01/2019

Docket/Case Number: 2019-07-06



Employing firm when activity occurred which led to the regulatory action:	National Securities Corporation
Product Type:	Other: Conservation Easement
Allegations:	Mr. Hawke, as agent of National Securities Corporation, violated NSC's written policies and procedures and FINRA rule 3280 when he failed to provide notice to NSC prior to engaging in Private Securities Transactions
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?	Yes
Resolution Date:	09/27/2019
Sanctions Ordered:	Cease and Desist Civil and Administrative Penalty(ies)/Fine(s) Suspension
Sanction 1 of 1	
Sanction Type:	Suspension
Capacities Affected:	Registration
Duration:	30 Days
Start Date:	09/01/2019
End Date:	09/30/2019
Monetary Sanction 1 of 1	
Monetary Related Sanction:	Civil and Administrative Penalty(ies)/Fine(s)
Total Amount:	\$10,000.00
Portion Levied against individual:	\$10,000.00
Payment Plan:	
Is Payment Plan Current:	Yes
Date Paid by individual:	09/27/2019
Was any portion of penalty waived?	No
Amount Waived:	
Broker Statement	Mr. Hawke violated FINRA rules and Idaho law when he personally participated in a private securities transaction involving a conservation easement without giving his broker dealer prior written notice. The department had previously issued a letter of censure to Mr. Hawke for failure to notify his prior broker dealer about participation in a private securities transaction. In addition to the fine and suspension Mr. Hawke has agreed to hire an independent compliance consultant to conduct an annual examination of his investment advisory business for a period of five years.





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

Organization Name (if charge(s) were brought against an organization over which individual exercised control): N/A

Court Details: DISTRICT COURT OF THE FOURTH JUDICIAL DISTRICT
ADA COUNTY, IDAHO
CASE NO. M0400379

Charge Date: 12/31/2003

Charge Details: PETTY THEFT CODE SECTION 18-2403
1 COUNT, CLASS CLASS D MISDEMEANOR
PLEAD NOT GUILTY, NOT INVESTMENT RELATED

Felony? No

Current Status: Final

Status Date: 03/11/2004

Disposition Details: A. DISMISSED AT PRE-TRIAL WITH BOND FORFEITURE
B. 3/11/2004
C. NO SENTENCE/PENALTY
F. NO PENALTY/FINE

Broker Statement MATTER INVOLVED MISTAKEN USE OF MOVIE THEATRE TICKETS DELIVERED TO THE ACCUSED'S OFFICE. OFFERED TO RESOLVE MATTER WITH COMPLAINANT, WHO REFUSED AND PRESSED CHARGES.



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 8

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	D.H. HILL SECURITIES, LLLP
Allegations:	Client alleges unsuitable recommendation of purchase of a fee simple investment in December of 2022.
Product Type:	Other: Fee Simple Investment
Alleged Damages:	\$200,000.00
Alleged Damages Amount Explanation (if amount not exact):	No damage amount alleged but firm determined would be over \$5000 if valid
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:	07/01/2025
Complaint Pending?	No
Status:	Closed/No Action
Status Date:	08/19/2025

Settlement Amount:

Individual Contribution Amount:

Broker Statement	Firm investigated complaint and found investment to be suitable for client. Client did not request compensation as investigation into complaint evolved into an internal investigation into representative.
-------------------------	---

Disclosure 2 of 8

Reporting Source:	Firm
Employing firm when activities occurred which led to the complaint:	NATIONAL SECURITIES CORP
Allegations:	SUITABILITY
Product Type:	Other: PRIVATE PLACEMENT
Alleged Damages:	\$100,000.00



Is this an oral complaint? No

Is this a written complaint? No

Is this an arbitration/CFTC reparation or civil litigation? Yes

Arbitration/Reparation forum or court name and location: FINRA

Docket/Case #: 20-00790

Filing date of arbitration/CFTC reparation or civil litigation: 03/09/2020

Customer Complaint Information

Date Complaint Received: 03/17/2020

Complaint Pending? No

Status: Settled

Status Date: 10/07/2021

Settlement Amount: \$45,000.00

Individual Contribution Amount: \$0.00

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: National Securities Corporation

Allegations: Suitability

Product Type: Other: Private Placement

Alleged Damages: \$100,000.00

Is this an oral complaint? No

Is this a written complaint? No

Is this an arbitration/CFTC reparation or civil litigation? Yes

Arbitration/Reparation forum or court name and location: FINRA

Docket/Case #: 20-00790

Filing date of arbitration/CFTC reparation or civil litigation: 03/09/2020

Customer Complaint Information

Date Complaint Received: 03/17/2020

Complaint Pending? No

Status: Settled



Status Date: 10/07/2021

Settlement Amount: \$45,000.00

Individual Contribution Amount: \$0.00

Disclosure 3 of 8

Reporting Source: Firm

Employing firm when activities occurred which led to the complaint: J.P. TURNER & COMPANY LLC

Allegations: MISREPRESENTATION, UNSUITABILITY, NEGLIGENCE, COMMON LAW FRAUD AND BREACH OF FIDUCIARY DUTY.

Product Type: Penny Stock, Real Estate Security, Other: PRIVATE PLACEMENTS

Alleged Damages: \$50,000.00

Alleged Damages Amount Explanation (if amount not exact): CLAIMANTS ALLEGE THE DAMAGES TO BE BETWEEN \$50,000 AND \$75,000.

Is this an oral complaint? No

Is this a written complaint? No

Is this an arbitration/CFTC reparation or civil litigation? Yes

Arbitration/Reparation forum or court name and location: FINRA

Docket/Case #: CASE #14-01566

Filing date of arbitration/CFTC reparation or civil litigation: 06/04/2014

Customer Complaint Information

Date Complaint Received: 06/04/2014

Complaint Pending? No

Status: Settled

Status Date: 05/28/2015

Settlement Amount: \$17,500.00

Individual Contribution Amount: \$0.00

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: J.P. TURNER & COMPANY LLC

Allegations: MISREPRESENTATION, UNSUITABILITY, NEGLIGENCE, COMMON LAW



FRAUD AND BREACH OF FIDUCIARY DUTY.

Product Type:Penny Stock
Real Estate Security
Other: PRIVATE PLACEMENT**Alleged Damages:**

\$50,000.00

Alleged Damages Amount Explanation (if amount not exact):

CLAIMANTS ALLEGE THE DAMAGES TO BE BETWEEN \$50,000 AND \$75,000.

Is this an oral complaint?

No

Is this a written complaint?

No

Is this an arbitration/CFTC reparation or civil litigation?

Yes

Arbitration/Reparation forum or court name and location:

FINRA

Docket/Case #:

CASE #14-01566

Filing date of arbitration/CFTC reparation or civil litigation:

06/04/2014

Customer Complaint Information**Date Complaint Received:** 06/10/2014**Complaint Pending?** No**Status:** Settled**Status Date:** 07/20/2015**Settlement Amount:** \$17,500.00**Individual Contribution Amount:** \$0.00**Disclosure 4 of 8****Reporting Source:** Firm**Employing firm when activities occurred which led to the complaint:** LPL FINANCIAL**Allegations:** ALLEGES UNSUITABILITY IN CONNECTION WITH PURCHASE OF INLAND WESTERN REIT IN 2004.**Product Type:** Other: REIT**Alleged Damages:** \$60,000.00**Arbitration Information****Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.):** FINRA**Docket/Case #:** 12-03893**Date Notice/Process Served:** 12/26/2012



Arbitration Pending? No

Disposition: Settled

Disposition Date: 12/30/2013

Monetary Compensation Amount: \$2,000.00

Individual Contribution Amount: \$0.00

Firm Statement THE SETTLEMENT IS A COMPROMISE OF DISPUTED CLAIMS AND DOES NOT CONSTITUTE AN ADMISSION OR EVIDENCE OF LIABILITY FOR ANY PURPOSE WHATSOEVER. THE FIRM ELECTED TO SETTLE THIS CLAIM FOR A NOMINAL AMOUNT TO AVOID THE COSTS AND UNCERTAINTY OF ARBITRATION.

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: LPL FINANCIAL

Allegations: ALLEGES UNSUITABILITY IN CONNECTION WITH THE PURCHASE OF INLAND WESTERN REIT IN 2004.

Product Type: Other: REIT

Alleged Damages: \$60,000.00

Arbitration Information

Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.): FINRA

Docket/Case #: 12-03893

Date Notice/Process Served: 12/26/2012

Arbitration Pending? No

Disposition: Settled

Disposition Date: 11/18/2013

Monetary Compensation Amount: \$2,000.00

Individual Contribution Amount: \$0.00

Disclosure 5 of 8

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: JP TURNER

Allegations: UNSUITABLE RECOMMENDATIONS

Product Type: Real Estate Security

Alleged Damages: \$100,000.00



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: 12/01/2011
Complaint Pending? No
Status: Closed/No Action
Status Date: 11/19/2013
Settlement Amount:
Individual Contribution Amount:

Disclosure 6 of 8

Reporting Source: Individual
Employing firm when activities occurred which led to the complaint: J.P. TURNER & COMPANY LLC
Allegations: MISREPRESENTATION AND UNSUITABLE INVESTMENT
Product Type: Real Estate Security
Alleged Damages: \$0.00
Alleged Damages Amount Explanation (if amount not exact): NO ALLEGED COMPENSATORY DAMAGE. FIRM COULD NOT MAKE A GOOD FAITH DETERMINATION THAT AMOUNT WOULD BE LESS THAN \$5000.00.

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: 04/25/2011
Complaint Pending? No
Status: Closed/No Action
Status Date: 05/09/2011
Settlement Amount:
Individual Contribution Amount:

Disclosure 7 of 8

Reporting Source: Firm



Employing firm when activities occurred which led to the complaint: J.P. TURNER & COMPANY LLC

Allegations: UNSUITABLE INVESTMENTS, BREACH OF FIDUCIARY DUTY, COMMON LAW FRAUD, VIOLATION OF SECURITIES EXCHANGE ACT AND VIOLATION OF IDAHO SECURITIES LAWS.

Product Type: Equity-OTC

Alleged Damages: \$100,000.00

Arbitration Information

Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.): FINRA

Docket/Case #: 11-01746

Date Notice/Process Served: 06/13/2011

Arbitration Pending? No

Disposition: Settled

Disposition Date: 06/27/2012

Monetary Compensation Amount: \$25,000.00

Individual Contribution Amount: \$25,000.00

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: J.P. TURNER & COMPANY LLC

Allegations: UNSUITABLE INVESTMENTS, BREACH OF FIDUCIARY DUTY, COMMON LAW FRAUD, VIOLATION OF SECURITIES EXCHANGE ACT AND VIOLATION OF IDAHO SECURITIES LAWS.

Product Type: Equity-OTC
Real Estate Security

Alleged Damages: \$100,000.00

Arbitration Information

Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.): FINRA

Docket/Case #: 11-01746

Date Notice/Process Served: 06/13/2011

Arbitration Pending? No

Disposition: Settled

Disposition Date: 06/27/2012

Monetary Compensation Amount: \$25,000.00



Individual Contribution Amount: \$25,000.00

Civil Litigation Information

Type of Court: DISTRICT COURT SEVENTH JUDICIAL DISTRICT

Name of Court: DISTRICT COURT SEVENTH JUDICIAL DISTRICT

Location of Court: BONNEVILLE COUNTY IDAHO

Docket/Case #: CV-2010-3996

Date Notice/Process Served: 12/23/2010

Litigation Pending? No

Disposition: Other: TURNED INTO ARBITRATION.

Disposition Date: 06/13/2011

Disclosure 8 of 8

Reporting Source: Firm

Employing firm when activities occurred which led to the complaint: J.P. TURNER & COMPANY LLC

Allegations: NEGLIGENCE, UNSUITABILITY, BREACH OF FIDUCIARY DUTY, MISREPRESENTATION ND FAILURE TO PERFORM DUE DILIGENCE.

Product Type: Oil & Gas

Alleged Damages: \$300,000.00

Alleged Damages Amount Explanation (if amount not exact): FIRM REC'D CUSTOMER COMPLAINT FOR \$225000.00 ON 02/02/2010 WHICH WAS DENIED ON 02/16/2010. FIRM REC'D ARBITRATION (REP NAMED IN BODY) ON 03/29/10 WITH ALLEGED DAMAGE AMOUNT OF \$300,000.

Is this an oral complaint? No

Is this a written complaint? Yes

Is this an arbitration/CFTC reparation or civil litigation? Yes

Arbitration/Reparation forum or court name and location: FINRA

Docket/Case #: CASE #10-01146

Filing date of arbitration/CFTC reparation or civil litigation: 03/08/2010

Customer Complaint Information

Date Complaint Received: 03/29/2010

Complaint Pending? No

Status: Settled

Status Date: 11/10/2011

Settlement Amount: \$50,000.00



Individual Contribution Amount: \$43,750.00

.....

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: J.P. TURNER & COMPANY LLC

Allegations: NEGLIGENCE, UNSUITABILITY, BREACH OF FIDUCIARY DUTY, MISREPRESENTATION AND FAILURE TO PERFORM DUE DILIGENCE.

Product Type: Oil & Gas

Alleged Damages: \$300,000.00

Alleged Damages Amount Explanation (if amount not exact): FIRM REC'D CUSTOMER COMPLAINT FOR \$225000.00 ON 02/02/2010 WHICH WAS DENIED ON 02/16/2010. FIRM REC'D ARBITRATION (REP NAMED IN BODY) ON 03/29/10 WITH ALLEGED DAMAGE AMOUNT OF \$300,000.

Is this an oral complaint? No

Is this a written complaint? Yes

Is this an arbitration/CFTC reparation or civil litigation? Yes

Arbitration/Reparation forum or court name and location: FINRA

Docket/Case #: CASE #10-01146

Filing date of arbitration/CFTC reparation or civil litigation: 03/08/2010

Customer Complaint Information

Date Complaint Received: 03/29/2010

Complaint Pending? No

Status: Settled

Status Date: 11/10/2011

Settlement Amount: \$50,000.00

Individual Contribution Amount: \$43,750.00

Broker Statement PRIOR COMPLAINT FROM FEBRUARY 2010 WAS DENIED. FIRM REC'D NOTICE OF ARBITRATION ON 03/29/2010 WITH REPRESENTATIVE NAMED IN THE BODY OF THE ARBITRATION ONLY.



Termination

This disclosure event involves a situation where the Investment Adviser Representative voluntarily resigned, was discharged or was permitted to resign after allegations were made that accused the Investment Adviser Representative of violating investment-related statutes, regulations, rules or industry standards of conduct; fraud or the wrongful taking of property; or failure to supervise in connection with investment-related statutes, regulations, rules or industry standards of conduct.

Disclosure 1 of 4

Reporting Source: Firm
Firm Name: D.H. HILL SECURITIES, LLLP
Termination Type: Discharged
Termination Date: 08/19/2025
Allegations: The firm found evidence during an investigation that Mr. Hawke deliberately falsified a client's address on account documents in order to have an investment processed as Mr. Hawke was not registered in the client's state of residence.
Product Type: No Product

Reporting Source: Individual
Firm Name: D.H. HILL SECURITIES, LLLP
Termination Type: Discharged
Termination Date: 08/19/2025
Allegations: The firm alleged that Mr. Hawke provided inaccurate client address information on firm and issuer documentation in connection with an investment transaction, which the firm asserted was done in order to process the transaction while the individual was not registered in the client's state of residence.
Product Type: No Product

Broker Statement Mr. Hawke denies these allegations and disputes the firm's characterization of the events. He maintains that no misconduct occurred and that no inaccurate information was knowingly or intentionally provided. The individual intends to pursue arbitration to contest the allegations and seek expungement. No regulatory, judicial, or arbitral determination has been made.

Disclosure 2 of 4

Reporting Source: Firm
Firm Name: GLYNN PERRYMAN
Termination Type: Discharged
Termination Date: 03/20/2019
Allegations: Registered representative failed to notify the Firm prior to engaging in Private Securities Transactions in accordance with the Firm's policies and procedures. The transactions did not involve any clients of the Firm
Product Type: No Product

Reporting Source: Individual
Firm Name: NATIONAL ASSET MANAGEMENT, INC.



Termination Type: Discharged
Termination Date: 03/20/2019
Allegations: REGISTERED REPRESENTATIVE FAILED TO NOTIFY THE FIRM PRIOR TO ENGAGING IN PRIVATE SECURITIES TRANSACTIONS IN ACCORDANCE WITH THE FIRM'S POLICIES AND PROCEDURES. THE TRANSACTIONS DID NOT INVOLVE ANY CLIENTS OF THE FIRM.
Product Type: No Product
Broker Statement I made a personal real estate investment in a conservation easement in December for tax planning. I did not solicit or conduct any private securities transactions with clients. I was approved for real estate investments as an outside business activity and believed no further notice was required.

Disclosure 3 of 4

Reporting Source: Firm
Firm Name: NATIONAL SECURITIES CORP
Termination Type: Discharged
Termination Date: 03/20/2019
Allegations: Registered representative failed to notify the Firm prior to engaging in Private Securities Transactions in accordance with the Firm's policies and procedures. The transactions did not involve any clients of the Firm.
Product Type: No Product

.....

Reporting Source: Individual
Firm Name: National Securities Corporation
Termination Type: Discharged
Termination Date: 03/20/2019
Allegations: RR failed to notify the firm prior to engaging in Private Securities Transactions in accordance with the firm's policies and procedures. The transactions did not involve any of the firm's clients.
Product Type: No Product

Disclosure 4 of 4

Reporting Source: Firm
Firm Name: J.P. TURNER & COMPANY, L.L.C.
Termination Type: Permitted to Resign
Termination Date: 07/06/2011
Allegations: VIOLATION OF FIRM POLICY AND INDUSTRY RULES RELATED TO COMMISSION PAYMENTS AND AN UNAPPROVED PRIVATE SECURITIES TRANSACTION.
Product Type: No Product

.....

Reporting Source: Individual



Firm Name:	J.P. TURNER & COMPANY, L.L.C.
Termination Type:	Permitted to Resign
Termination Date:	07/06/2011
Allegations:	VIOLATION OF FIRM POLICY AND INDUSTRY RULES RELATED TO COMMISSION PAYMENTS AND AN UNAPPROVED PRIVATE SECURITIES TRANSACTION.
Product Type:	No Product



End of Report

This page is intentionally left blank.