



IAPD Report

JASON CHRISTOPHER COOK

CRD# 4349388

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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 CHRISTOPHER COOK (CRD# 4349388)

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 **03/18/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	BERTHEL, FISHER & COMPANY FINANCIAL SERVICES, INC.	CRD# 13609	01/03/2006
IA	BERTHEL FISHER & COMPANY FINANCIAL SERVICES, INC.	CRD# 13609	09/14/2009
IA	BFC PLANNING, INC.	CRD# 119682	11/07/2018

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **6** 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	RAYMOND JAMES FINANCIAL SERVICES, INC.	6694	GRAHAM, NC	01/05/2005 - 01/09/2006
B	PRINCOR FINANCIAL SERVICES CORPORATION	1137	DES MOINES, IA	03/07/2001 - 01/13/2005

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	3



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

Employment 1 of 2

Firm Name: **BERTHEL FISHER & COMPANY FINANCIAL SERVICES, INC.**
Main Address: 4201 42ND STREET NE
SUITE 100
CEDAR RAPIDS, IA 52402
Firm ID#: 13609

Regulator	Registration	Status	Date
B FINRA	General Securities Representative	Approved	01/03/2006
B FINRA	General Securities Principal	Approved	08/18/2006
B Florida	Agent	Approved	09/07/2007
B Georgia	Agent	Approved	06/12/2006
B North Carolina	Agent	Approved	01/03/2006
IA North Carolina	Investment Adviser Representative	Approved	09/14/2009
B Pennsylvania	Agent	Approved	11/14/2018
B South Carolina	Agent	Approved	06/12/2006
B Virginia	Agent	Approved	02/27/2008

Branch Office Locations

BERTHEL FISHER & COMPANY FINANCIAL SERVICES, INC.
208 S. Marshall Street
GRAHAM, NC 27253

Employment 2 of 2

Firm Name: **BFC PLANNING, INC.**
Main Address: 4201 42ND STREET NE



Qualifications

Firm ID#: SUITE 100
CEDAR RAPIDS, IA 52402
119682

	Regulator	Registration	Status	Date
IA	North Carolina	Investment Adviser Representative	Approved	11/07/2018

Branch Office Locations

BFC PLANNING, INC.
208 S. Marshall Street
Graham, NC 27253



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	08/17/2006

General Industry/Product Exams

Exam	Category	Date
Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
General Securities Representative Examination (S7)	Series 7	07/28/2005
Investment Company Products/Variable Contracts Representative Examination (S6)	Series 6	03/06/2001

State Securities Law Exams

Exam	Category	Date
Uniform Securities Agent State Law Examination (S63)	Series 63	02/17/2001

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	01/05/2005 - 01/09/2006	RAYMOND JAMES FINANCIAL SERVICES, INC.	CRD# 6694	GRAHAM, NC
B	03/07/2001 - 01/13/2005	PRINCOR FINANCIAL SERVICES CORPORATION	CRD# 1137	DES MOINES, IA

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
11/2018 - Present	BFC Planning, Inc.	Investment Advisor Representative	Y	Graham, NC, United States
01/2006 - Present	BERTHEL FISHER & COMPANY FINANCIAL SERVICES INC	REGISTERED REPRESENTATIVE	Y	Graham, NC, United States
01/2009 - 11/2018	ALCO INVESTMENT CLUB	MEMBER	Y	GRAHAM, NC, United States
10/2006 - 11/2018	GRAHAM AREA BUSINESS ASSOCIATION	VICE PRESIDENT	N	GRAHAM, NC, United States
06/2005 - 11/2018	GRAHAM FIRE DEPARTMENT	VOLUNTEER FIREMAN	N	GRAHAM, NC, United States
01/2004 - 11/2018	STOKES, COOK & ASSOCIATES	INSURANCE SALES	Y	GRAHAM, NC, 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. Stokes Cook Wealth Management-N-Graham, NC-dba for Securities-Registered Representative-03/2020-40-40-DBA for Securities & Insurance.
2. ALCO INVESTMENT CLUB-Y-BURLINGTON, NC-INVESTMENT CLUB-5/2008-1-0-INVESTMENT CLUB MEETS & MEMBERS PAY DUES INTO A BROKERAGE ACCOUNT TO PURCHASE STOCK.
3. ALAMANCE COUNTY CHAMBER OF COMMERCE-N-BURLINGTON, NC-CHAMBER OF COMMERCE-MEMBER-1/2013-2-0-PROMOTE BUSINESS IN ALAMANCE COUNTY.
4. BINGHAM MASONIC LODGE-N-MEBANE, NC-FRATERNAL ORGANIZATION-MEMBER-7/2013-5-0-RAISE MONEY FOR ORPHANED CHILDREN.
5. BURLINGTON SHRINE CLUB-N-BURLINGTON, NC-CHARITABLE ORGANIZATION-MEMBER-11/2013-3-0-RAISE MONEY FOR CRIPPLED CHILDREN.
6. GRAHAM AREA BUSINESS ASSOCIATION-N-GRAHAM, NC-BUSINESS PROMOTION-MEMBER-10/2006-2-0-PROMOTE BUSINESS IN THE GRAHAM, NC AREA.
7. GRAHAM FIRE DEPARTMENT-N-GRAHAM, NC-VOLUNTEER FIRE DEPARTMENT-VOLUNTEER FIREMAN-07/1996-10-3-



Registration & Employment History



OTHER BUSINESS ACTIVITIES

RESPONDS TO FIRE AND MEDICAL EMERGENCIES.

8. JASON COOK-N-GRAHAM, NC-RENTAL PROPERTIES-OWNER-1/1999-0-0-OWN & RENT OUT 4 PROPERTIES

9. JAYJAC LLC- N- GRAHAM, NC- REAL ESTATE AND AGRICULTURE INVESTMENTS- OWNER- 03/2024- 0-0- LLC USED FOR REAL ESTATE AND AGRICULTURE INVESTMENTS.

10. COOK AND FOUST PROPERTIES LLC- N- GRAHAM, NC- REAL ESTATE- MEMBER MANAGER- 09/2025- 0- 0- LLC USED TO BUY REAL ESTATE PROPERTY.

11. Cook Family Holdings LLC- N- Graham, NC- Real Estate- Member/Manager- 04/2026- 0-0- LLC established to hold real estate investments.

12. Cook Investment Holdings LLC- N- Graham, NC- Real Estate- Member/Manager- 03/2026- 0-0- LLC established to hold real estate investments.



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
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Customer Dispute	3
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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 3

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	Berthel Fisher & Company Financial Services, Inc.
Allegations:	The claimant alleged the investments purchased from 2010-2017 were unsuitable and misrepresented to him by the representative. The claimant alleged the firm failed to conduct due diligence on the investments and failed to supervise the representative's activities.
Product Type:	Oil & Gas Real Estate Security
Alleged Damages:	\$0.00
Alleged Damages Amount Explanation (if amount not exact):	The damages are not specified; however, the firm has made a good faith determination that the damages from the alleged conduct would be more than \$5,000.
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 #:	23-01266



Filing date of arbitration/CFTC reparation or civil litigation: 05/08/2023

Customer Complaint Information

Date Complaint Received: 05/09/2023

Complaint Pending? No

Status: Settled

Status Date: 11/14/2023

Settlement Amount: \$27,650.00

Individual Contribution Amount: \$0.00

Broker Statement The representative was not a named party to the arbitration and denies the allegations. The representative discussed the risks associated with the investments with the client; and the client acknowledged his understanding of the risks on multiple forms. The Firm, solely to compromise and settle disputed claims, agreed to settle the arbitration with the claimant.

Disclosure 2 of 3

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: BERTHEL, FISHER & COMPANY FINANCIAL SERVICES, INC.

Allegations: The claimants allege the investment purchased from 2013-2017 were unsuitable and misrepresented to them by the representative. The claimants further allege the firm failed to supervise the activities of the representative and failed to conduct adequate due diligence.

Product Type: Annuity-Variable
Direct Investment-DPP & LP Interests
Oil & Gas
Real Estate Security

Alleged Damages: \$0.00

Alleged Damages Amount Explanation (if amount not exact): The firm has made a good faith determination that the damages from the alleged conduct would be more than \$5,000.

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 #: 22-01002

Filing date of arbitration/CFTC reparation or civil litigation: 05/09/2022

Customer Complaint Information



Date Complaint Received: 05/10/2022
Complaint Pending? No
Status: Settled
Status Date: 11/30/2022
Settlement Amount: \$125,000.00
Individual Contribution Amount: \$20,000.00
Broker Statement
The representative was not a named party to the arbitration and denies the allegations made by the clients. He believes the investments were suitable and the risks were disclosed to the clients. The Firm, solely to compromise and settle disputed claims, agreed to settle the matter with the clients.

Disclosure 3 of 3

Reporting Source: Individual
Employing firm when activities occurred which led to the complaint: BERTHEL, FISHER & COMPANY FINANCIAL SERVICES, INC.
Allegations: The clients allege the investments they purchased in 2011-2020 were significantly concentrated in non-traditional alternative investments (non-traded REITs and limited partnerships) which were unsuitable and misrepresented to them. The clients also allege the firm failed to conduct any due diligence, failed to supervise, and failed to provide appropriate training to the representative.
Product Type: Direct Investment-DPP & LP Interests
Real Estate Security
Alleged Damages: \$300,000.00
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 #: 21-03132
Filing date of arbitration/CFTC reparation or civil litigation: 12/30/2021

Customer Complaint Information

Date Complaint Received: 12/30/2021
Complaint Pending? No
Status: Settled
Status Date: 12/01/2022
Settlement Amount: \$92,500.00



Individual Contribution Amount:

\$20,000.00

Broker Statement

The representative was not a named party to the arbitration and denies the allegations made by the clients. He believes the investments were suitable and the risks were disclosed to the clients. The Firm, solely to compromise and settle disputed claims, agreed to settle an arbitration with the Claimants.



End of Report

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