



## IAPD Report

# Jason Parker

CRD# 4608025

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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

### Jason Parker (CRD# 4608025)

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 **03/06/2025**.

### CURRENT EMPLOYERS

Firm	CRD#	Registered Since
IA KINGSWOOD WEALTH ADVISORS, LLC	CRD# 288792	07/03/2024

### QUALIFICATIONS

This representative is currently registered in **0** 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
IA EUDAIMONIA PARTNERS, LLC	283884	Athens, GA	12/06/2019 - 04/02/2025
IA B RILEY WEALTH MANAGEMENT	2543	ATHENS, GA	03/10/2017 - 12/13/2019
B B. RILEY WEALTH MANAGEMENT	2543	ATHENS, GA	03/08/2017 - 12/13/2019

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

### Employment 1 of 1

Firm Name: **KINGSWOOD WEALTH ADVISORS, LLC**  
Main Address: 11440 W. BERNARDO COURT  
SUITE 300  
SAN DIEGO, CA 92127  
Firm ID#: 288792

	Regulator	Registration	Status	Date
	California	Investment Adviser Representative	Approved	07/03/2024
	Georgia	Investment Adviser Representative	Approved	10/17/2025
	Virginia	Investment Adviser Representative	Approved	07/03/2024

### Branch Office Locations

**KINGSWOOD WEALTH ADVISORS, LLC**  
824 S Milledge Ave  
Suite 207  
Athens, GA 30605



## 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, 2 general industry/product exams, and 2 state securities law exams.**

#### Principal/Supervisory Exams

Exam	Category	Date
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No information reported.

#### General Industry/Product Exams

Exam	Category	Date
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Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
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General Securities Representative Examination (S7)	Series 7	04/22/2014
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#### State Securities Law Exams

Exam	Category	Date
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Uniform Combined State Law Examination (S66)	Series 66	04/28/2014
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Uniform Securities Agent State Law Examination (S63)	Series 63	01/16/2003
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### 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
IA	12/06/2019 - 04/02/2025	EUDAIMONIA PARTNERS, LLC	CRD# 283884	Athens, GA
IA	03/10/2017 - 12/13/2019	B RILEY WEALTH MANAGEMENT	CRD# 2543	ATHENS, GA
B	03/08/2017 - 12/13/2019	B. RILEY WEALTH MANAGEMENT	CRD# 2543	ATHENS, GA
IA	05/12/2014 - 03/09/2017	CARSON ADVISORY, INC.	CRD# 117410	ATHENS, GA
B	04/23/2014 - 03/09/2017	RAYMOND JAMES FINANCIAL SERVICES, INC.	CRD# 6694	ATHENS, GA
IA	10/05/2004 - 10/31/2008	AIG RETIREMENT ADVISORS, INC.	CRD# 42803	ATLANTA, GA
B	08/31/2004 - 10/31/2008	AIG RETIREMENT ADVISORS, INC.	CRD# 42803	ATLANTA, GA
B	01/15/2003 - 04/16/2004	EDWARD JONES	CRD# 250	ST. LOUIS, MO

### 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
07/2024 - Present	Kingswood Wealth Advisors	Investment Advisor	Y	Athens, GA, United States
12/2019 - Present	Eudaimonia Partners, LLC	Financial Advisor	Y	Athens, GA, United States
03/2017 - Present	B. Riley Wealth Management, Inc.	Financial Advisor	Y	Memphis, TN, United States
01/2014 - Present	CHASE & JAX, LLC	PROPRIETOR/OWNER	N	ATHENS, GA, United States
03/2014 - 03/2017	RAYMOND JAMES FINANCIAL SERVICES, INC	Financial Advisor	Y	ATHENS, GA, United States



## Registration & Employment History

### 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. CHASE & JAX, LLC, 1061 CREEK FARM RUN BOGART GA 30622, BUSINESS OWNER, NON-INVESTMENT RELATED, 01/2014, 1 HRS PER MONTH DEVOTED TO ACTIVITY, 0 HRS DURING TRADING, USED TO PAY EXPENSES FOR TAXES PURPOSES.

2. RENTAL REAL ESTATE, 203 OCONEE RIVER CIRCLE ATHENS GA 30605, NON-INVESTMENT RELATED, RESIDENTIAL RENTAL PROPERTY, OWNER, 07/2009, 1 HRS PER MONTH, 0 DURING TRADING, I OWN PROPERTY BUT USE A MGMT COMPANY TO HANDLE ADMINISTRATION.

\*\*\*UNIVERSITY PLANNING PARTNERS, INVESTMENT RELATED, 824 S MILLEDGE AVE STE 207 ATHENS GA 30605, MARKETING NAME FOR EUDAIMONIA PARTNERS, LLC, PARTNER/RR, STARTED December 2019.

University Planning Partners, Is Not Investment Related, "824 S. Milledge Ave Suite 207, , Athens, GA, 30605, United States", Insurance, Owner, 3/31/2014, 5 hours per month, 0 hours per month during trading hours, Commission Compensation, I carry my life/health insurance license (GA 507765). I occasionally sell insurance policies when it makes sense to clients' financial plans.



## 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

<b>Reporting Source:</b>	Firm
<b>Employing firm when activities occurred which led to the complaint:</b>	VALIC FINANCIAL ADVISORS
<b>Allegations:</b>	CLIENT ALLEGES THAT HE WAS UNDER THE PRETEXT THAT HIS FUNDS WOULD MORE THAN DOUBLE IN 7 YEARS, AND THAT HE HAD A 7 YEAR PLAN, BUT FOUND OUT LATER THAT HE HAD 10 YEAR PLAN (SURRENDER PERIOD).
<b>Product Type:</b>	Annuity-Variable
<b>Alleged Damages:</b>	\$7,600.00
<b>Is this an oral complaint?</b>	No
<b>Is this a written complaint?</b>	Yes
<b>Is this an arbitration/CFTC reparation or civil litigation?</b>	No

### Customer Complaint Information

<b>Date Complaint Received:</b>	12/10/2014
<b>Complaint Pending?</b>	No
<b>Status:</b>	Denied
<b>Status Date:</b>	12/19/2014
<b>Settlement Amount:</b>	
<b>Individual Contribution Amount:</b>	



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**Reporting Source:** Individual

**Employing firm when activities occurred which led to the complaint:** VALIC FINANCIAL ADVISORS

**Allegations:** CLIENT ALLEGES THAT HE WAS UNDER THE PRETEXT THAT HIS FUNDS WOULD MORE THAN DOUBLE IN 7 YEARS, AND THAT HE HAD A 7 YEAR PLAN, BUT FOUND OUT LATER THAT HE HAD 10 YEAR PLAN (SURRENDER PERIOD).

**Product Type:** Annuity-Variable

**Alleged Damages:** \$7,600.00

**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:** 12/10/2014

**Complaint Pending?** No

**Status:** Denied

**Status Date:** 12/19/2014

**Settlement Amount:**

**Individual Contribution Amount:**

**Broker Statement** I LEFT AIG VALIC ON 10/31/2008 AND WAS NOT A LICENSED ADVISOR AGAIN UNTIL 2014. THE CLIENT WAS REASSIGNED BY VALIC TO CHRIS SCARBOROUGH, WHO IS MENTIONED BY NAME DIRECTLY IN THE COMPLAINT. VALIC WILL HAVE A COPY OF THE ANNUITY TRANSACTION DISCLOSURE FORM THAT WAS SIGNED BY THE CLIENT LISTING ALL TERMS AND CONDITIONS, AS WELL AS WHY THE TRANSACTION WAS APPROPRIATE. I DO NOT BELIEVE THAT THIS COMPLAINT SHOULD HAVE ANYTHING TO DO WITH ME WHATSOEVER AS THE ISSUE OCCURRED 5 YEARS AFTER I LEFT THE SELLING BROKER/DEALER, AND HIS SITUATION OBVIOUSLY CHANGED WHILE I WAS EMPLOYED BY THE UNIVERSITY OF GEORGIA. HE SHOULD HAVE BEEN ABLE TO GET HELP FROM THE ACTIVE ADVISOR.



## End of Report

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