



IAPD Report

PERRY KEITH JEFFRIES III

CRD# 4695547

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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

PERRY KEITH JEFFRIES III (CRD# 4695547)

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 **08/21/2024**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
IA	DIAMOND EQUITY ADVISORS	CRD# 306451	12/17/2019

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	FIRST HEARTLAND CONSULTANTS, INC.	110377	Columbus, OH	07/26/2016 - 10/31/2019
B	FIRST HEARTLAND CAPITAL, INC.	32460	COLUMBUS, OH	07/11/2016 - 10/31/2019
IA	HARDIMAN INVESTMENT MANAGEMENT, INC.	169861	Columbus, OH	09/18/2014 - 07/26/2016

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
Termination	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: **DIAMOND EQUITY ADVISORS**
Main Address: 4200 REGENT STREET, SUITE 200
COLUMBUS, OH 43219
Firm ID#: 306451

	Regulator	Registration	Status	Date
	Louisiana	Investment Adviser Representative	Approved	03/01/2021
	Ohio	Investment Adviser Representative	Approved	12/17/2019
	Texas	Investment Adviser Representative	Restricted Approval	03/12/2021

Branch Office Locations

DIAMOND EQUITY ADVISORS
4200 Regent Street, Suite 200
Columbus, OH 43219



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 1 state securities law exam.

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	10/17/2003
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State Securities Law Exams

Exam	Category	Date
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  Uniform Combined State Law Examination (S66)	Series 66	04/15/2004
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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	07/26/2016 - 10/31/2019	FIRST HEARTLAND CONSULTANTS, INC.	CRD# 110377	Columbus, OH
B	07/11/2016 - 10/31/2019	FIRST HEARTLAND CAPITAL, INC.	CRD# 32460	COLUMBUS, OH
IA	09/18/2014 - 07/26/2016	HARDIMAN INVESTMENT MANAGEMENT, INC.	CRD# 169861	Columbus, OH
B	10/01/2012 - 07/25/2014	J.P. MORGAN SECURITIES LLC	CRD# 79	WESTERVILLE, OH
IA	10/01/2012 - 07/25/2014	J.P. MORGAN SECURITIES LLC	CRD# 79	WESTERVILLE, OH
IA	02/02/2009 - 10/01/2012	CHASE INVESTMENT SERVICES CORP.	CRD# 25574	COLUMBUS, OH
B	01/30/2009 - 10/01/2012	CHASE INVESTMENT SERVICES CORP.	CRD# 25574	COLUMBUS, OH
IA	04/13/2004 - 01/20/2009	UBS FINANCIAL SERVICES INC.	CRD# 8174	COLUMBUS, OH
B	04/12/2004 - 01/20/2009	UBS FINANCIAL SERVICES INC.	CRD# 8174	COLUMBUS, OH
B	02/23/2004 - 03/01/2004	EDWARD JONES	CRD# 250	ST. LOUIS, MO
B	12/18/2003 - 02/26/2004	NYLIFE SECURITIES INC.	CRD# 5167	NEW YORK, NY
IA	10/27/2003 - 11/20/2003	AMERICAN EXPRESS FINANCIAL ADVISORS, INC.	CRD# 6363	COLUMBUS, OH
B	10/20/2003 - 11/20/2003	AMERICAN EXPRESS FINANCIAL ADVISORS INC.	CRD# 6363	MINNEAPOLIS, MN
B	10/20/2003 - 11/20/2003	IDS LIFE INSURANCE COMPANY	CRD# 6321	MINNEAPOLIS, MN

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
11/2019 - Present	DIAMOND EQUITY ADVISORS, LLC	PRESIDENT, CCO	Y	Columbus, OH, United States



Registration & Employment History

EMPLOYMENT HISTORY

Employment Dates	Employer Name	Position	Investment Related	Employer Location
07/2016 - Present	HARDIMAN INVESTMENT MANAGEMENT INC	REGISTERED INVESTMENT ADVISOR REP	Y	COLUMBUS, OH, United States
07/2013 - Present	PHY-NANCIALLY FIT LLC	CEO / FOUNDER	N	COLUMBUS, OH, United States
04/2013 - Present	ISAGENIX DBA PHY-NANCIALLY FIT	MARKETING	N	CHANDLER, AZ, United States
07/2016 - 10/2019	FIRST HEARTLAND CAPITAL INC	REGISTERED REP	Y	LAKE ST LOUIS, MO, 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.

ISAGENIX DBA PHY-NANCIALLY FIT
 2225 CHANDLER, ARIZONA 85286
 MARKETING NUTRITIONAL SUPPLEMENTS AND COACHING AND DEVELOPMENT OF NEWER REPS. STARTED 04/26/2013 INDEFINITE TERM. 5-10 HOURS A WEEK. PROVIDE HEALTH AND WELLNESS SOLUTIONS THROUGH DIRECT SELLING OF NUTRITIONAL SUPPLEMENTS.

PHY-NANCIALLY FIT LLC.
 WEB-BASED COMPANY PROVIDING HEALTH AND MONEY MANAGEMENT ADVICE AND EDUCATION.

LIFETIME FITNESS PERSONAL TRAINER. PART TIME EVENINGS AND SATURDAYS. NO MORE THAN 18 HRS. PER WEEK

INSURANCE SALES LINCOLN HERTIAGE, ALLIANZ, MASS MUTUAL.

Stone Gate Properties LLC; Owner; Investment Related; Location: 7325 Stone Gate Drive New Albany OH 43054; Description: LLC set up to Acquire Rental Properties ; Responsibilities Duties: Acquire and Finance Real-Estate Properties ; Start date: 2024-01-27; Hours per month devoted to business during trading hours: 0; Hours per month devoted to business outside trading hours: 10; Percentage of total yearly compensation expected to be derived from the business: 5.



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
Termination	1

Customer Dispute

This section provides information regarding a customer dispute that was reported to the Investment Adviser Registration Depository (IARD) by the Investment Adviser Representative (IAR), an investment adviser and/or securities firm, and/or a securities regulator. The event may include a consumer-initiated, investment-related complaint, arbitration proceeding or civil suit that contains allegations of sales practice violations against the individual.

The customer dispute may be pending or may have resulted in a civil judgment, arbitration award, monetary settlement, closure without action, withdrawal, dismissal, denial, or other outcome.

Disclosure 1 of 1

Reporting Source: Firm

Employing firm when activities occurred which led to the complaint: UBS FINANCIAL SERVICES INC.

Allegations: TIME FRAME: AUGUST 28, 2008 - SEPTEMBER 19, 2008
CLIENT ALLEGES HER FINANCIAL ADVISOR MISREPRESENTED THE TEN DAY FREE LOOK PERIOD BY PRESENTING IT AS IF SHE WOULD RECEIVE HER INITIAL PREMIUM BACK IF THE CONTRACT WAS RETURNED WITHIN 10 DAYS. CLIENT FURTHER ALLEGES THAT HER FINANCIAL ADVISOR FAILED TO DISCLOSE TO HER THAT THE INITIAL PREMIUM MAY BE AT RISK AND THAT THE ANNUITY COMPANY MAY REFUND HER NET MARKET FLUCTUATIONS. CLIENT STATES SHE WAS TOLD THIS WAS A NO RISK OPTION AS LONG AS THE CONTRACT WAS RETURNED WITHIN THE 10 DAY PERIOD AND WAS NEVER PRESENTED WITH A WAIVER TO SIGN WHICH EXPLAINED THE CONDITIONS.

Product Type: Other: ANNUITIES

Alleged Damages: \$5,000.00

Alleged Damages Amount Explanation (if amount not exact): ALLEGED DAMAGES ESTIMATED TO BE IN EXCESS OF \$5,000

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: 09/19/2008

Complaint Pending? No

Status: Settled

Status Date: 12/01/2008

Settlement Amount: \$24,566.47

Individual Contribution Amount: \$0.00

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: UBS FINANCIAL SERVICES INC

Allegations: TIME FRAME: AUGUST 28, 2008 - SEPTEMBER 19, 2008 CLIENT ALLEGES HER FINANCIAL ADVISOR MISREPRESENTED THE TEN DAY FREE LOOK PERIOD BY PRESENTING IT AS IF SHE WOULD RECEIVE HER INITIAL PREMIUM BACK IF THE CONTRACT WAS RETURNED WITHIN 10 DAYS. CLIENT FURTHER ALLEGES THAT HER FINANCIAL ADVISOR FAILED TO DISCLOSE TO HER THAT THE INITIAL PREMIUM MAY BE AT RISK AND THAT THE ANNUITY COMPANY MAY REFUND HER NET MARKET FLUCTUATIONS. CLIENT STATES SHE WAS TOLD THIS WAS A NO RISK OPTION AS LONG AS THE CONTRACT WAS RETURNED WITHIN THE 10 DAY PERIOD AND WAS NEVER PRESENTED WITH A WAIVER TO SIGN WHICH EXPLAINED THE CONDITIONS.

Product Type: Other: ANNUITIES

Alleged Damages: \$5,000.00

Alleged Damages Amount Explanation (if amount not exact): ALLEGED DAMAGES ESTIMATED TO BE IN EXCESS OF \$5,000

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: 09/19/2008

Complaint Pending? No

Status: Settled

Status Date: 12/01/2008

Settlement Amount: \$24,566.47

Individual Contribution Amount: \$0.00



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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 1

Reporting Source: Firm
Firm Name: J.P. MORGAN SECURITIES LLC
Termination Type: Discharged
Termination Date: 07/08/2014
Allegations: REGISTERED REP FAILED TO REPORT REQUIRED FINANCIAL DISCLOSURES ON HIS FORM U4.
Product Type: No Product

Reporting Source: Individual
Firm Name: JPMORGAN CHASE
Termination Type: Discharged
Termination Date: 07/08/2009
Allegations: FIRM ALLEGES THAT REP FAILED TO REPORT FINANCIAL DISCLOSURES CONCERNING PREVIOUS REAL-ESTATE
Product Type: Other: ALLEGED THAT I DIDN'T REPORT OUTSIDE BUSINESS ACTIVITY
Broker Statement I DISCLOSED TO THE FIRM THAT I HAD PREVIOUS REAL-ESTATE HOLDINGS AND WHEN I WAS NO LONGER INVOLVED IN REAL-ESTATE. I WAS TERMINATED ON THE GROUNDS OF NOT REPORTING ALL OF MY INDIVIDUAL REAL-ESTATE TRANSACTIONS



End of Report

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