



## IAPD Report

# MATTHEW MARTIN JEHN

CRD# 4864985

<b><u>Section Title</u></b>	<b><u>Page(s)</u></b>
Report Summary	1
Qualifications	2 - 3
Registration and Employment History	4 - 5
Disclosure Information	6



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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

### MATTHEW MARTIN JEHN (CRD# 4864985)

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 **06/07/2021**.

### CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
IA	ROYAL OAK FINANCIAL GROUP	CRD# 166391	02/26/2013

### 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
B	CAPITAL CITY SECURITIES, LLC	146001	Worthington, OH	08/11/2014 - 11/02/2015
B	WRP INVESTMENTS, INC.	7365	WORTHINGTON, OH	03/15/2010 - 03/08/2013
IA	WRP INVESTMENTS, INC.	7365	WORTHINGTON, OH	03/15/2010 - 03/08/2013

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
Criminal	3
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 **2** jurisdiction(s) and **0** SRO(s) through his or her employer(s).

#### Employment 1 of 1

Firm Name: **ROYAL OAK FINANCIAL GROUP**  
Main Address: 5858 HIGH STREET  
WORTHINGTON, OH 43085  
Firm ID#: 166391

	Regulator	Registration	Status	Date
IA	Florida	Investment Adviser Representative	Approved	04/12/2019
IA	Ohio	Investment Adviser Representative	Approved	02/26/2013

#### Branch Office Locations

**ROYAL OAK FINANCIAL GROUP**  
5858 HIGH STREET  
WORTHINGTON, OH 43085




## 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, 2 general industry/product exams, and 1 state securities law exam.**



#### Principal/Supervisory Exams

Exam	Category	Date
 General Securities Principal Examination (S24)	Series 24	07/13/2009

#### General Industry/Product Exams

Exam	Category	Date
 Securities Industry Essentials Examination (SIE)	SIE	11/02/2015
 General Securities Representative Examination (S7)	Series 7	02/17/2005

#### State Securities Law Exams

Exam	Category	Date
  Uniform Combined State Law Examination (S66)	Series 66	11/10/2006

### 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	08/11/2014 - 11/02/2015	CAPITAL CITY SECURITIES, LLC	CRD# 146001	Worthington, OH
B	03/15/2010 - 03/08/2013	WRP INVESTMENTS, INC.	CRD# 7365	WORTHINGTON, OH
IA	03/15/2010 - 03/08/2013	WRP INVESTMENTS, INC.	CRD# 7365	WORTHINGTON, OH
IA	10/04/2007 - 03/02/2010	H. BECK, INC.	CRD# 1763	WORTHINGTON, OH
B	10/01/2007 - 03/02/2010	H. BECK, INC.	CRD# 1763	WORTHINGTON, OH
B	03/23/2006 - 10/09/2007	WELLSTONE SECURITIES, LLC	CRD# 121559	CUMMING, GA
B	02/18/2005 - 03/31/2006	PARK AVENUE SECURITIES LLC	CRD# 46173	DUBLIN, OH

#### 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
12/2012 - Present	ROYAK OAK FINANCIAL GROUP	MANAGING MEMBER	Y	WORTHINGTON, OH, United States
03/2010 - Present	WRP INVESTMENTS, INC.	REGISTERED REPRESENTATIVE	Y	YOUNGSTOWN, OH, United States
02/2004 - Present	JEHN FINANCIAL	OWNER	Y	WORTHINGTON, OH, 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.

Y.O.U. ACCOUNTING  
510 B HIGH ST  
WORTHINGTON, OH 43085  
LLC  
TAXES, BOOK KEEPING, PAYROLL  
PRESIDENT



## Registration & Employment History



### OTHER BUSINESS ACTIVITIES

TIME SPENT: 10%  
COMP: FEES

REJUVENATE YOUR RETIREMENT INSTRUCTOR  
510 B HIGH STREET  
WORTHINGTON, OH 43085  
LLC  
RETIREMENT WORKSHOPS  
INSTRUCTOR  
TIME SPENT: 4 TIMES A YEAR  
COMP: REGISTRATION FEES

TAX PREP - ROYAL OAK FINANCIAL GROUP  
LLC  
TAX PREP MANAGER  
TIME SPENT: 5% JAN-APRIL  
COMP: \$10,000 CHECK TO FIRM

ROYAL OAK FINANCIAL GROUP  
510 B HIGH ST  
WORTHINGTON OH 43085  
LLC  
INSURANCE ADVISOR  
TIME SPENT: 100%  
COMP: COMMISSIONS FEES

RENTAL PROPERTY  
JKF PROPERTIES  
2581 GLEN ECHO  
COLUMBUS OH 43221  
LLC  
REAL ESTATE  
VICE PRESIDENT  
TIME SPENT: 0%  
COMP: RENT \$10,200 ANNUALLY



## 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
Criminal	3
Customer Dispute	1
Termination	1

### 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 3

<b>Reporting Source:</b>	Individual
<b>Formal Charges were brought in:</b>	State Court
<b>Name of Court:</b>	FRANKLIN COUNTY CLERK OF COURTS
<b>Location of Court:</b>	COLUMBUS OHIO
<b>Docket/Case #:</b>	90CR000880
<b>Charge Date:</b>	01/12/1987
<b>Charge(s) 1 of 1</b>	
<b>Formal Charge(s)/Description:</b>	KIDNAPPING RAPE
<b>No of Counts:</b>	2
<b>Felony or Misdemeanor:</b>	Felony
<b>Plea for each charge:</b>	NOT GUILTY
<b>Disposition of charge:</b>	Reduced
<b>Date of Amended Charge:</b>	11/04/1990
<b>Charge was Amended or reduced to:</b>	REDUCED TO MISDEMEANOR
<b>Amended No of Counts:</b>	1
<b>Amended Charge:</b>	Misdemeanor
<b>Amended Plea:</b>	GUILTY



**Disposition of Amended Charge:** Pled guilty

**Current Status:** Final

**Status Date:** 07/08/1987

**Disposition Date:** 11/14/1990

**Sentence/Penalty:** 2 YEARS PROBATION, RELEASED AFTER 2 MONTHS

**Broker Statement** THE REPORTED ACTIVITIES TOOK PLACE WHEN I WAS A TEENAGER - WELL OVER 35 YEARS AGO. I DID THEN AND STILL NOW TAKE FULL RESPONSIBILITY FOR MY ACTIONS, WHICH WERE THE RESULT OF THE DECISION-MAKING OF A MISGUIDED AND IMMATURE YOUNG MAN.

**Disclosure 2 of 3**

**Reporting Source:** Individual

**If charge(s) were brought against an organization over which individual exercised control:**

**Organization Name:**

**Investment Related Business:** No

**Position:**

**Formal Charges were brought in:** OHIO FRANKLIN COUNTY

**Name of Court:** FRANKLIN COUNTY CLERK OF COURTS

**Location of Court:** COLUMBUS OHIO

**Docket/Case #:** 90CR000880

**Charge Date:** 02/14/1990

**Charge(s) 1 of 1**

**Formal Charge(s)/Description:** KIDNAPPING RAPE

**No of Counts:** 2

**Felony or Misdemeanor:** Felony

**Plea for each charge:** NOT GUILTY

**Disposition of charge:** Reduced

**Date of Amended Charge:** 11/04/1990

**Charge was Amended or reduced to:** ATTEMPTED GSI MISDEMEANOR 1, MISDEMEANOR

**Amended No of Counts:** 1

**Amended Charge:** Misdemeanor

**Amended Plea:** GUILTY



<b>Disposition of Amended Charge:</b>	Pled guilty
<b>Current Status:</b>	Final
<b>Status Date:</b>	11/14/1990
<b>Disposition Date:</b>	11/14/1990
<b>Sentence/Penalty:</b>	2 YEARS PROBATION, RELEASED AFTER 2 MONTHS
<b>Broker Statement</b>	THE REPORTED ACTIVITIES TOOK PLACE OVER 30 YEARS AGO. I WAS CHARGED WITH RAPE AND KIDNAPPING AS A RESULT OF DATING A 15 YEAR OLD WHOSE PARENTS DID NOT APPROVE. ON THE ADVICE OF MY LAWYER AT THAT TIME, I PLED GUILTY TO A MISDEMEANOR. I DID THEN AND STILL NOW TAKE FULL RESPONSIBILITY FOR MY ACTIONS, WHICH WERE THE RESULT OF THE DECISION-MAKING OF A MISGUIDED AND IMMATURE YOUNG MAN.
<b>Disclosure 3 of 3</b>	
<b>Reporting Source:</b>	Individual
<b>Formal Charges were brought in:</b>	State Court
<b>Name of Court:</b>	FRANKLIN COURT
<b>Location of Court:</b>	COLUMBUS, OHIO
<b>Docket/Case #:</b>	86 CR 11 3748
<b>Charge Date:</b>	06/21/1985
<b>Charge(s) 1 of 1</b>	
<b>Formal Charge(s)/Description:</b>	2 COUNTS FELONIES ASSAULT, 1 COUNT THEFT.
<b>No of Counts:</b>	3
<b>Felony or Misdemeanor:</b>	Felony
<b>Plea for each charge:</b>	PLED GUILTY TO 1 COUNT OF FELONY ASSAULT
<b>Disposition of charge:</b>	Pled guilty
<b>Current Status:</b>	Final
<b>Status Date:</b>	01/16/1986
<b>Disposition Date:</b>	07/08/1987
<b>Sentence/Penalty:</b>	3 - 10 YEARS. 5 YEARS SHOCK PROBATION.
<b>Broker Statement</b>	THE REPORTED ACTIVITIES TOOK PLACE WHEN I WAS A TEENAGER - WELL OVER 35 YEARS AGO. I DID THEN AND STILL NOW TAKE FULL RESPONSIBILITY FOR MY ACTIONS, WHICH WERE THE RESULT OF THE DECISION-MAKING OF A MISGUIDED AND IMMATURE YOUNG MAN.



### 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:** H. BECK, INC.

**Allegations:** THE COMPLIANT STATES THAT THE REP PUT THE CLIENT INTO UNSUITABLE INVESTMENTS.

**Product Type:** Equity Listed (Common & Preferred Stock)

**Alleged Damages:** \$130,000.00

**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:** 04/05/2010

**Complaint Pending?** No

**Status:** Settled

**Status Date:** 08/17/2010

**Settlement Amount:** \$100,000.00

**Individual Contribution Amount:** \$3,750.00

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**Reporting Source:** Individual

**Employing firm when activities occurred which led to the complaint:** H. BECK, INC.

**Allegations:** THE COMPLAINT STATES THAT THE REP PUT THE CLIENT INTO UNSUITABLE INVESTMENTS.

**Product Type:** Equity Listed (Common & Preferred Stock)

**Alleged Damages:** \$130,000.00

**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



<b>Date Complaint Received:</b>	04/05/2010
<b>Complaint Pending?</b>	No
<b>Status:</b>	Settled
<b>Status Date:</b>	08/17/2010
<b>Settlement Amount:</b>	\$100,000.00
<b>Individual Contribution Amount:</b>	\$3,750.00
<b>Broker Statement</b>	THE CLIENT COMPLAINT STEMS FROM AN OPTION TRANSACTION THAT WAS VERBALLY AUTHORIZED BUT THE OPTIONS AGREEMENT WAS NOT SIGNED.



## 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:** PARK AVEUNUE SECURITIES  
**Termination Type:** Discharged  
**Termination Date:** 03/06/2006  
**Allegations:** MR. JEHN VIOLATED PAS POLICY GOVERNING THE SALE OF EQUITY INDEXED ANNUITIES WHEN HE SOLD AN EIA NOT ON THE FIRM'S APPROVED PRODUCT LIST.  
**Product Type:** Other  
**Other Product Types:** EQUITY INDEXED ANNUITY

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**Reporting Source:** Individual  
**Firm Name:** PARK AVENUE SECURITIES, LLC  
**Termination Type:** Discharged  
**Termination Date:** 03/06/2006  
**Allegations:** MR. JEHN VIOLATED FIRM POLICY GOVERNING THE SALE OF EQUITY INDEXED ANNUITIES WHEN HE SOLD AN EIA NOT OF THE FIRM'S APPROVED PRODUCT LIST.  
**Product Type:** Annuity-Fixed

**Broker Statement** THE TERMINATION WAS VOLUNTARY, BUT AFTER I RESIGNED, THE FIRM IMPROPERLY MARKED IT AS TERMINATION FOR CAUSE BECAUSE I HAD PLACED A CLIENT INTO A FIXED ANNUITY AS A DISCLOSED OUTSIDE BUSINESS ACTIVITY. MY OSJ AT THE TIME AUTHORIZED ME TO SELL THE ANNUITY AS A DISCLOSED OUTSIDE BUSINESS ACTIVITY. THERE WAS NO CUSTOMER COMPLAINT, AND THE CLIENT REMAINS PLEASED WITH THE PRODUCT.



## End of Report

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