



## IAPD Report

# CURTIS LEE YOURKIEVITZ

CRD# 4903858

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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

### CURTIS LEE YOURKIEVITZ (CRD# 4903858)

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 **04/28/2026**.

### CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
<b>B</b>	J.W. COLE FINANCIAL, INC.	CRD# 124583	02/17/2009
<b>IA</b>	J. W. COLE ADVISORS, INC.	CRD# 112294	04/01/2009

### QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **28** 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>B</b>	MONEY CONCEPTS CAPITAL CORP	12963	SAINT PETERSBURG, FL	07/08/2008 - 12/10/2008
<b>IA</b>	NJR INVESTMENT ADVISORY, INC.	145226	TAMPA, FL	04/11/2008 - 05/12/2008
<b>IA</b>	INTERSECURITIES, INC.	16164	TAMPA, FL	10/18/2006 - 04/17/2008

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

### Employment 1 of 2

Firm Name: **J.W. COLE FINANCIAL, INC.**  
Main Address: 4301 ANCHOR PLAZA PARKWAY  
SUITE 450  
TAMPA, FL 33634  
Firm ID#: 124583

Regulator	Registration	Status	Date
<b>B</b> FINRA	General Securities Representative	Approved	02/17/2009
<b>B</b> FINRA	Invest. Co and Variable Contracts	Approved	02/17/2009
<b>B</b> Alabama	Agent	Approved	04/28/2026
<b>B</b> Arizona	Agent	Approved	04/26/2018
<b>B</b> California	Agent	Approved	05/11/2015
<b>B</b> Colorado	Agent	Approved	03/13/2013
<b>B</b> Connecticut	Agent	Approved	04/23/2018
<b>B</b> Delaware	Agent	Approved	04/26/2017
<b>B</b> Florida	Agent	Approved	04/01/2009
<b>B</b> Georgia	Agent	Approved	07/06/2012
<b>B</b> Illinois	Agent	Approved	06/08/2018
<b>B</b> Indiana	Agent	Approved	01/26/2026
<b>B</b> Maryland	Agent	Approved	10/07/2016



### Qualifications

Regulator	Registration	Status	Date
<b>B</b> Massachusetts	Agent	Approved	04/21/2015
<b>B</b> Michigan	Agent	Approved	08/02/2011
<b>B</b> Minnesota	Agent	Approved	01/21/2015
<b>B</b> Mississippi	Agent	Approved	10/12/2022
<b>B</b> New Hampshire	Agent	Approved	05/29/2018
<b>B</b> New Jersey	Agent	Approved	03/25/2013
<b>B</b> New York	Agent	Approved	06/12/2013
<b>B</b> North Carolina	Agent	Approved	02/23/2009
<b>B</b> Ohio	Agent	Approved	01/03/2017
<b>B</b> Oregon	Agent	Approved	09/05/2018
<b>B</b> Pennsylvania	Agent	Approved	06/20/2012
<b>B</b> South Carolina	Agent	Approved	09/17/2025
<b>B</b> Tennessee	Agent	Approved	04/23/2018
<b>B</b> Texas	Agent	Approved	09/26/2014
<b>B</b> Virginia	Agent	Approved	11/22/2016
<b>B</b> Washington	Agent	Approved	01/10/2023
<b>B</b> Wisconsin	Agent	Approved	09/01/2022

### Branch Office Locations

3001 COUNTRYSIDE BOULEVARD



### Qualifications

CLEARWATER, FL 33761

#### Employment 2 of 2

Firm Name: **J. W. COLE ADVISORS, INC.**  
 Main Address: 4301 ANCHOR PLAZA PARKWAY  
 SUITE 450  
 TAMPA, FL 33634  
 Firm ID#: 112294

Regulator	Registration	Status	Date
IA Florida	Investment Adviser Representative	Approved	04/01/2009
IA Texas	Investment Adviser Representative	Restricted Approval	10/22/2025

#### Branch Office Locations

**J. W. COLE ADVISORS, INC.**  
 3001 COUNTRYSIDE BOULEVARD  
 CLEARWATER, FL 33761

**J. W. COLE ADVISORS, INC.**  
 4301 ANCHOR PLAZA PARKWAY  
 SUITE 450  
 TAMPA, FL 33634



## 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, 3 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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<b>B</b> Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
<b>B</b> General Securities Representative Examination (S7)	Series 7	08/29/2006
<b>B</b> Investment Company Products/Variable Contracts Representative Examination (S6)	Series 6	01/21/2005

#### State Securities Law Exams

Exam	Category	Date
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<b>IA</b> Uniform Investment Adviser Law Examination (S65)	Series 65	10/02/2006
<b>B</b> Uniform Securities Agent State Law Examination (S63)	Series 63	01/31/2005

### 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	07/08/2008 - 12/10/2008	MONEY CONCEPTS CAPITAL CORP	CRD# 12963	SAINT PETERSBURG, F
IA	04/11/2008 - 05/12/2008	NJR INVESTMENT ADVISORY, INC.	CRD# 145226	TAMPA, FL
IA	10/18/2006 - 04/17/2008	INTERSECURITIES, INC.	CRD# 16164	TAMPA, FL
B	09/08/2005 - 04/17/2008	INTERSECURITIES, INC.	CRD# 16164	TAMPA, FL
B	01/24/2005 - 09/08/2005	CAPITAL INVESTMENT GROUP, INC.	CRD# 14752	RALEIGH, NC

### 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
02/2009 - Present	J.W. COLE FINANCIAL, INC.	REGISTERED REPRESENTATIVE	Y	TAMPA, FL, United States
02/2009 - Present	J.W. Cole Advisory, Inc	INVESTMENT ADVISOR REPRESENTATIVE	Y	TAMPA, FL, 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) FIXED/INDEXED INSURANCE; 40 HRS/MONTH.

(2) Scouting America (Formerly Boy Scouts of America); Not Investment Related; 1325 W Walnut Hill Lane, Irving TX, 75038; Boy Scouts (Camping, Meetings, etc); Assistant Scout Master; Start 1/1/2021; 0 hours/month during trading.

(3) Vanhorenbeck Financial Group; DBA; 3001 Countryside Boulevard, Clearwater FL 33761;



## 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
Customer Dispute	1
Termination	1

### 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

<b>Reporting Source:</b>	Regulator
<b>Regulatory Action Initiated By:</b>	FLORIDA
<b>Sanction(s) Sought:</b>	Other: N/A
<b>Date Initiated:</b>	04/01/2009
<b>Docket/Case Number:</b>	0413-S-1/09
<b>URL for Regulatory Action:</b>	
<b>Employing firm when activity occurred which led to the regulatory action:</b>	INTERSECURITIES, INC.
<b>Product Type:</b>	No Product
<b>Allegations:</b>	UNAUTHORIZED TRADING
<b>Current Status:</b>	Final
<b>Resolution:</b>	Stipulation and Consent
<b>Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct?</b>	No
<b>Resolution Date:</b>	04/01/2009



<b>Sanctions Ordered:</b>	Cease and Desist Other: ASSOCIATED PERSON REQUIRED TO BE PLACED ON HEIGHTENED SUPERVISION WITH EMPLOYING BROKER DEALER AND INVESTMENT ADVISER
<b>Regulator Statement</b>	ON APRIL 1, 2009, FLORIDA ENTERED A STIPULATION AND CONSENT AGREEMENT ADOPTED BY FINAL ORDER IN THE MATTER OF CURTIS LEE YOURKIEVITZ. YOURKIEVITZ NEITHER ADMINTTED NOR DENIED THE FINDINGS BUT CONSENTED TO THE ENTRY OF FINDINGS BY THE OFFICE. THE OFFICE FOUND THAT YOURKIEVITZ MADE UNAUTHORIZED TRADES IN THIRTEEN CUSTOMER ACCOUNTS IN VIOLATION OF CH. 517.161(1)(H), F.S., AND RULE 69W-600.0013(2)(H), F.A.C., WHICH INCORPORATE THE OBLIGATION TO OBSERVE HIGH STANDARDS OF COMMERCIAL HONOR AND JUST AND EQUITABLE PRINCIPLES OF TRADE SET FORTH IN NASD RULE 2110.
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<b>Reporting Source:</b>	Individual
<b>Regulatory Action Initiated By:</b>	STATE OF FLORIDA OFFICE OF FINANCIAL REGULATION
<b>Sanction(s) Sought:</b>	Other: HEIGHTENED SUPERVISION FOR A PERIOD OF TWO YEARS
<b>Date Initiated:</b>	04/01/2009
<b>Docket/Case Number:</b>	0413-S-1/09
<b>Employing firm when activity occurred which led to the regulatory action:</b>	INTERSECURITIES, INC.
<b>Product Type:</b>	Annuity-Variable Mutual Fund
<b>Allegations:</b>	YOURKIEVITZ WORKED CLOSELY WITH ANOTHER BROKER WHO RESIGNED FROM THEIR BROKER DEALER, YET CONTINUED TO ACT AS INVESTMENT ADVISOR TO CLIENTS DIRECTING DISCRETIONARY TRADES THROUGH YOURKIEVITZ WHO BECAME SOLE BROKER OF RECORD. AS A RESULT, YOURKIEVITZ WAS ACCUSED OF UNAUTHORIZED TRADING.
<b>Current Status:</b>	Final
<b>Resolution:</b>	Stipulation and Consent
<b>Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct?</b>	No
<b>Resolution Date:</b>	04/01/2009
<b>Sanctions Ordered:</b>	Prohibition
<b>Broker Statement</b>	REPRESENTATIVE DID NOT BENEFIT MONETARILY FROM THE TRADES AS THE TICKET CHARGES EXCEEDED COMMISSIONS EARNED. WITHOUT ADMITTING OR DENYING THE FINDINGS OF THE STATE, AND IN THE INTEREST OF EXPEDIENCY, REPRESENTATIVE ACCEPTED THE STATE'S STIPULATION AND CONSENT AGREEMENT ON MARCH 30, 2009. THE ACTIVE TERMS OF THE AGREEMENT EXPIRE ON APRIL 1, 2011. REPRESENTATIVE COMPLETED THE TWO YEAR REQUIRED HEIGHTENED SUPERVISION WITH NO ISSUES OF CONCERN. THE STATE OF FLORIDA



GRANTED RELIEF FROM THE CONSENT ORDER ON APRIL 1, 2011.  
REPRESENTATIVE IS NO LONGER SUBJECT TO THE HEIGHTENED  
SUPERVISION REQUIREMENTS OF THE CONSENT ORDER.



## 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>	Individual
<b>Employing firm when activities occurred which led to the complaint:</b>	J.W. Cole Financial, Inc.
<b>Allegations:</b>	Client alleges \$7,000 loss as a result of poor advice from RR.
<b>Product Type:</b>	Other: Managed Account
<b>Alleged Damages:</b>	\$7,000.00
<b>Alleged Damages Amount Explanation (if amount not exact):</b>	Client stated he had losses of more than \$7,000.00.
<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>	02/28/2020
<b>Complaint Pending?</b>	No
<b>Status:</b>	Denied
<b>Status Date:</b>	04/03/2020
<b>Settlement Amount:</b>	
<b>Individual Contribution Amount:</b>	



## 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:** INTERSECURITIES, INC.  
**Termination Type:** Permitted to Resign  
**Termination Date:** 04/08/2008  
**Allegations:** THE REPRESENTATIVE WAS PERMITTED TO RESIGN AMID ALLEGATIONS OF UNAUTHORIZED TRADING.  
**Product Type:** Annuity(ies) - Variable  
**Other Product Types:**

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**Reporting Source:** Individual  
**Firm Name:** INTERSECURITIES, INC.  
**Termination Type:** Permitted to Resign  
**Termination Date:** 04/08/2008  
**Allegations:** THE REPRESENTATIVE WAS PERMITTED TO RESIGN AMID ALLEGATIONS OF UNAUTHORIZED TRADING.  
**Product Type:** Annuity(ies) - Variable  
**Other Product Types:**



## End of Report

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