



IAPD Report

JASON JUDE DAEGER

CRD# 4999504

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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 JUDE DAEGER (CRD# 4999504)

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 **12/08/2025**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	RAYMOND JAMES FINANCIAL SERVICES, INC.	CRD# 6694	09/15/2008
IA	RAYMOND JAMES FINANCIAL SERVICES ADVISORS, INC	CRD# 149018	02/23/2017

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **14** 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	RAYMOND JAMES FINANCIAL SERVICES ADVISORS, INC	149018	LOUISVILLE, KY	01/02/2009 - 03/31/2011
IA	RAYMOND JAMES FINANCIAL SERVICES	6694	LOUISVILLE, KY	09/24/2008 - 01/02/2009
IA	CHASE INVESTMENT SERVICES CORP.	25574	CLARKSVILLE, IN	05/28/2008 - 07/17/2008

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



Report Summary



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

Employment 1 of 2

Firm Name: **RAYMOND JAMES FINANCIAL SERVICES, INC.**
Main Address: 880 CARILLON PARKWAY
ST. PETERSBURG, FL 33716
Firm ID#: 6694

	Regulator	Registration	Status	Date
B	FINRA	General Securities Representative	Approved	09/15/2008
B	FINRA	Invest. Co and Variable Contracts	Approved	09/15/2008
B	Alabama	Agent	Approved	08/02/2022
B	Arizona	Agent	Approved	11/14/2024
B	Florida	Agent	Approved	08/17/2016
B	Illinois	Agent	Approved	04/05/2022
B	Indiana	Agent	Approved	09/16/2008
B	Kentucky	Agent	Approved	09/16/2008
B	Michigan	Agent	Approved	10/04/2019
B	North Carolina	Agent	Approved	03/05/2021
B	Ohio	Agent	Approved	03/22/2017
B	Oklahoma	Agent	Approved	06/07/2013
B	South Carolina	Agent	Approved	01/06/2022



Qualifications

Regulator	Registration	Status	Date
B Tennessee	Agent	Approved	12/09/2025
B Texas	Agent	Approved	02/06/2017
B Wisconsin	Agent	Approved	04/09/2020

Branch Office Locations

RAYMOND JAMES FINANCIAL SERVICES
 227 E. LEWIS & CLARK PKWY
 CLARKSVILLE, IN 47129

RAYMOND JAMES FINANCIAL SERVICES
 6317 W HIGHWAY 146
 CRESTWOOD, KY 40014

RAYMOND JAMES FINANCIAL SERVICES
 515 S FIRST STREET
 LA GRANGE, KY 40031

RAYMOND JAMES FINANCIAL SERVICES
 9400 BROWNSBORO ROAD
 LOUISVILLE, KY 40241

RAYMOND JAMES FINANCIAL SERVICES
 3230 E. HWY. 62
 JEFFERSONVILLE, IN 47130

Employment 2 of 2

Firm Name: **RAYMOND JAMES FINANCIAL SERVICES ADVISORS, INC**
 Main Address: 880 CARILLON PARKWAY
 SAINT PETERSBURG, FL 33716
 Firm ID#: 149018

Regulator	Registration	Status	Date
IA Indiana	Investment Adviser Representative	Approved	03/14/2017
IA Kentucky	Investment Adviser Representative	Approved	02/23/2017

Branch Office Locations

RAYMOND JAMES FINANCIAL SERVICES ADVISORS, INC
 227 E. LEWIS & CLARK PKWY
 CLARKESVILLE, IN 47129

RAYMOND JAMES FINANCIAL SERVICES ADVISORS, IN
 9400 Brownsboro Road
 Louisville, KY 40241

RAYMOND JAMES FINANCIAL SERVICES ADVISORS, INC
 6317 W. Highway 146
 Crestwood, KY 40014

RAYMOND JAMES FINANCIAL SERVICES ADVISORS, IN
 515 S. First Street
 La Grange, KY 40031



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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Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
General Securities Representative Examination (S7)	Series 7	07/19/2006
Investment Company Products/Variable Contracts Representative Examination (S6)	Series 6	08/03/2005

State Securities Law Exams

Exam	Category	Date
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Uniform Investment Adviser Law Examination (S65)	Series 65	01/13/2017
Uniform Securities Agent State Law Examination (S63)	Series 63	08/10/2005

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	01/02/2009 - 03/31/2011	RAYMOND JAMES FINANCIAL SERVICES ADVISORS, INC	CRD# 149018	LOUISVILLE, KY
IA	09/24/2008 - 01/02/2009	RAYMOND JAMES FINANCIAL SERVICES	CRD# 6694	LOUISVILLE, KY
IA	05/28/2008 - 07/17/2008	CHASE INVESTMENT SERVICES CORP.	CRD# 25574	CLARKSVILLE, IN
B	08/04/2005 - 07/17/2008	CHASE INVESTMENT SERVICES CORP.	CRD# 25574	CLARKSVILLE, IN

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
08/2018 - Present	Stock Yards Bank & Trust	Officer-Vice President	Y	Clarksville, IN, United States
01/2009 - Present	RAYMOND JAMES FINANCIAL SERVICES ADVISORS, INC	IAR	Y	CLARKESVILLE, IN, United States
09/2008 - Present	RAYMOND JAMES FINANCIAL SERVICES, INC	FINANCIAL ADVISOR	Y	CLARKESVILLE, IN, 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)Name of Business: Stock Yards Financial Services Address: 227 E Lewis & Clark Pkwy, Clarksville, IN, 47129, United States Activity Type: Support Company - Non Owner Position/Title: Associate/Employee Investment Related: No Start Date: 09/03/2021 Hours per month devoted to this business: 81+ Hours per month devoted to this business during trading hours: 81+ Description of duties: Financial Advisor

(2)Name of Business: Stock yards investment services Address: 227 E Lewis & Clark Pkwy, Clarksville, IN, 47172, United States Activity Type: Support Company - Non Owner Position/Title: Officer - Vice President Investment Related: No Start Date: 08/01/2018 Hours per month devoted to this business: 81+ Hours per month devoted to this business during trading hours: 41+ Description of duties: assist clients with long term financial planning.



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

Reporting Source:	Regulator
Regulatory Action Initiated By:	FINRA
Sanction(s) Sought:	Other: N/A
Date Initiated:	06/15/2009
Docket/Case Number:	2008014243001
Employing firm when activity occurred which led to the regulatory action:	CHASE INVESTMENT SERVICES CORP.
Product Type:	Mutual Fund
Allegations:	NASD RULE 2110 - JASON J. DAEGER ATTEMPTED TO SETTLE A CUSTOMER COMPLAINT BY MAKING A \$1,500 DEPOSIT INTO THE CUSTOMER'S ACCOUNT WITHOUT HIS MEMBER FIRM'S KNOWLEDGE OR CONSENT.
Current Status:	Final
Resolution:	Acceptance, Waiver & Consent(AWC)
Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct?	No
Resolution Date:	06/15/2009



Sanctions Ordered:

Civil and Administrative Penalty(ies)/Fine(s)
Suspension

If the regulator is the SEC, CFTC, or an SRO, did the action result in a finding of a willful violation or failure to supervise?

No

(1) willfully violated any provision of the Securities Act of 1933, the Securities Exchange Act of 1934, the Investment Advisers Act of 1940, the Investment Company Act of 1940, the Commodity Exchange Act, or any rule or regulation under any of such Acts, or any of the rules of the Municipal Securities Rulemaking Board, or to have been unable to comply with any provision of such Act, rule or regulation?

(2) willfully aided, abetted, counseled, commanded, induced, or procured the violation by any person of any provision of the Securities Act of 1933, the Securities Exchange Act of 1934, the Investment Advisers Act of 1940, the Investment Company Act of 1940, the Commodity Exchange Act, or any rule or regulation under any of such Acts, or any of the rules of the Municipal Securities Rulemaking Board? or



(3) failed reasonably to supervise another person subject to your supervision, with a view to preventing the violation by such person of any provision of the Securities Act of 1933, the Securities Exchange Act of 1934, the Investment Advisers Act of 1940, the Investment Company Act of 1940, the Commodity Exchange Act, or any rule or regulation under any such Acts, or any of the rules of the Municipal Securities Rulemaking Board?

Sanction 1 of 1

Sanction Type: Suspension
Capacities Affected: ANY CAPACITY
Duration: 10 BUSINESS DAYS
Start Date: 07/06/2009
End Date: 07/17/2009

Monetary Sanction 1 of 1

Monetary Related Sanction: Civil and Administrative Penalty(ies)/Fine(s)
Total Amount: \$5,000.00
Portion Levied against individual: \$5,000.00
Payment Plan:
Is Payment Plan Current: No
Date Paid by individual: 06/29/2009
Was any portion of penalty waived? No

Amount Waived:

Regulator Statement WITHOUT ADMITTING OR DENYING THE FINDINGS, DAEGER CONSENTED TO THE DESCRIBED SANCTIONS AND TO THE ENTRY OF FINDINGS; THEREFORE, HE IS FINED \$5,000 AND SUSPENDED FROM ASSOCIATION WITH ANY FINRA MEMBER IN ANY CAPACITY FOR 10 BUSINESS DAYS. THE SUSPENSION IS IN EFFECT FROM JULY 6, 2009 THROUGH JULY 17, 2009.

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Reporting Source: Individual
Regulatory Action Initiated By: FINRA
Sanction(s) Sought: Other: N/A
Date Initiated: 06/15/2009



Docket/Case Number: [2008014243001](#)

Employing firm when activity occurred which led to the regulatory action: CHASE INVESTMENTS SERVICES CORP

Product Type: Mutual Fund

Allegations: NASD RULE 2110 - JASON J. DAEGER ATTEMPTED TO SETTLE A CUSTOMER COMPLAINT BY MAKING A \$1,500 DEPOSIT INTO THE CUSTOMER'S ACCOUNT WITHOUT HIS MEMBER FIRM'S KNOWLEDGE OR CONSENT.

Current Status: Final

Resolution: Acceptance, Waiver & Consent(AWC)

Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct? No

Resolution Date: 06/15/2009

Sanctions Ordered: Civil and Administrative Penalty(ies)/Fine(s)
Suspension

Sanction 1 of 1

Sanction Type: Suspension

Capacities Affected: ANY CAPACITY

Duration: 10 BUSINESS DAYS

Start Date: 07/06/2009

End Date: 07/17/2009

Monetary Sanction 1 of 1

Monetary Related Sanction: Civil and Administrative Penalty(ies)/Fine(s)

Total Amount: \$5,000.00

Portion Levied against individual: \$5,000.00

Payment Plan:

Is Payment Plan Current: No

Date Paid by individual:

Was any portion of penalty waived? No

Amount Waived:

Broker Statement WITHOUT ADMITTING OR DENYING THE FINDINGS, DAEGER CONSENTED TO THE DESCRIBED SANCTIONS AND TO THE ENTRY OF FINDINGS; THEREFORE, HE IS FINED \$5,000 AND SUSPENDED FROM ASSOCIATION WITH ANY FINRA MEMBER IN ANY CAPACITY FOR 10 BUSINESS DAYS. THE SUSPENSION IS IN EFFECT FROM JULY 6, 2009 THROUGH JULY 17, 2009.



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: CHASE INVESTMENT SERVICES CORP.

Allegations: CLIENT ALLEGES MISREPRESENTATION AND SUITABILITY REGARDING A MUTUAL FUNDS INVESTMENT.

Product Type: Mutual Fund

Alleged Damages: \$221,151.32

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 #: 09-06789

Filing date of arbitration/CFTC reparation or civil litigation: 12/02/2009

Customer Complaint Information

Date Complaint Received: 12/22/2009

Complaint Pending? No

Status: Settled

Status Date: 05/24/2011

Settlement Amount: \$80,000.00

Individual Contribution Amount: \$0.00

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Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: CHASE INVESTMENT SERVICES CORP.

Allegations: CLIENT ALLEGES MISREPRESENTATION AND SUITABILITY REGARDING A MUTUAL FUNDS INVESTMENT.

Product Type: Mutual Fund

Alleged Damages: \$221,151.32



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 #: 09-06789
**Filing date of
arbitration/CFTC reparation
or civil litigation:** 12/02/2009

Customer Complaint Information

Date Complaint Received: 12/22/2009
Complaint Pending? No
Status: Settled
Status Date: 05/24/2011
Settlement Amount: \$80,000.00
**Individual Contribution
Amount:** \$0.00



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: CHASE INVESTMENT SERVICES CORP
Termination Type: Discharged
Termination Date: 07/02/2008
Allegations: REP WAS TERMINATED AFTER HE ADMITTED TO TAKING \$1,500.00 OF HIS OWN FUNDS AND DEPOSITING IT INTO A CLIENT'S BANK ACCOUNT TO ASSIST IN RECTIFYING A CUSTOMER COMPLAINT.
Product Type: No Product
Other Product Types:

Reporting Source: Individual
Firm Name: CHASE INVESTMENT SERVICES
Termination Type: Discharged
Termination Date: 07/02/2008
Allegations: TERMINATED WHEN I ADMITTED TO DEPOSITING \$1,500.00 INTO CLINT BANK ACCOUNT TO ASSIST IN RECTIFYING CUSTOMER COMPLAINT.
Product Type: No Product
Other Product Types:



End of Report

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