



## IAPD Report

### JASON ERIC ANDERSON

CRD# 5306459

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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 ERIC ANDERSON (CRD# 5306459)

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 **11/07/2025**.

### CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
<b>B</b>	WORLD CAPITAL BROKERAGE, INC.	CRD# 37	09/08/2021
<b>IA</b>	INVESTMENT RESEARCH CORP	CRD# 108208	01/26/2022

### QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **5** 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>	WORLD CAPITAL BROKERAGE, INC.	37	DENVER, CO	05/22/2019 - 09/13/2019
<b>IA</b>	NEXT FINANCIAL GROUP, INC.	46214	VIRGINIA BEACH, VA	08/02/2007 - 06/30/2017
<b>B</b>	NEXT FINANCIAL GROUP, INC.	46214	VIRGINIA BEACH, VA	04/27/2007 - 06/30/2017

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



## 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 5 jurisdiction(s) and 1 SRO(s) through his or her employer(s).

#### Employment 1 of 2

Firm Name: **WORLD CAPITAL BROKERAGE, INC.**

Main Address: 1636 N. LOGAN STREET  
DENVER, CO 80203

Firm ID#: 37

Regulator	Registration	Status	Date
 FINRA	General Securities Representative	Approved	09/08/2021
 FINRA	Municipal Securities Principal	Approved	09/08/2021
 FINRA	Municipal Securities Representative	Approved	09/08/2021
 FINRA	Operations Professional	Approved	09/08/2021
 FINRA	Registered Options Principal	Approved	09/08/2021
 FINRA	General Securities Principal	Approved	09/09/2021
 New York	Agent	Approved	11/21/2021
 North Carolina	Agent	Approved	08/28/2023
 Ohio	Agent	Approved	12/14/2021
 South Carolina	Agent	Approved	09/23/2021
 Texas	Agent	Approved	03/23/2024

#### Branch Office Locations

Raleigh, NC

#### Employment 2 of 2



## Qualifications

Firm Name: **INVESTMENT RESEARCH CORP**

Main Address: 1636 NORTH LOGAN STREET  
DENVER, CO 80203

Firm ID#: 108208

Regulator	Registration	Status	Date
IA Ohio	Investment Adviser Representative	Approved	01/27/2022

## Branch Office Locations

**INVESTMENT RESEARCH CORP**

Raleigh, NC



## 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 3 principal/supervisory exams, 4 general industry/product exams, and 1 state securities law exam.**

#### Principal/Supervisory Exams

Exam	Category	Date
 Municipal Securities Principal Examination (S53)	Series 53	03/21/2009
 Registered Options Principal Examination (S4)	Series 4	09/06/2008
 General Securities Principal Examination (S24)	Series 24	11/02/2007

#### General Industry/Product Exams

Exam	Category	Date
 Municipal Securities Representative Examination (S52TO)	Series 52TO	01/02/2023
 Operations Professional Examination (S99TO)	Series 99TO	01/02/2023
 Securities Industry Essentials Examination (SIE)	SIE	06/30/2017
 General Securities Representative Examination (S7)	Series 7	04/26/2007

#### State Securities Law Exams

Exam	Category	Date
  Uniform Combined State Law Examination (S66)	Series 66	06/08/2007

### 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
	05/22/2019 - 09/13/2019	WORLD CAPITAL BROKERAGE, INC.	CRD# 37	DENVER, CO
	08/02/2007 - 06/30/2017	NEXT FINANCIAL GROUP, INC.	CRD# 46214	VIRGINIA BEACH, VA
	04/27/2007 - 06/30/2017	NEXT FINANCIAL GROUP, INC.	CRD# 46214	VIRGINIA BEACH, VA

### 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
08/2023 - Present	U.S. DEPARTMENT OF THE TREASURY	Tax Analyst	N	RALEIGH, NC, United States
09/2021 - Present	WORLD CAPITAL BROKERAGE, INC.	Registered Representative	Y	DENVER, CO, United States
08/2019 - 07/2023	U.S. DEPARTMENT OF THE TREASURY	Case Advocate	N	LAS VEGAS, NV, United States
05/2019 - 09/2019	INVESTMENT RESEARCH CORPORATION	Investment Adviser Representative	Y	DENVER, CO, United States
05/2019 - 09/2019	WORLD CAPITAL BROKERAGE, INC.	Registered Representative	Y	DENVER, CO, United States
01/2019 - 04/2019	UNEMPLOYED	UNEMPLOYED DUE TO LAYOFF/SALE OF OFFICE	N	FAIRPORT, NY, United States
07/2018 - 12/2018	PROVIDENZA & WRIGHT ACCOUNTANTS AND ADVISORS	STAFF ACCOUNTANT	N	PITTSFORD, NY, United States
03/2018 - 07/2018	UNITED WAY OF GREATER HOUSTON -- BAKER-RIPLEY	DATA MANAGEMENT AND PROGRAM TRACKING SPECIALIST	N	HOUSTON, TX, United States
09/2017 - 02/2018	DEPARTMENT OF HOMELAND SECURITY -- FEMA	TRAINING SPECIALIST	N	HOUSTON, TX, United States
03/2007 - 06/2017	NEXT FINANCIAL GROUP INC	HOUSE ACCOUNTS MANAGER AND REGISTERED REPRESENTATIVE	Y	HOUSTON, TX, 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) U.S. DEPARTMENT OF THE TREASURY

POSITION: TAX ANALYST; NOT INVESTMENT-RELATED; NUMBER OF HOURS/WEEK: 40; SECURITIES TRADING HOURS/WEEK: 28

DEPARTMENT OF THE TREASURY START DATE: 8/19/2019

2) RALEIGH, NC

POSITION: INSURANCE AGENT; DBA: ANDERSON INVESTMENT SERVICES; NON-SECURITIES-RELATED INSURANCE (LIFE AND HEALTH); NOT INVESTMENT-RELATED; NUMBER OF HOURS/WEEK: 2; SECURITIES TRADING HOURS/WEEK: 0

INSURANCE AGENT INITIAL START DATE: 10/12/2007

3) RALEIGH, NC

POSITION: SOLE PROPRIETORSHIP; DBA: ANDERSON INVESTMENT SERVICES; SECURITIES AND INSURANCE GUIDANCE AND/OR RECOMMENDATIONS; NUMBER OF HOURS/WEEK: 12; SECURITIES TRADING HOURS/WEEK: 4.5

INSURANCE AGENT INITIAL START DATE: 10/12/2007

4) RALEIGH, NC

INVESTMENT RESEARCH CORPORATION; POSITION: INVESTMENT ADVISOR REPRESENTATIVE; TITLE: INVESTMENT ADVISOR REPRESENTATIVE; NUMBER OF HOURS/WEEK: 10; SECURITIES TRADING HOURS/WEEK: 4.5; START DATE: 9/8/2021

5) RALEIGH, NC (various locations)

POSITION: SECURITY OFFICER; NUMBER OF HOURS/WEEK: 16; SECURITIES TRADING HOURS/WEEK: 0; START DATE: 5/2/2025



## 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

### 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>	FINRA
<b>Sanction(s) Sought:</b>	Other: N/A
<b>Date Initiated:</b>	06/12/2013
<b>Docket/Case Number:</b>	<a href="#">2011028898801</a>
<b>Employing firm when activity occurred which led to the regulatory action:</b>	NEXT FINANCIAL GROUP, INC.
<b>Product Type:</b>	No Product
<b>Allegations:</b>	RULE 17A-3 OF THE EXCHANGE ACT, FINRA RULE 2010, NASD RULES 3010, 3110: ANDERSON FAILED TO REASONABLY SUPERVISE TRANSACTIONS OF A REGISTERED REPRESENTATIVE OF HIS MEMBER FIRM, BY APPROVING THE TRANSACTIONS AND FAILING TO REASONABLY RESPOND TO THE INCOMPLETE AND INACCURATE INFORMATION ON THE APPLICATION AND DISCLOSURE FORMS. DESPITE THE FACT THAT THESE DOCUMENTS WERE INCOMPLETE AND INACCURATE, ANDERSON APPROVED THE TRANSACTIONS AND SIGNED THE DOCUMENTS AS PRINCIPAL. ANDERSON SERVED AS THE ASSISTANT DIVISION MANAGER AND OFFICE OF SUPERVISORY JURISDICTION (OSJ) DESIGNATE FOR A REGIONAL DIVISION OF HIS FIRM. IN THESE CAPACITIES, ANDERSON WAS RESPONSIBLE FOR REVIEWING AND APPROVING BUSINESS AND TRANSACTIONS FOR HIS DIVISION. ANDERSON CAUSED THE BOOKS AND RECORDS OF HIS FIRM TO BE INCOMPLETE AND INACCURATE, BY APPROVING THE APPLICATION AND DISCLOSURE FORMS DESPITE THE FACT THAT THESE FORMS WERE INCOMPLETE AND INACCURATE.
<b>Current Status:</b>	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?**

**Resolution Date:** 06/12/2013

**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?**

**(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 PRINCIPAL CAPACITY

**Duration:** 10 BUSINESS DAYS

**Start Date:** 07/01/2013

**End Date:** 07/15/2013

**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:**

**Date Paid by individual:** 07/31/2013

**Was any portion of penalty waived?** No

**Amount Waived:**

**Regulator Statement** WITHOUT ADMITTING OR DENYING THE FINDINGS, ANDERSON 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 PRINCIPAL CAPACITY FOR 10 BUSINESS DAYS. THE SUSPENSION IS IN EFFECT FROM JULY 1, 2013, THROUGH JULY 15, 2013. FINE PAID IN FULL ON JULY 31, 2013.

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**Reporting Source:** Individual

**Regulatory Action Initiated By:** FINRA

**Sanction(s) Sought:** Other: N/A

**Date Initiated:** 06/12/2013



<b>Docket/Case Number:</b>	<a href="#">2011028898801</a>
<b>Employing firm when activity occurred which led to the regulatory action:</b>	NEXT FINANCIAL GROUP, INC.
<b>Product Type:</b>	No Product
<b>Allegations:</b>	RULE 17A-3 OF THE EXCHANGE ACT, FINRA RULE 2010, NASD RULES 3010, 3110; ANDERSON FAILED TO REASONABLY SUPERVISE TWO PURCHASE TRANSACTIONS OF A REGISTERED REPRESENTATIVE OF HIS MEMBER FIRM. THE APPLICATIONS AND DISCLOSURE FORMS CONTAINED INCOMPLETE AND INACCURATE INFORMATION. DESPITE THIS, ANDERSON APPROVED THE TRANSACTIONS AND SIGNED THE DOCUMENTS AS PRINCIPAL. IN SO DOING, HE ALSO CAUSED THE BOOKS AND RECORDS OF THE FIRM TO BE INCOMPLETE AND INACCURATE.
<b>Current Status:</b>	Final
<b>Resolution:</b>	Acceptance, Waiver & Consent(AWC)
<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>	06/12/2013
<b>Sanctions Ordered:</b>	Civil and Administrative Penalty(ies)/Fine(s) Suspension
<b>Sanction 1 of 1</b>	
<b>Sanction Type:</b>	Suspension
<b>Capacities Affected:</b>	ANY PRINCIPAL CAPACITY
<b>Duration:</b>	10 BUSINESS DAYS
<b>Start Date:</b>	07/01/2013
<b>End Date:</b>	07/15/2013
<b>Monetary Sanction 1 of 1</b>	
<b>Monetary Related Sanction:</b>	Civil and Administrative Penalty(ies)/Fine(s)
<b>Total Amount:</b>	\$5,000.00
<b>Portion Levied against individual:</b>	\$5,000.00
<b>Payment Plan:</b>	
<b>Is Payment Plan Current:</b>	
<b>Date Paid by individual:</b>	
<b>Was any portion of penalty waived?</b>	No
<b>Amount Waived:</b>	
<b>Broker Statement</b>	WITHOUT ADMITTING OR DENYING THE FINDINGS, MR. ANDERSON 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 PRINCIPAL CAPACITY FOR 10 BUSINESS DAYS. THE SUSPENSION IS IN EFFECT FROM JULY 1, 2013, THROUGH JULY 15, 2013.



## End of Report

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