



IAPD Report

JASON DOUGLAS STONE

CRD# 5455271

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When communicating online or investing with any professional, make sure you know who you're dealing with. [Imposters](#) might link to sites like BrokerCheck from [phishing](#) or similar scam websites, or through [social media](#), trying to steal your personal information or your money.

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 DOUGLAS STONE (CRD# 5455271)

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 **02/27/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
IA	SECURA FINANCIAL	CRD# 137324	09/30/2013
B	ARKADIOS CAPITAL	CRD# 282710	03/07/2024

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **17** 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	CROWN CAPITAL SECURITIES, L.P.	6312	ORANGE, CA	09/16/2015 - 03/25/2024
B	CROWN CAPITAL SECURITIES, L.P.	6312	ORANGE, CA	01/02/2015 - 03/25/2024
IA	STONE HATCHER FINANCIAL	292406	ANAHEIM, CA	04/20/2018 - 06/19/2019

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	4



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

Employment 1 of 2

Firm Name: **ARKADIOS CAPITAL**
Main Address: 2827 PEACHTREE RD NE, SUITE 510
ATLANTA, GA 30305
Firm ID#: 282710

	Regulator	Registration	Status	Date
B	FINRA	General Securities Representative	Approved	03/07/2024
B	Alabama	Agent	Approved	03/07/2024
B	Arizona	Agent	Approved	03/07/2024
B	California	Agent	Approved	03/07/2024
B	Colorado	Agent	Approved	03/07/2024
B	Florida	Agent	Approved	03/07/2024
B	Georgia	Agent	Approved	03/07/2024
B	Hawaii	Agent	Approved	03/07/2024
B	Maryland	Agent	Approved	12/04/2024
B	Minnesota	Agent	Approved	12/11/2024
B	Nevada	Agent	Approved	03/07/2024
B	New Jersey	Agent	Approved	03/07/2024
B	New York	Agent	Approved	03/07/2024



Qualifications

Regulator	Registration	Status	Date
B Oregon	Agent	Approved	03/07/2024
B Tennessee	Agent	Approved	03/07/2024
B Texas	Agent	Approved	03/07/2024
B Utah	Agent	Approved	12/24/2024
B Virginia	Agent	Approved	05/21/2025

Branch Office Locations

333 CITY BLVD WEST SUITE 2050
ORANGE, CA 92868

Employment 2 of 2

Firm Name: **SECURA FINANCIAL**
 Main Address: 333 CITY BOULEVARD WEST,
 SUITE 2050
 ORANGE, CA 92868-2944
 Firm ID#: 137324

Regulator	Registration	Status	Date
IA California	Investment Adviser Representative	Approved	09/30/2013

Branch Office Locations

SECURA FINANCIAL
 333 CITY BOULEVARD WEST,
 SUITE 2050
 ORANGE, CA 92868-2944



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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B	Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
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B	General Securities Representative Examination (S7)	Series 7	12/27/2007
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State Securities Law Exams

Exam	Category	Date
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IA B	Uniform Combined State Law Examination (S66)	Series 66	02/04/2008
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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
IA	09/16/2015 - 03/25/2024	CROWN CAPITAL SECURITIES, L.P.	CRD# 6312	ORANGE, CA
B	01/02/2015 - 03/25/2024	CROWN CAPITAL SECURITIES, L.P.	CRD# 6312	ORANGE, CA
IA	04/20/2018 - 06/19/2019	STONE HATCHER FINANCIAL	CRD# 292406	ANAHEIM, CA
IA	01/06/2014 - 12/31/2014	J. W. COLE ADVISORS, INC.	CRD# 112294	ORANGE, CA
B	08/07/2013 - 12/31/2014	J.W. COLE FINANCIAL, INC.	CRD# 124583	ORANGE, CA
IA	02/05/2008 - 08/14/2013	AMERIPRISE FINANCIAL SERVICES, INC.	CRD# 6363	LONG BEACH, CA
B	01/01/2008 - 08/14/2013	AMERIPRISE FINANCIAL SERVICES, INC.	CRD# 6363	LONG BEACH, CA

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
03/2024 - Present	ARKADIOS CAPITAL	Registered Representative	Y	Atlanta, GA, United States
11/2019 - Present	SECURA FINANCIAL LLC	OWNER-EMPLOYEE	Y	ORANGE, CA, United States
09/2013 - Present	BARTH FINANCIAL ADVISORS, LLC	INVESTMENT ADVISOR REPRESENTATIVE	Y	ORANGE, CA, United States
01/2015 - 03/2024	CROWN CAPITAL SECURITIES, LP	REGISTERED REPRESENTATIVE	Y	ORANGE, CA, United States
07/2013 - 12/2019	Stone Hatcher LLC	President/Managing Member/IAR/Agent	Y	Anaheim, CA, 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) START DATE 12/2007 I DEVOTE 10 HRS/MO (NONE DURING TRADING) AS TREASURER FOR THETA CHI FRATERNITY ZETA EPSILON ALUMNI ASSOCIATION. THIS IS NOT AN INVESTMENT RELATED ACTIVITY AND MY DUTIES INCLUDE MANAGING ALUMNI ASSOCIATION, FUND RAISING AND HOLDING EVENTS. BUSINESS LOCATION: 686 REDONDO AVE., LONG BEACH, CA 90804.
- (2) I DEVOTE 2 HRS/MO (NONE DURING TRADING) AS BOARD MEMBER AT LARGE OF CHILD LANE. THIS IS NOT AN INVESTMENT RELATED ACTIVITY AND MY DUTIES ARE TO ATTEND BOARD MEETINGS AND OVERSEE THE FOUNDATIONS FUNDS. BUSINESS ADDRESS: 2545 PACIFIC AVE., LONG BEACH, CA 90806.
- (3) START DATE 8/2013 I DEVOTE 150 HRS/MO (ALL DURING TRADING) AS FINANCIAL ADVISOR FOR SECURA FINANCIAL LLC. THIS IS AN INVESTMENT RELATED ACTIVITY AND MY DUTIES INCLUDE MANAGING CLIENT RELATIONSHIPS, ACCOUNT TRADING AND CORRESPONDENCE. BUSINESS ADDRESS SAME AS BRANCH ADDRESS.
- (4) START DATE 08/2013 I DEVOTE 10 HRS/MO (NONE DURING TRADING) AS OWNER/EMPLOYEE OF BENTLEY INSURANCE AGENCY. THIS IS NOT AN INVESTMENT RELATED ACTIVITY AND MY DUTIES INCLUDE WRITING AND REVIEWING INSURANCE POLICIES. BUSINESS ADDRESS IS THE SAME AS BRANCH ADDRESS.
- (5) START DATE 11/2019 MY DBA FOR SECURITIES BUSINESS IS SECURA FINANCIAL PLANNING AND WEALTH MANAGEMENT. THIS IS AN INVESTMENT RELATED ACTIVITY. BUSINESS ADDRESS SAME AS BRANCH LOCATION.
- (6) ARKADIOS CAPITAL; Yes; Orange, CA; Broker-dealer; Registered Representative; 03/2024; 25/ HRS MO; 25/ HRS MO;



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	4

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 4

Reporting Source:	Firm
Employing firm when activities occurred which led to the complaint:	J.W. COLE FINANCIAL, INC.
Allegations:	Trustee alleged breach of fiduciary duty, unsuitable recommendation, and misrepresentation of investment regarding an oil and gas limited partnership purchased twelve years ago.
Product Type:	Direct Investment-DPP & LP Interests Oil & Gas
Alleged Damages:	\$100,000.00
Alleged Damages Amount Explanation (if amount not exact):	Although no specific alleged damages were noted, the original investment was \$100,000.
Is this an oral complaint?	No
Is this a written complaint?	Yes
Is this an arbitration/CFTC reparation or civil litigation?	Yes
Arbitration/Reparation forum or court name and location:	FINRA
Docket/Case #:	ii. Case # 26-00253
Filing date of arbitration/CFTC reparation or civil litigation:	02/03/2026



Customer Complaint Information

Date Complaint Received: 02/11/2026

Complaint Pending? Yes

Settlement Amount:

Individual Contribution Amount:

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: J.W. COLE FINANCIAL, INC.

Allegations: Trustee alleged breach of fiduciary duty, unsuitable recommendation, and misrepresentation of investment regarding an oil and gas limited partnership purchased twelve years ago.

Product Type: Direct Investment-DPP & LP Interests
Oil & Gas

Alleged Damages: \$100,000.00

Alleged Damages Amount Explanation (if amount not exact): Although no specific alleged damages were noted, the original investment was \$100,000.

Is this an oral complaint? No

Is this a written complaint? Yes

Is this an arbitration/CFTC reparation or civil litigation? Yes

Arbitration/Reparation forum or court name and location: FINRA

Docket/Case #: 26-00253

Filing date of arbitration/CFTC reparation or civil litigation: 02/03/2026

Customer Complaint Information

Date Complaint Received: 02/11/2026

Complaint Pending? Yes

Settlement Amount:

Individual Contribution Amount:

Disclosure 2 of 4

Reporting Source: Firm

Employing firm when activities occurred which led to the complaint: J.W. COLE FINANCIAL, INC.

Allegations: Trustee alleged breach of fiduciary duty, unsuitable recommendation, and



	misrepresentation of investment regarding an oil and gas limited partnership purchased eleven years prior to filing the matter.
Product Type:	Direct Investment-DPP & LP Interests Oil & Gas
Alleged Damages:	\$75,000.00
Alleged Damages Amount Explanation (if amount not exact):	Although no specific alleged damages were noted, the original investment was \$75,000.
Is this an oral complaint?	No
Is this a written complaint?	Yes
Is this an arbitration/CFTC reparation or civil litigation?	Yes
Arbitration/Reparation forum or court name and location:	FINRA
Docket/Case #:	25-00309
Filing date of arbitration/CFTC reparation or civil litigation:	02/13/2025
Customer Complaint Information	
Date Complaint Received:	03/07/2025
Complaint Pending?	No
Status:	Settled
Status Date:	02/14/2026
Settlement Amount:	\$32,500.00
Individual Contribution Amount:	\$0.00
Firm Statement	Although the firm noted the customer had acknowledged the risks associated with the investment at issue, the firm made a business decision to settle due to the cost of defense.
.....	
Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	J.W. COLE FINANCIAL, INC.
Allegations:	Trustee alleged breach of fiduciary duty, unsuitable recommendation, and misrepresentation of investment regarding an oil and gas limited partnership purchased eleven years prior to filing the matter.
Product Type:	Oil & Gas
Alleged Damages:	\$0.00
Alleged Damages Amount Explanation (if amount not exact):	Although no specific alleged damages were noted, the original investment was \$75,000.
Is this an oral complaint?	No



Is this a written complaint? Yes

**Is this an arbitration/CFTC
reparation or civil litigation?** Yes

**Arbitration/Reparation forum
or court name and location:** FINRA

Docket/Case #: 25-00309

**Filing date of
arbitration/CFTC reparation
or civil litigation:** 02/13/2025

Customer Complaint Information

Date Complaint Received: 03/07/2025

Complaint Pending? No

Status: Settled

Status Date: 02/14/2026

Settlement Amount: \$32,500.00

**Individual Contribution
Amount:** \$0.00

Broker Statement Although the firm noted the customer had acknowledged the risks associated with the investment at issue, the firm made a business decision to settle due to the cost of defense.

Disclosure 3 of 4

Reporting Source: Firm

**Employing firm when
activities occurred which led
to the complaint:** CROWN CAPITAL SECURITIES, L.P.

Allegations: Customer alleges breach of fiduciary duty, lack of suitability, and overconcentration in Alternative Investments. Further allegations are misrepresentation and omission of material facts and lack of supervision.

Product Type: Direct Investment-DPP & LP Interests
Oil & Gas
Real Estate Security

Alleged Damages: \$2,000,000.00

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 Arbitration

Docket/Case #: 24-02045

**Filing date of
arbitration/CFTC reparation
or civil litigation:** 09/23/2024



Customer Complaint Information

Date Complaint Received: 10/10/2024

Complaint Pending? Yes

Settlement Amount:

Individual Contribution Amount:

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: CROWN CAPITAL SECURITIES, L.P.

Allegations: Customer alleges breach of fiduciary duty, lack of suitability, and overconcentration in Alternative Investments. Further allegations are misrepresentation and omission of material facts and lack of supervision.

Product Type: Direct Investment-DPP & LP Interests
Oil & Gas
Real Estate Security

Alleged Damages: \$2,000,000.00

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 Arbitration

Docket/Case #: 24-02045

Filing date of arbitration/CFTC reparation or civil litigation: 09/23/2024

Customer Complaint Information

Date Complaint Received: 11/06/2024

Complaint Pending? Yes

Settlement Amount:

Individual Contribution Amount:

Broker Statement
Advisor disagrees with the complaint. The allegations made are exaggerated and misleading and do not follow the facts of client relationship or circumstances of the investment. Client has been involved in complex real estate transactions, including International ownership of property since before the client relationship existed.

Disclosure 4 of 4

Reporting Source: Firm

Employing firm when CROWN CAPITAL SECURITIES, L.P.



activities occurred which led to the complaint:

Allegations: Claimants allege failure to supervise, breach of contract, material misrepresentations, breach of fiduciary duty and lack of suitability in regard to recommendations in alternative products.

Product Type: Direct Investment-DPP & LP Interests
Oil & Gas

Alleged Damages: \$100,000.00

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 #: 24-00606

Filing date of arbitration/CFTC reparation or civil litigation: 03/18/2024

Customer Complaint Information

Date Complaint Received: 04/05/2024

Complaint Pending? Yes

Settlement Amount:

Individual Contribution Amount:

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: CROWN CAPITAL SECURITIES, L.P.

activities occurred which led to the complaint:

Allegations: Claimants allege failure to supervise, breach of contract, material misrepresentations, breach of fiduciary duty and lack of suitability in regard to recommendations in alternative products

Product Type: Oil & Gas

Alleged Damages: \$100,000.00

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 #: 24-00606



Filing date of arbitration/CFTC reparation or civil litigation: 03/18/2024

Customer Complaint Information

Date Complaint Received: 05/28/2024

Complaint Pending? No

Status: Settled

Status Date: 06/10/2025

Settlement Amount: \$157,500.00

Individual Contribution Amount: \$0.00

Broker Statement Advisor disagrees with beneficiary's statement that the investment was unsuitable at time of sale. At no point did the client investments exceed the allowable threshold and consideration for appropriate liquidity was given at all times.



End of Report

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