



IAPD Report

JETMIR AHMETI

CRD# 5568499

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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

JETMIR AHMETI (CRD# 5568499)

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 **03/22/2018**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
IA	AHMETI WEALTH MANAGEMENT, LLC	CRD# 258787	10/21/2015

QUALIFICATIONS

This representative is currently registered in **0** SRO(s) and **1** 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	EDWARD JONES	250	DALLAS, TX	09/21/2009 - 05/11/2015
B	EDWARD JONES	250	DALLAS, TX	09/04/2009 - 05/11/2015
B	AXA ADVISORS, LLC	6627	PLANO, TX	09/19/2008 - 01/26/2009

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	2
Criminal	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 **1** jurisdiction(s) and **0** SRO(s) through his or her employer(s).

Employment 1 of 1

Firm Name: **AHMETI WEALTH MANAGEMENT, LLC**
Main Address: 8330 LBJ FREEWAY
SUITE B638
DALLAS, TX 75243
Firm ID#: 258787

Regulator	Registration	Status	Date
IA Texas	Investment Adviser Representative	Approved	10/21/2015

Branch Office Locations

AHMETI WEALTH MANAGEMENT, LLC
RICHARDSON, TX



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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 Securities Industry Essentials Examination (SIE)	SIE	05/11/2015
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 General Securities Representative Examination (S7)	Series 7	09/18/2008
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State Securities Law Exams

Exam	Category	Date
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  Uniform Combined State Law Examination (S66)	Series 66	09/18/2009
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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	09/21/2009 - 05/11/2015	EDWARD JONES	CRD# 250	DALLAS, TX
B	09/04/2009 - 05/11/2015	EDWARD JONES	CRD# 250	DALLAS, TX
B	09/19/2008 - 01/26/2009	AXA ADVISORS, LLC	CRD# 6627	PLANO, TX

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
06/2015 - Present	AHMETI WEALTH MANAGEMENT, LLC	MANAGING MEMBER	Y	RICHARDSON, TX, 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.

I hold and active Property & Casualty license and real estate salesperson license in Texas and I offer those services to clients and prospects.



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	2
Criminal	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 2

Reporting Source: Regulator

Regulatory Action Initiated By: FINRA

Sanction(s) Sought:

Date Initiated: 04/26/2017

Docket/Case Number: [2015045448902](#)

Employing firm when activity occurred which led to the regulatory action: Edward D. Jones & Co., L.P.

Product Type: No Product

Allegations: Without admitting or denying the findings, Ahmeti consented to the sanction and to the entry of findings that he opened 14 new accounts without the knowledge and authorization of the purported account owners. The findings stated that Ahmeti submitted information to open new accounts at his member firm for 14 individuals without first contacting the individuals and obtaining their consent. The individuals were Transfer on Death beneficiaries of existing clients of Ahmeti. Ahmeti gathered basic information on the 14 individuals from his existing clients, while making guesses regarding items such as the individuals' investment objectives, income, and risk profile. Submitting information to open a new account for an individual without the knowledge or permission of the individual violated his firm's policies and procedures. Nonetheless, Ahmeti completed new account opening documents for the 14 individuals on the firm's electronic system without contacting the individuals to obtain their authorization or to verify the information. Based on the information Ahmeti submitted, the firm opened new accounts for each of the 14



individuals. After the accounts were opened, Ahmeti mailed copies of the account opening documents to the 14 individuals to sign and return. For six of the 14 accounts, the account owner signed and returned the account opening documentation. One of the individuals was deceased. For the remaining seven accounts, the account owners did not sign and return the account opening documents. There was no trading activity in the accounts. The findings also stated that by submitting new account opening documentation to his firm that contained information that was not obtained from or verified by the account owners, Ahmeti caused the firm to maintain inaccurate books and records. The findings also included that Ahmeti willfully failed to timely amend his Uniform Application for Securities Industry Registration or Transfer (Form U4) to disclose a felony charge.

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:

04/26/2017

Sanctions Ordered:

Suspension

Other: The settlement includes a finding that Ahmeti willfully failed to disclose a material fact on a Form U4, and that under Section 3(a)(39)(f) of the Securities Exchange Act of 1934 and Article III, Section 4 of the FINRA By-Laws, this omission make him subject to a statutory disqualification with respect to association with a member.

Ahmeti has submitted a sworn financial statement and demonstrated an inability to pay. In light of the financial status of Ahmeti, no monetary sanctions have been imposed.

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: nine months
Start Date: 05/01/2017
End Date: 01/31/2018

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Reporting Source: Individual
Regulatory Action Initiated By: FINRA
Sanction(s) Sought: Suspension
Date Initiated: 04/01/2017
Docket/Case Number: [2015045448902](#)



Employing firm when activity occurred which led to the regulatory action: Edward Jones

Product Type: No Product

Allegations: Please refer to FINRA Broker check for details.

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: 01/31/2018

Sanctions Ordered: Other: Please refer to AWC on file with FINRA.

Disclosure 2 of 2

Reporting Source: Regulator

Regulatory Action Initiated By: Texas

Sanction(s) Sought: Civil and Administrative Penalty(ies)/Fine(s)
Reprimand
Suspension

Date Initiated: 06/05/2015

Docket/Case Number: REG15-SUS-02

URL for Regulatory Action:

Employing firm when activity occurred which led to the regulatory action: Jetmir Ahmeti

Product Type: No Product

Allegations: On or about November 3, 2014 Jetmir Ahmeti ("Ahmeti") a Texas registered agent and investment adviser representative was charged with a violation of Section 22.01 of the Texas Penal Code, a third degree felony(the "Criminal Action"). Ahmeti did not disclose to his firm or the Commissioner that he had been charged with a felony, in violation of the Texas Securities Board rules 115.9(a) (2) and 116.9(a) (2). Ahmeti was terminated on May 1, 2015 for opening fourteen accounts without speaking to the potential account owners. On June 6, 2015 Ahmeti reapplied with the Texas State Securities Commissioner, but again failed to disclose his felony charge during his application process, a violation of the Texas Securities Board rules 115.9(a) (2) and 116.9(a) (2).The registration of Ahmeti as an investment adviser representative was granted. Ahmeti was ordered to sign an Undertaking with the Securities Commissioner; the Agent is suspended for thirty (30) days and paid an administrative fine in the amount of Five Thousand dollars (\$5,000) to the State of Texas.

Current Status: Final



Resolution:	Order
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:	10/21/2015
Sanctions Ordered:	Civil and Administrative Penalty(ies)/Fine(s) Suspension Undertaking
Sanction 1 of 1	
Sanction Type:	Suspension
Capacities Affected:	All Capacities
Duration:	30 days
Start Date:	10/21/2015
End Date:	11/20/2015
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:	10/21/2015
Was any portion of penalty waived?	No
Amount Waived:	



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 1

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:	State Court
Name of Court:	CRIMINAL DISTRICT COURT 7
Location of Court:	DALLAS, TX
Docket/Case #:	F-1445605
Charge Date:	03/27/2015
Charge(s) 1 of 1	
Formal Charge(s)/Description:	FELONY 3 ASSAULT
No of Counts:	1
Felony or Misdemeanor:	Felony
Plea for each charge:	THIS CASE IS CURRENTLY BEING ADJUDICATED.
Disposition of charge:	Dismissed
Current Status:	Final
Status Date:	12/09/2015
Disposition Date:	12/09/2015
Sentence/Penalty:	THIS CASE HAS BEEN DISMISSED.



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: EDWARD JONES
Termination Type: Discharged
Termination Date: 05/01/2015
Allegations: MR. AHMETI OPENED 14 ACCOUNTS WITHOUT SPEAKING TO THE PUTATIVE ACCOUNT OWNERS. ONE OF THE ACCOUNTS OPENED WAS FOR A DECEASED PERSON.
Product Type: No Product

Reporting Source: Individual
Firm Name: EDWARD JONES
Termination Type: Discharged
Termination Date: 05/01/2015
Allegations: THAT I OPENED ACCOUNTS WITHOUT THE ACCOUNT OWNER'S KNOWLEDGE.
Product Type: No Product

Broker Statement MY ASSISTANT AND I ROUTINELY COLLECT CLIENTS' BENEFICIARY INFORMATION (IN KEEPING WITH EDWARD JONES' POLICY). WITH OUR CLIENTS' KNOWLEDGE AND PERMISSION, WE OPENED AN ACCOUNT FOR EACH BENEFICIARY. IN ONE CASE, AN 82 YEAR OLD CLIENT NAMED HIS BROTHER AS A BENEFICIARY. HE, HOWEVER, DIDN'T INFORM US THAT HIS BROTHER DIED BETWEEN THE TIME WE COLLECTED THE INFO AND WHEN WE OPENED THE ACCOUNT. WE HAD NO WAY OF KNOWING HE PASSED AWAY WITHOUT OUR CLIENT TELLING US. WE DID THIS AS A PRO-ACTIVE SERVICE FOR OUR CLIENTS THAT, IN THE EVENT OF THEIR UNEXPECTED DEATH, THEIR BENEFICIARIES WOULD HAVE AN OPEN ACCOUNT TO RECEIVE THEIR ASSETS IN. OUR CLIENTS WERE AWARE OF THIS AND GAVE US THEIR PERMISSION AND THEIR BENEFICIARIES WERE AWARE OF THIS AS WELL; WE ASKED EVERY CLIENT TO INFORM THEIR BENEFICIARIES THAT THEY WOULD HAVE AN ACCOUNT OPEN AND THAT THEY WOULD RECEIVE ACCOUNT OPENING INFO IN THE MAIL. MANY OF THOSE BENEFICIARIES SIGNED THEIR ACCOUNT OPENING FORMS AND RETURNED THEM TO OUR OFFICE. OUR COMPLIANCE DEPARTMENT FELT WE SHOULD HAVE ASKED THE BENEFICIARIES PERMISSION FIRST BEFORE OPENING THEIR ACCOUNT AND AFTER REVERSING THEMSELVES BY SAYING TO ME I'D BE ISSUED A LETTER OF WARNING, DECIDED TO TERMINATE MY EMPLOYMENT.



End of Report

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