



IAPD Report

JORDAN LEE FUNKE

CRD# 6123070

<u>Section Title</u>	<u>Page(s)</u>
Report Summary	1
Qualifications	2 - 6
Registration and Employment History	7
Disclosure Information	8

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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

JORDAN LEE FUNKE (CRD# 6123070)

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 **03/12/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	THE O.N. EQUITY SALES COMPANY	CRD# 2936	04/09/2014
IA	ON INVESTMENT MANAGEMENT CO	CRD# 105662	07/09/2019

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **30** 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
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No information reported.

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
Criminal	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 **30** jurisdiction(s) and 1 SRO(s) through his or her employer(s).

Employment 1 of 2

Firm Name: **ON INVESTMENT MANAGEMENT CO**
Main Address: ONE FINANCIAL WAY
CINCINNATI, OH 45242
Firm ID#: 105662

	Regulator	Registration	Status	Date
IA	Arizona	Investment Adviser Representative	Approved	02/23/2022
IA	Arkansas	Investment Adviser Representative	Approved	03/24/2023
IA	California	Investment Adviser Representative	Approved	03/26/2020
IA	Colorado	Investment Adviser Representative	Approved	04/02/2020
IA	Delaware	Investment Adviser Representative	Approved	01/20/2026
IA	Florida	Investment Adviser Representative	Approved	03/16/2026
IA	Iowa	Investment Adviser Representative	Approved	07/09/2019
IA	Louisiana	Investment Adviser Representative	Approved	10/10/2023
IA	Maryland	Investment Adviser Representative	Approved	11/20/2023
IA	Minnesota	Investment Adviser Representative	Approved	11/26/2024
IA	Missouri	Investment Adviser Representative	Approved	01/22/2025
IA	New Hampshire	Investment Adviser Representative	Approved	03/10/2026
IA	New Jersey	Investment Adviser Representative	Approved	01/05/2026



Qualifications

Regulator	Registration	Status	Date
IA New York	Investment Adviser Representative	Approved	02/13/2024
IA North Carolina	Investment Adviser Representative	Approved	12/01/2025
IA Pennsylvania	Investment Adviser Representative	Approved	01/21/2026
IA Virginia	Investment Adviser Representative	Approved	02/13/2023

Branch Office Locations

ON INVESTMENT MANAGEMENT CO

319 SW 5th St Ste 206
Des Moines, IA 50309

Employment 2 of 2

Firm Name: **THE O.N. EQUITY SALES COMPANY**
 Main Address: ONE FINANCIAL WAY
 CINCINNATI, OH 45242
 Firm ID#: 2936

Regulator	Registration	Status	Date
B FINRA	Invest. Co and Variable Contracts	Approved	04/09/2014
B FINRA	General Securities Representative	Approved	08/11/2025
B Alabama	Agent	Approved	08/19/2025
B Arizona	Agent	Approved	03/01/2022
B Arkansas	Agent	Approved	03/05/2024
B California	Agent	Approved	09/27/2018
B Colorado	Agent	Approved	04/02/2020
B Delaware	Agent	Approved	08/20/2025
B District of Columbia	Agent	Approved	03/02/2023



Qualifications

Regulator	Registration	Status	Date
B Florida	Agent	Approved	06/06/2018
B Georgia	Agent	Approved	08/20/2025
B Illinois	Agent	Approved	03/06/2024
B Indiana	Agent	Approved	06/27/2025
B Iowa	Agent	Approved	04/15/2014
B Kansas	Agent	Approved	03/10/2023
B Louisiana	Agent	Approved	03/06/2023
B Maryland	Agent	Approved	03/02/2023
B Massachusetts	Agent	Approved	03/10/2023
B Michigan	Agent	Approved	03/06/2023
B Minnesota	Agent	Approved	04/18/2019
B Missouri	Agent	Approved	07/01/2021
B New Hampshire	Agent	Approved	03/08/2023
B New Jersey	Agent	Approved	06/19/2025
B New York	Agent	Approved	03/05/2023
B North Carolina	Agent	Approved	08/19/2025
B Ohio	Agent	Approved	03/09/2023
B Pennsylvania	Agent	Approved	02/17/2022
B South Carolina	Agent	Approved	08/20/2025



Qualifications

Regulator	Registration	Status	Date
B Tennessee	Agent	Approved	09/04/2025
B Texas	Agent	Approved	02/16/2022
B Virginia	Agent	Approved	02/13/2023
B Wisconsin	Agent	Approved	04/16/2019

Branch Office Locations

319 SW 5th St STE 206
Des Moines, IA 50309



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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 General Securities Representative Examination (S7TO)	Series 7TO	08/09/2025
 Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
 Investment Company Products/Variable Contracts Representative Examination (S6)	Series 6	04/03/2014

State Securities Law Exams

Exam	Category	Date
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 Uniform Investment Adviser Law Examination (S65)	Series 65	07/03/2019
 Uniform Securities Agent State Law Examination (S63)	Series 63	04/05/2014

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:

No information reported.

EMPLOYMENT HISTORY

Below is the representative's employment history for up to the last 10 years.

Employment Dates	Employer Name	Position	Investment Related	Employer Location
02/2014 - Present	THE O. N. EQUITY SALES COMPANY	REGISTERED REP	Y	CINCINNATI, OH, United States
11/2012 - Present	OHIO NATIONAL FINANCIAL SERVICES	CAREER AGENT	N	CINCINNATI, OH, United States
08/2012 - Present	THE FINANCIAL SPECIALISTS	LIFE INSURANCE SPECIALIST	N	CEDAR RAPIDS, IA, 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) FINANCIAL SPECIALIST; NOT INVESTMENT RELATED; 319 SW 5th ST STE 206, Des Moines, IA 50309; INSURANCE; AGENT; START DATE 11/16/2012; HOURS/MONTH 150; HOURS/TRADING 150; SELL LIFE INSURANCE
- 2). Thurm Financial; not investment related; 240 South State Street, Denver, IA 50622; Associate Advisor; 04/03/2019-present; 4 hours/month(4 during market hours); in process of taking splitting life and fixed annuity business with a retired rep.
- 3). Estate Documents Pro, LLC; Not investment related; 3101 North Central Avenue Suite 1600; Phoenix, AZ 85012; Virtual Estate Planning; Licensee; 05/07/2024-present; 2 hours/month(0 securities trading hours/month); to help facilitate clients in obtaining a living trust. I will not be doing any of the legal work, mainly helping obtain the information needed to create a plan.
- 4). Quantum Group; Not investment related; 18700 Hayden Rd Suite #310; Scottsdale, AZ 85255; Selling insurance; 02-01-2024-present; 5 hours/month (3 hours during securities trading hours); sale and service of non-registered insurance products and service.



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
Criminal	1

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:	N/A
Investment Related Business:	No
Position:	N/A
Formal Charges were brought in:	State Court
Name of Court:	JOHNSON COUNTY COURT HOUSE (IOWA)
Location of Court:	IOWA CITY, IOWA
Docket/Case #:	06521 SMSM079049
Charge Date:	12/18/2009
Charge(s) 1 of 1	
Formal Charge(s)/Description:	FIFTH DEGREE THEFT(STREET CONE)
No of Counts:	1
Felony or Misdemeanor:	Misdemeanor
Plea for each charge:	GUILTY
Disposition of charge:	Pled guilty
Current Status:	Final
Status Date:	12/18/2009



Disposition Date: 12/18/2009

Sentence/Penalty: PLEAD GUILTY 12/18/2009; PAID MONETARY FINE OF \$1273.00 ON 12/18/2009.

Broker Statement

ON 12/18/2009 AT APPROXIMATELY 3AM IN IOWA CITY, IOWA I WAS CHARGED WITH A MISDEMEANOR IN 5TH DEGREE THEFT, PUBLIC INTOXICATION, AS WELL AS INTERFERENCE WITH OFFICIAL ACTS. SOME FRIENDS AND I WERE PLAYING AROUND WITH ORANGE ROAD CONSTRUCTION CONES WHEN CONFRONTED BY POLICE; WE HAD THEN DECIDED TO FLEE THE PREMISES. I WAS INTOXICATED AT THIS TIME, THUS MY JUDGMENT WAS IMPAIRED AND I MADE A HUGE MISTAKE. I PLEAD GUILTY TO ALL CHARGES AND I HAD NO ISSUES PRIOR TO THIS INCIDENT AS WELL AS I HAVE HAD NO FURTHER ISSUES SINCE THAT TIME. I APPRECIATE YOUR UNDERSTANDING OF MAKING A STUPID MISTAKE AND I APPRECIATE YOUR CONSIDERATION.



End of Report

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