

BrokerCheck Report

JERRY PAUL HURT

CRD# 2139646

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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.

About BrokerCheck®



BrokerCheck offers information on all current, and many former, registered securities brokers, and all current and former registered securities firms. FINRA strongly encourages investors to use BrokerCheck to check the background of securities brokers and brokerage firms before deciding to conduct, or continue to conduct, business with them.

- **What is included in a BrokerCheck report?**

- BrokerCheck reports for individual brokers include information such as employment history, professional qualifications, disciplinary actions, criminal convictions, civil judgments and arbitration awards. BrokerCheck reports for brokerage firms include information on a firm's profile, history, and operations, as well as many of the same disclosure events mentioned above.
- Please note that the information contained in a BrokerCheck 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 broker or brokerage firm, or concluded through a negotiated settlement with no admission or finding of wrongdoing.

- **Where did this information come from?**

- The information contained in BrokerCheck comes from FINRA's Central Registration Depository, or CRD® and is a combination of:
 - information FINRA and/or the Securities and Exchange Commission (SEC) require brokers and brokerage firms to submit as part of the registration and licensing process, and
 - information that regulators report regarding disciplinary actions or allegations against firms or brokers.

- **How current is this information?**

- Generally, active brokerage firms and brokers are required to update their professional and disciplinary information in CRD within 30 days. Under most circumstances, information reported by brokerage firms, brokers and regulators is available in BrokerCheck the next business day.

- **What if I want to check the background of an investment adviser firm or investment adviser representative?**

- To check the background of an investment adviser firm or representative, you can search for the firm or individual in BrokerCheck. If your search is successful, click on the link provided to view the available licensing and registration information in the SEC's Investment Adviser Public Disclosure (IAPD) website at <https://www.adviserinfo.sec.gov>. In the alternative, you may search the IAPD website directly or contact your state securities regulator at <http://www.finra.org/Investors/ToolsCalculators/BrokerCheck/P455414>.

- **Are there other resources I can use to check the background of investment professionals?**

- FINRA recommends that you learn as much as possible about an investment professional before deciding to work with them. Your state securities regulator can help you research brokers and investment adviser representatives doing business in your state.

Thank you for using FINRA BrokerCheck.



Using this site/information means that you accept the FINRA BrokerCheck Terms and Conditions. A complete list of Terms and Conditions can be found at brokercheck.finra.org



For additional information about the contents of this report, please refer to the User Guidance or www.finra.org/brokercheck. It provides a glossary of terms and a list of frequently asked questions, as well as additional resources. For more information about FINRA, visit www.finra.org.

**JERRY P. HURT**

CRD# 2139646

Currently employed by and registered with the following Firm(s):

IA MUTUAL OF OMAHA INVESTOR SERVICES, INC.
 3200 EAST CAMELBACK ROAD
 SUITE 190
 PHOENIX, AZ 85018
 CRD# 611
 Registered with this firm since: 01/11/2018

B MUTUAL OF OMAHA INVESTOR SERVICES, INC.
 3200 EAST CAMELBACK ROAD
 SUITE 190
 PHOENIX, AZ 85018
 CRD# 611
 Registered with this firm since: 01/11/2018

Report Summary for this Broker

This report summary provides an overview of the broker's professional background and conduct. Additional information can be found in the detailed report.

Broker Qualifications

This broker is registered with:

- 1 Self-Regulatory Organization
- 41 U.S. states and territories

This broker has passed:

- 4 Principal/Supervisory Exams
- 3 General Industry/Product Exams
- 2 State Securities Law Exams

Registration History

This broker was previously registered with the following securities firm(s):

- IA AMERITAS INVESTMENT CORP**
 CRD# 14869
 LINCOLN, NE
 10/2015 - 06/2017
- B AMERITAS INVESTMENT CORP.**
 CRD# 14869
 OVERLAND PARK, KS
 10/2015 - 06/2017
- B NEW ENGLAND SECURITIES**
 CRD# 615
 ST. LOUIS, MO
 10/2012 - 02/2014

Disclosure Events

All individuals registered to sell securities or provide investment advice are required to disclose customer complaints and arbitrations, regulatory actions, employment terminations, bankruptcy filings, and criminal or civil judicial proceedings.

Are there events disclosed about this broker? **Yes**

The following types of disclosures have been reported:

Type	Count
Regulatory Event	2
Customer Dispute	1
Termination	1



Broker Qualifications

Registrations

This section provides the self-regulatory organizations (SROs) and U.S. states/territories the broker is currently registered and licensed with, the category of each license, and the date on which it became effective. This section also provides, for every brokerage firm with which the broker is currently employed, the address of each branch where the broker works.

This individual is currently registered with 1 SRO and is licensed in 41 U.S. states and territories through his or her employer.

Employment 1 of 1

Firm Name: **MUTUAL OF OMAHA INVESTOR SERVICES, INC.**

Main Office Address: **3300 MUTUAL OF OMAHA PLAZA
OMAHA, NE 68175-1020**

Firm CRD#: **611**

	SRO	Category	Status	Date
B	FINRA	General Securities Principal	Approved	01/11/2018
B	FINRA	General Securities Representative	Approved	01/11/2018
B	FINRA	General Securities Sales Supervisor	Approved	01/11/2018
B	FINRA	Invest. Co and Variable Contracts	Approved	01/11/2018

	U.S. State/ Territory	Category	Status	Date
B	Alabama	Agent	Approved	10/23/2023
B	Alaska	Agent	Approved	11/06/2019
B	Arizona	Agent	Approved	07/05/2019
IA	Arizona	Investment Adviser Representative	Approved	07/24/2019
B	Arkansas	Agent	Approved	06/06/2023
B	California	Agent	Approved	10/04/2019
B	Colorado	Agent	Approved	10/04/2019
B	Connecticut	Agent	Approved	10/25/2023
B	Florida	Agent	Approved	10/04/2019

Broker Qualifications



Employment 1 of 1, continued

	U.S. State/ Territory	Category	Status	Date
B	Georgia	Agent	Approved	10/25/2023
B	Hawaii	Agent	Approved	01/02/2024
B	Idaho	Agent	Approved	10/08/2019
B	Illinois	Agent	Approved	07/14/2021
B	Kansas	Agent	Approved	01/22/2018
B	Maine	Agent	Approved	10/25/2023
B	Maryland	Agent	Approved	10/25/2023
B	Michigan	Agent	Approved	10/07/2019
B	Minnesota	Agent	Approved	10/23/2023
B	Missouri	Agent	Approved	05/06/2021
B	Montana	Agent	Approved	10/23/2023
B	Nebraska	Agent	Approved	01/11/2018
IA	Nebraska	Investment Adviser Representative	Approved	01/11/2018
B	Nevada	Agent	Approved	10/23/2019
B	New Hampshire	Agent	Approved	10/25/2023
B	New Jersey	Agent	Approved	10/23/2023
B	New Mexico	Agent	Approved	07/02/2019
B	New York	Agent	Approved	07/20/2021
B	North Carolina	Agent	Approved	10/04/2019
B	North Dakota	Agent	Approved	10/30/2023
B	Ohio	Agent	Approved	10/03/2019



Broker Qualifications

Employment 1 of 1, continued

	U.S. State/ Territory	Category	Status	Date
B	Oklahoma	Agent	Approved	10/04/2019
B	Oregon	Agent	Approved	10/24/2019
B	Pennsylvania	Agent	Approved	10/24/2023
B	South Carolina	Agent	Approved	01/27/2022
B	South Dakota	Agent	Approved	05/24/2021
B	Tennessee	Agent	Approved	10/24/2023
B	Texas	Agent	Approved	10/03/2019
B	Utah	Agent	Approved	11/15/2023
B	Virginia	Agent	Approved	05/12/2021
B	Washington	Agent	Approved	10/03/2019
B	West Virginia	Agent	Approved	02/03/2022
B	Wisconsin	Agent	Approved	10/24/2023
B	Wyoming	Agent	Approved	10/30/2023

Branch Office Locations

MUTUAL OF OMAHA INVESTOR SERVICES, INC.
 3200 EAST CAMELBACK ROAD
 SUITE 190
 PHOENIX, AZ 85018



Broker Qualifications

Industry Exams this Broker has Passed

This section includes all securities industry exams that the broker has passed. Under limited circumstances, a broker may attain a registration after receiving an exam waiver based on exams the broker has passed and/or qualifying work experience. Any exam waivers that the broker has received are not included below. A passed exam or exam waiver does not permit a broker to do business without an active SRO or state registration.

This individual has passed 4 principal/supervisory exams, 3 general industry/product exams, and 2 state securities law exams.

Principal/Supervisory Exams

Exam	Category	Date
B General Securities Sales Supervisor - General Module Examination	Series 10	01/02/2023
B General Securities Sales Supervisor - Options Module Examination	Series 9	01/02/2023
B General Securities Principal Examination	Series 24	12/05/2001
B General Securities Sales Supervisor Examination (Options Module & General Module)	Series 8	09/01/1998

General Industry/Product Exams

Exam	Category	Date
B Securities Industry Essentials Examination	SIE	10/01/2018
B General Securities Representative Examination	Series 7	03/11/1998
B Investment Company Products/Variable Contracts Representative Examination	Series 6	06/10/1991

State Securities Law Exams

Exam	Category	Date
IA Uniform Investment Adviser Law Examination	Series 65	08/09/1996
B Uniform Securities Agent State Law Examination	Series 63	06/10/1991

Additional information about the above exams or other exams FINRA administers to brokers and other securities professionals can be found at www.finra.org/brokerqualifications/registeredrep/.



Broker Qualifications

Professional Designations

This section details that the representative has reported **2** professional designation(s).

Certified Financial Planner
Chartered Financial Consultant

This representative holds or did hold **2** 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 and Employment History

Registration History

The broker previously was registered with the following firms:

Registration Dates	Firm Name	CRD#	Branch Location
IA 10/2015 - 06/2017	AMERITAS INVESTMENT CORP	14869	OVERLAND PARK, KS
B 10/2015 - 06/2017	AMERITAS INVESTMENT CORP.	14869	OVERLAND PARK, KS
B 10/2012 - 02/2014	NEW ENGLAND SECURITIES	615	ST. LOUIS, MO
IA 10/2012 - 02/2014	NEW ENGLAND SECURITIES CORPORATION	615	ST. LOUIS, MO
IA 02/1999 - 02/2014	METLIFE SECURITIES INC.	14251	ST. LOUIS, MO
B 06/1991 - 02/2014	METLIFE SECURITIES INC.	14251	ST. LOUIS, MO
B 06/1991 - 07/2007	METROPOLITAN LIFE INSURANCE COMPANY	4095	CHESTERFIELD, MO

Employment History

This section provides up to 10 years of an individual broker's employment history as reported by the individual broker on the most recently filed Form U4.

Please note that the broker is required to provide this information only while registered with FINRA or a national securities exchange and the information is not updated via Form U4 after the broker ceases to be registered. Therefore, an employment end date of "Present" may not reflect the broker's current employment status.

Employment	Employer Name	Position	Investment Related	Employer Location
07/2019 - Present	Mutual of Omaha	Managing Director	Y	Pheonix, AZ, United States
05/2014 - Present	OZARK CHARTERS	CAPTAIN	N	SUNRISE BEACH, MO, United States
01/2018 - 07/2019	Mutual of Omaha	Regional Sales Director	Y	Omaha, NE, United States
09/2015 - 12/2017	CREATIVE ONE	BROKER	Y	LEAWOOD, KS, United States
04/2015 - 12/2017	AMERITAS LIFE INSURANCE CORP	AGENT	Y	LINCOLN, NE, United States
02/2014 - 12/2017	Business Consultant	Owner/SOLE PROPRIETOR	N	Stillwell, KS, United States
05/2016 - 11/2017	Foundational Financial Partners, LLC	President	Y	Overland Park, KS, United States



Registration and Employment History

Employment History, continued

Employment	Employer Name	Position	Investment Related	Employer Location
08/2015 - 11/2017	TAX FAVORED BENEFITS	SENIOR VICE PRESIDENT	Y	OVERLAND PARK, KS, United States
08/2015 - 05/2017	AMERITAS INVESTMENT CORP	REGISTERED REPRESENTATIVE/IA R	Y	LINCOLN, NE, United States

Other Business Activities

This section includes information, if any, as provided by the broker regarding other business activities the broker 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.

Insurance Agent - Start Date: 07/2019- Non-investment Related - Insurance lines of business: Life, Health & Annuity - Hours/per week during trading hours: 10

Treasurer or Sunrise Condo Community in Scottsdale. Do not handle any money for the organization, just review the budget for approval by the board. 2/1/2023-Present

Mutual of Omaha Mortgage Lead Incentive Program; not investment related. Less than 1/hr per week. Submit qualified forward/reverse mortgage leads to Mutual of Omaha Mortgage when a customer indicates a potential need for these services.

Disclosure Events



What you should know about reported disclosure events:

1. All individuals registered to sell securities or provide investment advice are required to disclose customer complaints and arbitrations, regulatory actions, employment terminations, bankruptcy filings, and criminal or civil judicial proceedings.
2. **Certain thresholds must be met before an event is reported to CRD, for example:**
 - A law enforcement agency must file formal charges before a broker is required to disclose a particular criminal event.
 - A customer dispute must involve allegations that a broker engaged in activity that violates certain rules or conduct governing the industry and that the activity resulted in damages of at least \$5,000.
 -
3. **Disclosure events in BrokerCheck reports come from different sources:**
 - As mentioned at the beginning of this report, information contained in BrokerCheck comes from brokers, brokerage 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 BrokerCheck report. The different versions will be separated by a solid line with the reporting source labeled.
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4. **There are different statuses and dispositions for disclosure events:**
 - A disclosure event may have a status of *pending*, *on appeal*, or *final*.
 - A "pending" event involves allegations that have not been proven or formally adjudicated.
 - An event that is "on appeal" involves allegations that have been adjudicated but are currently being appealed.
 - A "final" event has been concluded and its resolution is not subject to change.
 - A final 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 involves an agreement by the parties to resolve the matter. Please note that brokers and brokerage firms may choose to settle customer disputes or regulatory matters for business or other reasons.
 - A "resolved" matter usually involves no payment to the customer and no finding of wrongdoing on the part of the individual broker. Such matters generally involve customer disputes.

For your convenience, below is a matrix of the number and status of disclosure events involving this broker. Further information regarding these events can be found in the subsequent pages of this report. You also may wish to contact the broker to obtain further information regarding these events.

	Pending	Final	On Appeal
Regulatory Event	0	2	0
Customer Dispute	0	1	N/A
Termination	N/A	1	N/A



Disclosure Event Details

When evaluating this information, please keep in mind that a disclosure event may be pending or involve allegations that are contested and have not been resolved or proven. The matter may, in the end, be withdrawn, dismissed, resolved in favor of the broker, or concluded through a negotiated settlement for certain business reasons (e.g., to maintain customer relationships or to limit the litigation costs associated with disputing the allegations) with no admission or finding of wrongdoing.

This report provides the information exactly as it was reported to CRD and therefore some of the specific data fields contained in the report may be blank if the information was not provided to CRD.

Regulatory - Final

This type of disclosure event may involve (1) a final, formal proceeding initiated by a regulatory authority (e.g., a state securities agency, self-regulatory organization, federal regulatory such as the Securities and Exchange Commission, foreign financial regulatory body) for a violation of investment-related rules or regulations; or (2) a revocation or suspension of a broker's authority to act as an attorney, accountant, or federal contractor.

Disclosure 1 of 2

Reporting Source:	Broker
Regulatory Action Initiated By:	COMMONWEALTH OF KENTUCKY DEPARTMENT OF INSURANCE
Sanction(s) Sought:	Revocation
Date Initiated:	06/19/2014
Docket/Case Number:	743812 FILE 2014-0116
Employing firm when activity occurred which led to the regulatory action:	METROPOLITAN LIFE INSURANCE COMPANY
Product Type:	No Product
Allegations:	RR DID NOT RESPOND TO KENTUCKY DEPARTMENT OF INSURANCE'S INQUIRY FROM APRIL 8,2014 AND MAY 8, 2014
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? Yes

Resolution Date: 06/19/2014

Sanctions Ordered: Revocation

Sanction 1 of 1

Sanction Type: Bar (Temporary/Time Limited)

Capacities Affected: ALL CAPACITIES

Duration: ONE YEAR

Start Date: 06/19/2014

End Date: 06/18/2015

Disclosure 2 of 2

Reporting Source: Broker

Regulatory Action Initiated By: NEW YORK STATE DEPARTMENT OF FINANCIAL SERVICES

Sanction(s) Sought: Other: STIPULATION - SURRENDERING LICENSE

Date Initiated: 03/04/2015

Docket/Case Number: 2015-0036-05

Employing firm when activity occurred which led to the regulatory action: METROPOLITAN LIFE INSURANCE COMPANY

Product Type: No Product

Allegations: FAILED TO NOTIFY THE NEW YORK DEPARTMENT OF INSURANCE WITHIN 30 DAYS THAT HE WAS THE SUBJECT OF AN ADMINISTRATIVE ACTION BY THE KENTUCKY DEPARTMENT OF INSURANCE. FAILED TO DISCLOSE THAT HE WAS NAMED AS A PARTY TO AN A FINRA ARBITRATION PROCEEDING.

Current Status: Final

Resolution: Stipulation and Consent



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:

03/04/2015

Sanctions Ordered:

Other: STIPULATION SURRENDERING LICENSE



Customer Dispute - Settled

This type of disclosure event involves a consumer-initiated, investment-related complaint, arbitration proceeding or civil suit containing allegations of sale practice violations against the broker that resulted in a monetary settlement to the customer.

Disclosure 1 of 1

Reporting Source:	Broker
Employing firm when activities occurred which led to the complaint:	METLIFE
Allegations:	CUSTOMER ALLEGED THAT WHEN HE PURCHASED A VARIABLE ANNUITY IN JANUARY 2008 THE REPRESENTATIVE DID NOT EXPLAIN THE VALUE WAS RELATED TO STOCK MARKET PERFORMANCE AND HE WAS LED TO BELIEVE THERE WAS NO RISK INVOLVED. NO SPECIFIC COMPENSATORY DAMAGES WERE ALLEGED.
Product Type:	Annuity-Variable
Alleged Damages:	\$0.00
Alleged Damages Amount Explanation (if amount not exact):	NOT SPECIFIED
Is this an oral complaint?	No
Is this a written complaint?	Yes
Is this an arbitration/CFTC reparation or civil litigation?	No

Customer Complaint Information

Date Complaint Received:	02/09/2009
Complaint Pending?	No
Status:	Evolved into Arbitration/CFTC reparation (the individual is a named party)
Status Date:	04/13/2010
Settlement Amount:	
Individual Contribution Amount:	

Arbitration Information



Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.):	FINRA
Docket/Case #:	10-01574
Date Notice/Process Served:	04/13/2010
Arbitration Pending?	No
Disposition:	Settled
Disposition Date:	09/12/2011
Monetary Compensation Amount:	\$14,999.00
Individual Contribution Amount:	\$7,499.50



Employment Separation After Allegations

This type of disclosure event involves a situation where the broker voluntarily resigned, was discharged, or was permitted to resign after being accused of (1) violating investment-related statutes, regulations, rules or industry standards of conduct; (2) fraud or the wrongful taking of property; or (3) failure to supervise in connection with investment-related statutes, regulations, rules, or industry standards of conduct.

Disclosure 1 of 1

Reporting Source: Firm
Employer Name: METLIFE
Termination Type: Discharged
Termination Date: 01/22/2014
Allegations: REGISTERED REPRESENTATIVE DID NOT FOLLOW FIRM POLICY WITH RESPECT TO BUSINESS EXPENSE REIMBURSEMENTS AND SALES CONTESTS. (NON-SECURITIES RELATED)
Product Type: No Product

Reporting Source: Broker
Employer Name: METLIFE SECURITIES
Termination Type: Discharged
Termination Date: 01/22/2014
Allegations: FAILURE TO FOLLOW COMPANY POLICY RELATED TO EXPENSE REIMBURSEMENT AND SALES CONTESTS
Product Type: No Product
Broker Statement INVESTIGATED BY FINRA. NO FURTHER ACTION TAKEN

End of Report



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