

BrokerCheck Report

JASON MICHAEL GANTON

CRD# 2751305

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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.

JASON M. GANTON

CRD# 2751305

This broker is not currently registered.

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 not currently registered.

This broker has passed:

- 1 Principal/Supervisory Exam
- 1 General Industry/Product Exam
- 1 State Securities Law Exam

Registration History

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

B STERNE AGEE FINANCIAL SERVICES, INC.

CRD# 18456
FORT LAUDERDALE, FL
08/2009 - 07/2012

B EMMETT A LARKIN COMPANY, INC.

CRD# 6625
FORT LAUDERDALE, FL
11/2005 - 08/2009

B SALOMON GREY FINANCIAL CORPORATION

CRD# 43413
DALLAS, TX
04/2004 - 11/2005

Disclosure Events

This broker has been involved in one or more disclosure events involving certain final criminal matters, regulatory actions, civil judicial proceedings, or arbitrations or civil litigations.

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

The following types of disclosures have been reported:

| Type | Count |
|------------------|-------|
| Regulatory Event | 1 |
| Customer Dispute | 1 |

Broker Qualifications



Registrations

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

This broker is not currently registered.

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 1 principal/supervisory exam, 1 general industry/product exam, and 1 state securities law exam.

Principal/Supervisory Exams

| Exam | Category | Date |
|---|-----------|------------|
| B General Securities Principal Examination | Series 24 | 05/24/2001 |

General Industry/Product Exams

| Exam | Category | Date |
|--|----------|------------|
| B General Securities Representative Examination | Series 7 | 05/31/1996 |

State Securities Law Exams

| Exam | Category | Date |
|---|-----------|------------|
| B Uniform Securities Agent State Law Examination | Series 63 | 06/11/1996 |

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 **0** professional designation(s).

No information reported.

Registration and Employment History



Registration History

The broker previously was registered with the following securities firms:

| Registration Dates | Firm Name | CRD# | Branch Location |
|---------------------|--------------------------------------|-------|---------------------|
| B 08/2009 - 07/2012 | STERNE AGEE FINANCIAL SERVICES, INC. | 18456 | FORT LAUDERDALE, FL |
| B 11/2005 - 08/2009 | EMMETT A LARKIN COMPANY, INC. | 6625 | FORT LAUDERDALE, FL |
| B 04/2004 - 11/2005 | SALOMON GREY FINANCIAL CORPORATION | 43413 | DALLAS, TX |
| B 06/2003 - 04/2004 | HUNTER SCOTT FINANCIAL LLC. | 45559 | DELRAY BH, FL |
| B 08/2001 - 07/2003 | SALOMON GREY FINANCIAL CORPORATION | 43413 | DALLAS, TX |
| B 05/1999 - 09/2001 | EMERSON BENNETT & ASSOCIATES | 36171 | FT. LAUDERDALE, FL |
| B 07/1997 - 05/1999 | J.P. TURNER & COMPANY, L.L.C. | 43177 | ATLANTA, GA |
| B 02/1997 - 07/1997 | NICHOLS, SAFINA, LERNER & CO. INC. | 35476 | NEW YORK, NY |
| B 09/1996 - 01/1997 | THE THORNWATER COMPANY, L.P. | 36195 | NEW YORK, NY |
| B 08/1996 - 10/1996 | THE BOSTON GROUP | 37652 | LOS ANGELES, CA |
| B 07/1996 - 08/1996 | EURO-ATLANTIC SECURITIES INC. | 21367 | BOCA RATON, FL |
| B 06/1996 - 07/1996 | CORPORATE SECURITIES GROUP, INC. | 11025 | ST. LOUIS, 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 |
|-------------------|--------------------------------------|----------------------|--------------------|------------------------------------|
| 08/2009 - Present | STERNE AGEE FINANCIAL SERVICES, INC. | Mass Transfer | Y | FORT LAUDERDALE, FL, United States |
| 10/2005 - Present | EMMETT A. LARKIN COMPANY INC | FINANCIAL CONSULTANT | Y | FORT LAUDERDALE, FL, United States |

Disclosure Events



What you should know about reported disclosure events:

1. Disclosure events in BrokerCheck reports come from different sources:

- As mentioned at the beginning of this report, information contained in BrokerCheck comes from brokers, their employing firms, and regulators. When more than one source reports information for the same disclosure event, all versions of the event will appear in the BrokerCheck report. The different versions are separated by a solid line with the reporting source labeled.

For your convenience, below is a matrix of the number and status of regulatory 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.

| | Final | On Appeal |
|------------------|-------|-----------|
| Regulatory Event | 1 | 0 |
| Customer Dispute | 1 | N/A |



Disclosure Event Details

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 involves a final, formal proceeding initiated by a regulatory authority (e.g., a state securities agency, self-regulatory organization, federal regulator such as the Securities and Exchange Commission, foreign financial regulatory body) for a violation of investment-related rules or regulations.

Disclosure 1 of 1

| | |
|--|---|
| Reporting Source: | Regulator |
| Regulatory Action Initiated By: | UNITED STATES SECURITIES AND EXCHANGE COMMISSION |
| Sanction(s) Sought: | Cease and Desist |
| Date Initiated: | 09/29/2016 |
| Docket/Case Number: | 3-17598 |
| Employing firm when activity occurred which led to the regulatory action: | eCareer Holdings, Inc.; eCareer, Inc. |
| Product Type: | Other: unspecified securities |
| Allegations: | SEC Admin Release 34-78995; Investment Company Release 40-32296, September 29, 2016: The SEC deems it appropriate and in the public interest that public administrative and cease-and-desist proceedings be, and hereby are, instituted pursuant to Sections 15(b) and 21C of the Securities Exchange Act of 1934, and Section 9(b) of the Investment Company Act of 1940 against Jason M. Ganton. In anticipation of the institution of these proceedings, Respondent has submitted an Offer of Settlement which the Commission has determined to accept. Solely for the purpose of these proceedings and any other proceedings brought by or on behalf of the Commission, or to which the Commission is a party, and without admitting or denying the findings herein, except as to the Commission's jurisdiction over him and the subject matter of these proceedings, which are admitted, and except as provided herein, Respondent consents to the entry of this Order Instituting Administrative and Cease-And-Desist Proceedings Pursuant to Sections 15(b) and 21C of the Securities Exchange Act of 1934, and Section 9(b) of the Investment Company Act of 1940, Making Findings, and Imposing Remedial Sanctions and a Cease-And-Desist Order. On the basis of this Order and Respondent's Offer, the Commission finds that these proceedings rise out of Respondent's participation as an unregistered broker-dealer in the offer and sale of securities by two companies in interstate commerce. On April 7, 2015, the |



Commission filed an emergency injunctive action in federal district court charging the companies and their principals with, among other things, the ongoing unregistered offer and sale of securities nationwide by raising approximately \$11 million from more than 400 investors. Civil Action No. 9:15-CV-80446. Respondent, acting as an unregistered sales agent of the companies, offered and sold their stock to investors and earned transaction-based compensation from each sale. As a result of the conduct described above, Respondent willfully violated Section 15(a)(1) of the Exchange Act.

| | |
|---|--|
| 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: | 09/29/2016 |
| Sanctions Ordered: | Bar (Permanent) Cease and Desist Civil and Administrative Penalty(ies)/Fine(s) Disgorgement Monetary Penalty other than Fines Prohibition |
| 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 2

Sanction Type: Bar (Permanent)
Capacities Affected: penny stock
Duration: Indefinite
Start Date: 09/29/2016
End Date:

Sanction 2 of 2

Sanction Type: Bar (Permanent)
Capacities Affected: any broker, dealer, investment adviser, municipal securities dealer, municipal advisor, transfer agent, or NRSRO
Duration: Indefinite
Start Date: 09/29/2016
End Date:

Monetary Sanction 1 of 3

Monetary Related Sanction: Disgorgement
Total Amount: \$155,600.00
Portion Levied against individual: \$155,600.00

**Payment Plan:****Is Payment Plan Current:****Date Paid by individual:****Was any portion of penalty waived?** No**Amount Waived:****Monetary Sanction 2 of 3****Monetary Related Sanction:** Civil and Administrative Penalty(ies)/Fine(s)**Total Amount:** \$7,500.00**Portion Levied against individual:** \$7,500.00**Payment Plan:****Is Payment Plan Current:****Date Paid by individual:****Was any portion of penalty waived?** No**Amount Waived:****Monetary Sanction 3 of 3****Monetary Related Sanction:** Monetary Penalty other than Fines**Total Amount:** \$2,863.85**Portion Levied against individual:** \$2,863.85**Payment Plan:** prejudgment interest**Is Payment Plan Current:****Date Paid by individual:****Was any portion of penalty waived?** No**Amount Waived:****Regulator Statement**

Accordingly, pursuant to Sections 15(b) and 21C of the Exchange Act, and Section 9(b) of the Investment Company Act, it is hereby ordered that Respondent Jason M. Ganton cease and desist from committing or causing any violations and any



future violations of Section 15(a)(1) of the Exchange Act; be, and hereby is barred from association with any broker, dealer, investment adviser, municipal securities dealer, municipal advisor, transfer agent, nationally recognized statistical rating organization ("NRSRO"); prohibited from serving or acting as an employee, officer, director, member of an advisory board, investment adviser or depositor of, or principal underwriter for, a registered investment company or affiliated person of such investment adviser, depositor, or principal underwriter; and is barred from participating in any offering of penny stock; shall, within 30 days of the entry of this Order, pay disgorgement of \$155,600 and prejudgment interest of \$2,863.85 to the SEC; and Respondent shall, within 30 days of the entry of the Order, pay a civil money penalty in the amount of \$7,500.00 to the SEC. Any reapplication for association by the Respondent will be subject to the applicable laws and regulations governing the reentry process, and reentry may be conditioned upon a number of factors.



Customer Dispute - Award / Judgment

This type of disclosure event involves a final, consumer-initiated, investment-related arbitration or civil suit containing allegations of sales practice violations against the named broker that resulted in an arbitration award or civil judgment for the customer.

Disclosure 1 of 1

Reporting Source: Firm
Employing firm when activities occurred which led to the complaint: EMERSON BENNETT & ASSOC
Allegations: EXCISIVE TRADING
Product Type: Equity - OTC
Alleged Damages: \$9,900.00

Customer Complaint Information

Date Complaint Received: 02/05/2001
Complaint Pending? No
Status: Arbitration/Reparation
Status Date: 09/01/2001
Settlement Amount:

Individual Contribution Amount:

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: [NASD-DR ARBITRATION #01-00735](#)
Date Notice/Process Served: 09/01/2001
Arbitration Pending? No
Disposition: Award to Customer
Disposition Date: 09/01/2001
Monetary Compensation Amount: \$9,900.00
Individual Contribution Amount: \$9,900.00



Reporting Source: Broker
Employing firm when activities occurred which led to the complaint: EMERSON BENNETT & ASSOC.

Allegations: ALLEGED CHURNING

Product Type: Equity - OTC

Alleged Damages: \$9,900.00

Customer Complaint Information

Date Complaint Received: 02/05/2001

Complaint Pending? No

Status: Arbitration/Reparation

Status Date: 09/01/2001

Settlement Amount:

Individual Contribution Amount:

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: [NASD-DR #01-00735](#)

Date Notice/Process Served: 02/05/2001

Arbitration Pending? No

Disposition: Award to Customer

Disposition Date: 09/01/2001

Monetary Compensation Amount: \$9,900.00

Individual Contribution Amount: \$9,900.00

End of Report



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