

BrokerCheck Report

Jonathan Paul Krueger

CRD# 4416059

<u>Section Title</u>	<u>Page(s)</u>
Report Summary	1
Broker Qualifications	2 - 4
Registration and Employment History	6 - 7
Disclosure Events	8



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.

Jonathan P. Krueger

CRD# 4416059

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

- IA LARSON FINANCIAL GROUP, LLC**
 Colorado Springs, CO
 CRD# 140599
 Registered with this firm since: 07/26/2021
- B LARSON FINANCIAL SECURITIES, LLC**
 100 N BROADWAY
 SUITE 1700
 SAINT LOUIS, MO 63102
 CRD# 152517
 Registered with this firm since: 11/19/2021

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
- 10 U.S. states and territories

This broker has passed:

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

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

- IA LION STREET ADVISORS, LLC**
 CRD# 167610
 AUSTIN, TX
 10/2018 - 07/2021
- IA ACCELERATED WEALTH ADVISORS LLC**
 CRD# 170022
 COLORADO SPRINGS, CO
 09/2014 - 09/2018
- B PFS INVESTMENTS INC.**
 CRD# 10111
 COLORADO SPRINGS, CO
 11/2002 - 06/2009

**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
Customer Dispute	3



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 10 U.S. states and territories through his or her employer.

Employment 1 of 2

Firm Name: **LARSON FINANCIAL GROUP, LLC**

Main Office Address: **100 N BROADWAY
SUITE 1700
SAINT LOUIS, MO 63102**

Firm CRD#: **140599**

	U.S. State/ Territory	Category	Status	Date
IA	Colorado	Investment Adviser Representative	Approved	09/18/2024
IA	Missouri	Investment Adviser Representative	Approved	07/26/2021
IA	Texas	Investment Adviser Representative	Restricted Approval	07/26/2021
IA	Utah	Investment Adviser Representative	Approved	03/23/2023

Branch Office Locations

100 N BROADWAY
SUITE 1700
SAINT LOUIS, MO 63102

Colorado Springs, CO

Employment 2 of 2

Firm Name: **LARSON FINANCIAL SECURITIES, LLC**

Main Office Address: **100 N BROADWAY
SUITE 1700
SAINT LOUIS, MO 63102**



Broker Qualifications

Employment 2 of 2, continued

Firm CRD#: 152517

SRO	Category	Status	Date
B FINRA	General Securities Representative	Approved	11/19/2021

U.S. State/ Territory	Category	Status	Date
B Alaska	Agent	Approved	10/19/2022
B Arizona	Agent	Approved	10/19/2022
B California	Agent	Approved	09/25/2024
B Colorado	Agent	Approved	09/18/2024
B Idaho	Agent	Approved	11/14/2022
B Missouri	Agent	Approved	12/17/2021
B Oregon	Agent	Approved	06/17/2024
B Texas	Agent	Approved	08/16/2022
B Washington	Agent	Approved	04/29/2022

Branch Office Locations

LARSON FINANCIAL SECURITIES, LLC

100 N BROADWAY
 SUITE 1700
 SAINT LOUIS, MO 63102



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, 3 general industry/product exams, and 2 state securities law exams.

Principal/Supervisory Exams

Exam	Category	Date
B Investment Company Products/Variable Contracts Principal Examination	Series 26	03/04/2006

General Industry/Product Exams

Exam	Category	Date
B Securities Industry Essentials Examination	SIE	11/19/2021
B General Securities Representative Examination	Series 7TO	09/17/2021
B Investment Company Products/Variable Contracts Representative Examination	Series 6	11/15/2002

State Securities Law Exams

Exam	Category	Date
B Uniform Securities Agent State Law Examination	Series 63	12/17/2021
IA Uniform Investment Adviser Law Examination	Series 65	09/08/2014

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 firms:

Registration Dates	Firm Name	CRD#	Branch Location
IA 10/2018 - 07/2021	LION STREET ADVISORS, LLC	167610	St Louis, MO
IA 09/2014 - 09/2018	ACCELERATED WEALTH ADVISORS LLC	170022	CHESTERFIELD, MO
B 11/2002 - 06/2009	PFS INVESTMENTS INC.	10111	COLORADO SPRINGS, CO

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
09/2023 - Present	KRUEGER OZ FUND, LLC	Managing Member	Y	Weldon Spring, MO, United States
12/2022 - Present	KRUEGER EZ LIFE, LLC	Managing Member	N	Weldon Spring, MO, United States
07/2021 - Present	LARSON FINANCIAL GROUP, LLC	Investment Advisor Representative	Y	Chesterfield, MO, United States
07/2020 - Present	Rocky Mountain Leadership Group, LLC	Managing Member	N	Chesterfield, MO, United States
07/2014 - Present	LionsGate Advisors	CEO, Insurance Agent	N	Chesterfield, MO, United States
10/2018 - 07/2021	LION STREET ADVISORS	INVESTMENT ADVISOR REPRESENTATIVE	Y	ST LOUIS, MO, United States
10/2011 - 05/2020	ROCKY MOUNTAIN LEADERSHIP GROUP INC	PRESIDENT	N	COLORADO SPRINGS, CO, United States
09/2014 - 09/2018	ACCELERATED WEALTH ADVISORS, LLC	EXECUTIVE DIRECTOR/INVESTMENT ADVISOR REPRESENTATIVE	Y	COLORAD SPRINGS, CO, United States



Registration and Employment History

Employment History, continued

Employment	Employer Name	Position	Investment Related	Employer Location
01/2013 - 09/2018	ACCELERATED WEALTH, LLC	WEALTH STRATEGIST	N	COLORADO SPRINGS, CO, 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.

1) Rocky Mountain Leadership Group, LLC (Managing Member), a single member disregarded entity. (100 Hours/ Year) = Approximately 2 hours a week = 8.33 Hours/Month

2) Krueger EZ Life, LLC (Managing Member), December 2022-Present (100 Hours/ Year) = Approximately 2 hours a week = 8.33 Hours/Month



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.
 -
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
Customer Dispute	2	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.

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:	Firm
Employing firm when activities occurred which led to the complaint:	PFS INVESTMENTS INC.
Allegations:	CUSTOMER ALLEGES THAT THE REPRESENTATIVE HAS MISREPRESENTED THE METLIFE ANNUITY CONTRACT SHE PURCHASED THE CONTRACT ON 07/28/2007. SHE HAS REQUESTED WAIVER OF SURRENDER CHARGES.
Product Type:	Annuity-Variable
Alleged Damages:	\$5,000.00
Alleged Damages Amount Explanation (if amount not exact):	THE FIRM'S GOOD FAITH ESTIMATE OF ALLEGED COMPENSATORY DAMAGES POTENTIALLY EXCEEDS \$5,000.00.
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:	06/09/2010
Complaint Pending?	No
Status:	Settled



Status Date:	07/29/2010
Settlement Amount:	\$12,189.14
Individual Contribution Amount:	\$0.00
Firm Statement	THE FIRM SETTLED WITH THE CUSTOMER.



Customer Dispute - Pending

This type of disclosure event involves (1) a pending consumer-initiated, investment-related arbitration or civil suit that contains allegations of sales practice violations against the broker; or (2) a pending, consumer-initiated, investment-related written complaint containing allegations that the broker engaged in, sales practice violations resulting in compensatory damages of at least \$5,000, forgery, theft, or misappropriation, or conversion of funds or securities.

Disclosure 1 of 2

Reporting Source:	Broker
Employing firm when activities occurred which led to the complaint:	LION STREET ADVISORS, LLC
Allegations:	From October 2019 through January 2023, Customer alleges inappropriate investment selection in an investment advisory account.
Product Type:	Other: Investment Advisory Services
Alleged Damages:	\$217,316.00
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:	11/06/2024
Complaint Pending?	Yes
Status:	
Status Date:	11/18/2024
Settlement Amount:	
Individual Contribution Amount:	

Disclosure 2 of 2

Reporting Source:	Broker
Employing firm when activities occurred which led to the complaint:	Accelerated Wealth, Lion Street Advisors, L&G Strategies Inc., Larson Financial Group, LLC and Larson Financial Securities, LLC
Allegations:	From 2016 to 2023, the Customers implemented various insurance policies and



invested in a limited partnership pursuant to the Registered Representative's advice. Customer alleges negligence, unsuitability and breach of fiduciary duty.

Product Type: Direct Investment-DPP & LP Interests
Insurance

Alleged Damages: \$7,374,258.61

Civil Litigation Information

Type of Court: State Court
Name of Court: THE THIRTEENTH JUDICIAL CIRCUIT COURT OF MISSOURI
Location of Court: BOONE COUNTY
Docket/Case #: 23BA-CV04951
Date Notice/Process Served: 12/27/2023
Litigation Pending? Yes

End of Report



This page is intentionally left blank.