

BrokerCheck Report

GABE JOSEPH BOWERS

CRD# 4543029

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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.



GABE J. BOWERS

CRD# 4543029

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

- IA J. W. COLE ADVISORS, INC.**
811 Keeler St.
Boone, IA 50036
CRD# 112294
Registered with this firm since: 07/29/2024
- B J.W. COLE FINANCIAL, INC.**
811 Keeler St.
Boone, IA 50036
CRD# 124583
Registered with this firm since: 07/29/2024

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
- 12 U.S. states and territories

This broker has passed:

- 0 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 OSAIC WEALTH, INC.**
CRD# 23131
SCOTTSDALE, AZ
11/2018 - 08/2024
- B OSAIC WEALTH, INC.**
CRD# 23131
BOONE, IA
11/2018 - 08/2024
- IA SIGNATOR INVESTORS, INC.**
CRD# 468
BOSTON, MA
05/2016 - 11/2018

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? **No**



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

Employment 1 of 2

Firm Name: J. W. COLE ADVISORS, INC.
Main Office Address: 4301 ANCHOR PLAZA PARKWAY
SUITE 450
TAMPA, FL 33634
Firm CRD#: 112294

U.S. State/ Territory	Category	Status	Date
IA Iowa	Investment Adviser Representative	Approved	07/29/2024

Branch Office Locations

4301 ANCHOR PLAZA PARKWAY
SUITE 450
TAMPA, FL 33634

811 Keeler St.
Boone, IA 50036

Employment 2 of 2

Firm Name: J.W. COLE FINANCIAL, INC.
Main Office Address: 4301 ANCHOR PLAZA PARKWAY
SUITE 450
TAMPA, FL 33634
Firm CRD#: 124583

SRO	Category	Status	Date
B FINRA	General Securities Representative	Approved	07/29/2024



Broker Qualifications

Employment 2 of 2, continued

SRO	Category	Status	Date
B FINRA	Invest. Co and Variable Contracts	Approved	07/29/2024

U.S. State/ Territory	Category	Status	Date
B California	Agent	Approved	07/29/2024
B Florida	Agent	Approved	07/29/2024
B Indiana	Agent	Approved	07/29/2024
B Iowa	Agent	Approved	07/29/2024
B Minnesota	Agent	Approved	07/29/2024
B Nebraska	Agent	Approved	07/29/2024
B North Dakota	Agent	Approved	03/26/2025
B Ohio	Agent	Approved	07/29/2024
B Oklahoma	Agent	Approved	07/29/2024
B Texas	Agent	Approved	07/29/2024
B Virginia	Agent	Approved	07/29/2024
B West Virginia	Agent	Approved	07/29/2024

Branch Office Locations

J.W. COLE FINANCIAL, INC.
 811 Keeler St.
 Boone, IA 50036



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

Principal/Supervisory Exams

Exam	Category	Date
No information reported.		

General Industry/Product Exams

Exam	Category	Date
B Securities Industry Essentials Examination	SIE	10/01/2018
B General Securities Representative Examination	Series 7	10/06/2009
B Investment Company Products/Variable Contracts Representative Examination	Series 6	06/11/2002

State Securities Law Exams

Exam	Category	Date
IA Uniform Investment Adviser Law Examination	Series 65	01/22/2008
B Uniform Securities Agent State Law Examination	Series 63	06/14/2002

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 **1** professional designation(s).

Chartered Financial Consultant

This representative holds or did hold **1** 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
B 11/2018 - 08/2024	OSAIC WEALTH, INC.	23131	BOONE, IA
IA 11/2018 - 08/2024	OSAIC WEALTH, INC.	23131	BOONE, IA
B 05/2016 - 11/2018	SIGNATOR INVESTORS, INC.	468	BOONE, IA
IA 05/2016 - 11/2018	SIGNATOR INVESTORS, INC.	468	BOONE, IA
IA 02/2008 - 05/2016	TRANSAMERICA FINANCIAL ADVISORS, INC.	16164	BOONE, IA
B 06/2002 - 05/2016	TRANSAMERICA FINANCIAL ADVISORS, INC	16164	BOONE, IA

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
07/2024 - Present	J.W. Cole Advisors, Inc.	Investment Advisor Representative	Y	Tampa, FL, United States
07/2024 - Present	J.W. Cole Financial, Inc.	Registered Representative	Y	Tamap, FL, United States
08/2004 - Present	NAIFA IOWA-BOONE/STORY COUNTY	PRESIDENT	N	AMES, IA, United States
11/2018 - 07/2024	Osaic Wealth, Inc.	Registered Rep	Y	BOONE, IA, United States
05/2016 - 11/2018	SIGNATOR INVESTORS, INC.	Reg Rep	Y	BOONE, IA, United States
05/2002 - 05/2016	TRANSAMERICA FINANCIAL ADVISORS, INC.	REGISTERED REPRESENTATIVE	Y	BOONE, IA, United States



Registration and Employment History

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) BOWERS FINANCIAL; S-Corp; Not investment related; 811 Keeler St, Boone IA 50036; owner; Start 2003; 1 hour/month, 1 hour/month during trading.

(2) BOWERS DIGMANN FINANCIAL; DBA; Investment related; 811 Keeler St, Boone IA 50036; Owner; Financial Planning; Start 2003; 40 hour/week, 30 hours/week during trading.

(3) BOWERS INSURANCE GROUP; Health Insurance; Not Investment related; 811 Keeler St, Boone IA 50036; Owner; Sell/service health insurance; Start 2015; 10 hours/month, 10 hours/month during trading.

(4) BOONE COUNTY ENDOWMENT; Not Investment Related; 1327 SE Marshall St, Boone, IA 50036; Vice President; volunteer board - assist with grant rating to determine what non-profit get funded; Start 2018; 2 hours/year, 0 during trading.

(5) BOONE EDUCATION ENDOWMENT FUND; Not investment related; PO Box 428; Boone, IA 50036; Board Member/Secretary; Meet twice/year to select school projects that are granted money based on superintendent request; Start 2020; 2 hours/year, 0 during trading.

(6) Notary; Not investment related; 811 Keeler St, Boone IA 50036; Notarized docs; Start 2005; 0 hours.

(7) BOONE COUNTY ECONOMIC GROWTH; Not investment Related; PO Box 58, Boone, IA 50036; Board Member; Start 2014; 1 hour/month, 4 hours/year during trading.

(8) BOONE/STORY I-CLUB; Not investment related; PO Box 335, Boone, IA 50036; President; Host annual golf outing social as board member; Start 2019; 5 hours/year, 0 during trading.

(9) BSCG, LLC; Rental Storage Business; Not investment related; 1311 Noble Lynx Drive, Boone, IA 50036; Member; Partner with spouse, brother & sister in-law, own 2 different properties w/storage units; Start 2017; 1 hour/month, 0 during trading.

(10) CRB LAND; Property Ownership; Not investment related; 811 Keeler St, Boone, IA 50036; Spouse owns office building and land for future expansion, Gabe has authority to sign checks; Start 2023; 0 hours.

End of Report



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