

BrokerCheck Report

JASON SCOTT TINKLENBERG

CRD# 4583992

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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 S. TINKLENBERG

CRD# 4583992

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

IA SUTTERFIELD FINANCIAL GROUP, INC.
3208 EAST 26TH STREET
SIOUX FALLS, SD 57103
CRD# 115652
Registered with this firm since: 10/17/2005

B PURSHE KAPLAN STERLING INVESTMENTS
7401 South Bitterroot Place
Suite 100
Sioux Falls, SD 57108
CRD# 35747
Registered with this firm since: 03/11/2016

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:

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

Registration History

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

- B NATIONAL PLANNING CORPORATION**
CRD# 29604
Sioux Falls, SD
10/2007 - 03/2016
- IA NATIONAL PLANNING CORPORATION ("NPC OF AMERICA" IN FL & NY)**
CRD# 29604
LOS ANGELES, CA
10/2007 - 10/2007
- B AMERICAN GENERAL SECURITIES INCORPORATED**
CRD# 13626
SIOUX FALLS, SD
10/2002 - 10/2007

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	4



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: **PURSHE KAPLAN STERLING INVESTMENTS**

Main Office Address: **80 STATE STREET
ALBANY, NY 12207**

Firm CRD#: **35747**

	SRO	Category	Status	Date
B	FINRA	Invest. Co and Variable Contracts	Approved	03/11/2016

	U.S. State/ Territory	Category	Status	Date
B	Arizona	Agent	Approved	01/22/2021
B	Arkansas	Agent	Approved	01/02/2020
B	California	Agent	Approved	03/11/2016
B	Illinois	Agent	Approved	03/11/2016
B	Iowa	Agent	Approved	03/11/2016
B	Minnesota	Agent	Approved	03/11/2016
B	Montana	Agent	Approved	03/15/2016
B	Oklahoma	Agent	Approved	02/26/2024
B	South Dakota	Agent	Approved	03/11/2016
B	Texas	Agent	Approved	01/09/2024

Branch Office Locations

PURSHE KAPLAN STERLING INVESTMENTS



Broker Qualifications

Employment 1 of 2, continued

7401 South Bitterroot Place
Suite 100
Sioux Falls, SD 57108

Employment 2 of 2

Firm Name: SUTTERFIELD FINANCIAL GROUP, INC.
Main Office Address: 501 SE FOURTH STREET
BARTLESVILLE, OK 74003
Firm CRD#: 115652

U.S. State/ Territory	Category	Status	Date
IA South Dakota	Investment Adviser Representative	Approved	10/17/2005

Branch Office Locations

501 SE FOURTH STREET
BARTLESVILLE, OK 74003

3208 EAST 26TH STREET
SIOUX FALLS, SD 57103



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, 2 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 Investment Company Products/Variable Contracts Representative Examination	Series 6	10/01/2002

State Securities Law Exams

Exam	Category	Date
IA Uniform Investment Adviser Law Examination	Series 65	08/30/2004
B Uniform Securities Agent State Law Examination	Series 63	10/04/2002

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 **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
B 10/2007 - 03/2016	NATIONAL PLANNING CORPORATION	29604	Sioux Falls, SD
IA 10/2007 - 10/2007	NATIONAL PLANNING CORPORATION ("NPC OF AMERICA" IN FL & NY)	29604	Sioux Falls, SD
B 10/2002 - 10/2007	AMERICAN GENERAL SECURITIES INCORPORATED	13626	SIOUX FALLS, SD
IA 01/2005 - 09/2005	AMERICAN GENERAL SECURITIES INCORPORATED	13626	SIOUX FALLS, SD

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
02/2016 - Present	PURSHE KAPLAN STERLING INVESTMENTS	REGISTERED REP	Y	ALBANY, NY, United States
08/2005 - Present	SUTTERFIELD FINANCIAL GROUP, INC.	INVESTMENT ADVISER REPRESENTATIVE	Y	SIOUX FALLS, SD, United States
10/2007 - 03/2016	NATIONAL PLANNING CORPORATION	REGISTERED REPRESENTATIVE	Y	SIOUX FALLS, SD, 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) SUTTERFIELD FINANCIAL GROUP. INVESTMENT RELATED 501E 4TH ST. BARTLESVILLE, OK 74003. RIA. IAR. START 08/2005. 120 HOURS/120 DURING TRADING. INVESTMENT ADVISOR.

2) FIXED INSURANCE SALES. NOT INVESTMENT RELATED. 7401 S BITTERROOT PLACE SUITE 100 SIOUX FALLS, SD 57108. FIXED



Registration and Employment History

Other Business Activities, continued

INSURANCE. AGENT. START 10/2002. 20 HOURS/MONTH, 20 DURING TRADING. AGENT.

3) TINKLENBERG FINANCIAL GROUP, INC. INVESTMENT RELATED. 7401 S BITTERROOT PLACE SUITE 100 SIOUX FALLS, SD 57108. NON DBA OPERATING ENTITY. OWNER. START 01/2004. 120 HOURS/MONTH 120 DURING TRADING. OWNER-PRESIDENT.

4) LONGVIEW FINANCIAL SOLUTIONS LLC. INVESTMENT RELATED. DBA. START 05/2015. 120 HOURS/MONTH, 120 DURING TRADING. TFG IS 25% MEMBER-CURRENT ACTIVE DBA.

5) The Bluffs at Spring Creek HOA-Not investment related-48964 Prairie Hills TS, Harrisburg, SD 57032-HOA-President/Board member-President-7/1/2016-8-10 hrs/mth-2-4 hrs during trading hrs-President of HOA signs off on checks/accounts, management of HOA activities, etc.

6) Cru City-Eric Metaxas Event-Not investment related-Assisting in the fundraising efforts and promotion of an appearance by Eric Metaxas by Cru City (business arm of Campus Crusade for Christ. I will call on, meet with and ask for donation. Sioux Falls, SD-Ministry/Not for profit-Supporter-8/6/2018-12 hrs/mth-100% during trading hrs-I will call on individuals for their financial support of the upcoming appearance of Eric Metaxas on 9/27/2018. After which my role and/or activity will cease.

7) Bitterroot Place LLC, 7401 S BITTERROOT PLACE SUITE 100 SIOUX FALLS, SD 5710. Real Estate. Owner. Not Investment related. Financing of Property, collection of rents as typical for commercial Rental property. Start 3/2021. 8 hrs/8 hrs. Property Management.

8) Luke Society; Not Investment Related; 3409 S. Gateway Blvd. #1000 Sioux Falls, SD 57106; Not for profit- Medical Missions; Member, Finance Committee and Board Member; 01/01/2022; 2 hrs/mo; 2 hrs during trading; Review quarterly financials, participate in discussions related to investment/allocation of reserve funds, and policies related to finance.

9) SIMDEL Children's Educational Ministry. Not investment-related. P.O. Box 794, Sioux Falls, SD 57101. Board member; fundraising - events/donor solicitations. 2-4 hrs/month; 0 hrs during securities hrs.

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.
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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
Customer Dispute	0	4	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 2

Reporting Source:	Broker
Employing firm when activities occurred which led to the complaint:	Purshe Kaplan Sterling Investments
Allegations:	Clients allege the failure to design a fully insured defined benefit plan, and the inappropriate use of whole life insurance and a fixed annuity to fund the plan.
Product Type:	Annuity-Fixed Insurance
Alleged Damages:	\$256,527.00
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:	05/25/2016
Complaint Pending?	No
Status:	Evolved into Arbitration/CFTC reparation (the individual is a named party)
Status Date:	07/12/2016
Settlement Amount:	
Individual Contribution	



Amount:

Arbitration Information

Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.): AAA

Docket/Case #: AAA-01-16-0002-7432

Date Notice/Process Served: 07/20/2016

Arbitration Pending? No

Disposition: Settled

Disposition Date: 09/27/2017

Monetary Compensation Amount: \$107,000.00

Individual Contribution Amount: \$0.00

Broker Statement The fully insured defined benefit plan was properly designed based upon the information provided by the clients, along with their CPA/attorney. Following the comprehensive meetings and ongoing consulting, no objections or concerns were raised by the clients or their CPA/attorney. Only after the clients consulted with their new advisor did the clients change their perspective.

Disclosure 2 of 2

Reporting Source: Broker

Employing firm when activities occurred which led to the complaint: Purshe Kaplan Sterling Investments

Allegations: Client's allege the inappropriate use of variable universal life policies within a captive insurance company for tax purposes.

Product Type: Other: Variable Universal Life

Alleged Damages: \$282,791.00

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: 04/14/2016

Complaint Pending? No

Status: Evolved into Arbitration/CFTC reparation (the individual is a named party)

Status Date: 12/28/2016

Settlement Amount:

Individual Contribution Amount:

Arbitration Information

Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.): AAA

Docket/Case #: AAA-01-16-0003-8631

Date Notice/Process Served: 12/28/2016

Arbitration Pending? No

Disposition: Settled

Disposition Date: 08/03/2017

Monetary Compensation Amount: \$150,000.00

Individual Contribution Amount: \$0.00

Broker Statement The clients engaged us to implement a comprehensive plan regarding their business operations that utilized various advanced concepts. The concepts were developed after numerous meetings with their accountant, attorney and banker. Following the comprehensive meetings and ongoing consulting, no objections or concerns were raised for nearly two years. Only after the clients consulted with their new advisor did the clients change their perspective.



Customer Dispute - Closed-No Action / Withdrawn / Dismissed / Denied

This type of disclosure event involves (1) a consumer-initiated, investment-related arbitration or civil suit containing allegations of sales practice violations against the individual broker that was dismissed, withdrawn, or denied; or (2) a 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, which was closed without action, withdrawn, or denied.

Disclosure 1 of 2

Reporting Source: Firm

Employing firm when activities occurred which led to the complaint: AMERICAN GENERAL SECURITIES INCORPORATED

Allegations: POLICY OWNER ALLEGES THAT THE POLICY HE PURCHASED ON 8/1/05 WAS MISREPRESENTED IN THAT SURRENDER CHARGES AND FLUCTUATIONS IN CASH VALUE WERE NOT DISCLOSED TO HIM. POLICY OWNER SURRENDERED HIS POLICY SHORTLY AFTER SUBMITTING HIS CUSTOMER COMPLAINT.

Product Type: Insurance

Other Product Type(s): VARIABLE UNIVERSALE LIFE INSURANCE POLICY - PLATINUM INVESTOR IV-GL

Alleged Damages: \$15,989.00

Customer Complaint Information

Date Complaint Received: 07/08/2008

Complaint Pending? No

Status: Denied

Status Date: 07/31/2008

Settlement Amount:

Individual Contribution Amount:

Reporting Source: Broker

Employing firm when activities occurred which led to the complaint: AMERICAN GENERAL SECURITIES INCORPORATED

Allegations: POLICY OWNER ALLEGES THAT THE POLICY HE PURCHASED ON 8/1/05 WAS MISREPRESENTED IN THAT SURRENDER CHARGES AND



FLUCTUATIONS IN CASH VALUE WERE NOT DISCLOSED TO HIM. POLICY OWNER SURRENDERED HIS POLICY SHORTLY AFTER SUBMITTING HIS CUSTOMER COMPLAINT.

Product Type: Insurance

Other Product Type(s): VARIABLE UNIVERSALE LIFE INSURANCE POLICY - PLATINUM INVESTOR IV-GL

Alleged Damages: \$15,989.00

Customer Complaint Information

Date Complaint Received: 07/08/2008

Complaint Pending? No

Status: Denied

Status Date: 07/31/2008

Settlement Amount:

Individual Contribution Amount:

Disclosure 2 of 2

Reporting Source: Firm

Employing firm when activities occurred which led to the complaint: AMERICAN GENERAL SECURITIES, INC.

Allegations: CLIENT ALLEGES MISREPRESENTATION RELATING TO THE PURCHASE OF A VARIABLE UNIVERSAL LIFE POLICY IN JULY 2007.

Product Type: Insurance

Alleged Damages: \$9,000.00

Customer Complaint Information

Date Complaint Received: 01/14/2008

Complaint Pending? No

Status: Denied

Status Date: 03/19/2008

Settlement Amount:

**Individual Contribution
Amount:****Reporting Source:**

Broker

**Employing firm when
activities occurred which led
to the complaint:**

AMERICAN GENERAL SECURITIES, INC.

Allegations:CLIENT ALLEGES MISREPRESENTATION RELATING TO THE PURCHASE OF
A VARIABLE UNIVERSAL LIFE POLICY IN JULY 2007.**Product Type:**

Insurance

Alleged Damages:

\$9,000.00

Customer Complaint Information**Date Complaint Received:**

01/22/2008

Complaint Pending?

No

Status:

Denied

Status Date:

03/19/2008

Settlement Amount:**Individual Contribution
Amount:**

End of Report



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