

BrokerCheck Report

JASEN EUGENE CASSADY

CRD# 4942336

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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:
 - o 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
 - o 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.

JASEN E. CASSADY

CRD# 4942336

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

IA CASSADY WEALTH & RETIREMENT PLANNING L.L.C.
 2400 W Horizon Ridge Pkwy
 Henderson, NV 89052
 CRD# 309710
 Registered with this firm since: 11/20/2020

B GRADIENT SECURITIES, LLC
 9127 W Russell Rd
 Suite 150
 LAS VEGAS, NV 89148
 CRD# 127701
 Registered with this firm since: 02/21/2012

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
- 5 U.S. states and territories

This broker has passed:

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

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

- IA CASSADY WEALTH MANAGEMENT LLC**
 CRD# 155034
 LAS VEGAS, NV
 10/2010 - 11/2011
- B H.D. VEST INVESTMENT SERVICES**
 CRD# 13686
 LAS VEGAS, NV
 07/2005 - 04/2010

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

Employment 1 of 2

Firm Name: **CASSADY WEALTH & RETIREMENT PLANNING L.L.C.**

Main Office Address: **2400 W HORIZON RIDGE PKWY
HENDERSON, NV 89052**

Firm CRD#: **309710**

	U.S. State/ Territory	Category	Status	Date
IA	Nevada	Investment Adviser Representative	Approved	11/20/2020
IA	Texas	Investment Adviser Representative	Restricted Approval	01/04/2022

Branch Office Locations

2400 W Horizon Ridge Pkwy
Henderson, NV 89052

9127 W Russell Road
Suite 150
Las Vegas, NV 89148

Employment 2 of 2

Firm Name: **GRADIENT SECURITIES, LLC**

Main Office Address: **4105 LEXINGTON AVENUE
SUITE 380
ARDEN HILLS, MN 55126**

Firm CRD#: **127701**

	SRO	Category	Status	Date
B	FINRA	General Securities Representative	Approved	02/21/2012



Broker Qualifications

Employment 2 of 2, continued

SRO	Category	Status	Date
U.S. State/ Territory	Category	Status	Date
B Arizona	Agent	Approved	02/21/2012
B California	Agent	Approved	02/21/2012
B Colorado	Agent	Approved	02/21/2012
B Nevada	Agent	Approved	02/21/2012

Branch Office Locations

GRADIENT SECURITIES, LLC
9127 W Russell Rd
Suite 150
LAS VEGAS, NV 89148

GRADIENT SECURITIES, LLC
2400 W Horizon Ridge Parkway
Henderson, NV 89052



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 1 state securities law exam.

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	07/26/2005

State Securities Law Exams

Exam	Category	Date
B Uniform Securities Agent State Law Examination	Series 63	07/30/2005

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).

Certified Financial Planner

Only professional designations listed in Question 8 of the Form U4 will appear in this section if the appropriate box is checked and verified by the issuing organization at the time of the filing. Learn more about eligible designations at [IARD](#) and [NASAA](#).



Registration and Employment History

Registration History

The broker previously was registered with the following firms:

Registration Dates	Firm Name	CRD#	Branch Location
IA 10/2010 - 11/2011	CASSADY WEALTH MANAGEMENT LLC	155034	LAS VEGAS, NV
B 07/2005 - 04/2010	H.D. VEST INVESTMENT SERVICES	13686	LAS VEGAS, NV

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
11/2023 - Present	N719JB, LLC	Managing Member	N	Las Vegas, NV, United States
10/2023 - Present	2400 W Horizon Ridge, LLC	Managing Member	N	Henderson, NV, United States
09/2023 - Present	556 Leesville Road Unit 1002, LLC	Managing Member	N	Lynchburg, VA, United States
09/2023 - Present	556 Leesville Road Unit 1007, LLC	Managing Member	N	Lynchburg, VA, United States
09/2023 - Present	69 Allure Drive, LLC	Managing Member	N	Lynchburg, VA, United States
09/2023 - Present	71 Allure Drive, LLC	Managing Member	N	Lynchburg, VA, United States
09/2023 - Present	84 Allure Drive, LLC	Managing Member	N	Lynchburg, VA, United States
09/2023 - Present	88 Allure Drive, LLC	Managing Member	N	Lynchburg, VA, United States
08/2022 - Present	105 ROWSE DRIVE, LLC	MANAGER	Y	LYNCHBURG, VA, United States
08/2022 - Present	173 ROWSE DRIVE, LLC	MANAGER	Y	LYNCHBURG, VA, United States
08/2022 - Present	32 LOGAN LANE, LLC	MANAGER	Y	LYNCHBURG, VA, United States
01/2022 - Present	14 Allwell Road, LLC	Manager	Y	Lynchburg, VA, United States
01/2022 - Present	20 Allwell Road, LLC	Manager	Y	Lynchburg, VA, United States
01/2022 - Present	22 Allwell Road, LLC	Manager	Y	Lynchburg, VA, United States



Registration and Employment History

Employment History, continued

Employment	Employer Name	Position	Investment Related	Employer Location
01/2022 - Present	28 Allwell Road, LLC	Manager	Y	Lynchburg, VA, United States
01/2022 - Present	Allwell Properties, LLC	Manager	Y	Las Vegas, NV, United States
07/2021 - Present	148 Sunburst Villa, LLC	Manager	Y	Evington, VA, United States
07/2021 - Present	152 Sunburst Villa, LLC	Manager	Y	Evington, VA, United States
11/2020 - Present	Cassady Wealth & Retirement Planning L.L.C.	CEO	Y	Las Vegas, NV, United States
07/2020 - Present	Cassady Wealth & Retirement Planning L.L.C.	Investment Advisor Representative	Y	Las Vegas, NV, United States
05/2017 - Present	Cassady Wealth & Retirement Planning L.L.C.;	Managing Member	Y	Las Vegas, NV, United States
10/2014 - Present	10799 W. TWAIN, LLC.	MANAGER	Y	LAS VEGAS, NV, United States
10/2014 - Present	3CK INVESTMENTS, LLC.	MANAGER	N	LAS VEGAS, NV, United States
02/2012 - Present	GRADIENT SECURITIES, LLC	REGISTERED REPRESENTATIVE	Y	ARDEN HILLS, MN, United States
02/2012 - Present	Jasen Cassady, Sole-Proprietor dba Cassady Wealth & Retirement	INSURANCE AGENT	Y	LAS VEGAS, NV, United States
03/2011 - Present	10560 LESSONA, LLC.	MANAGER	Y	LAS VEGAS, NV, United States
02/2011 - Present	9085 JUMPING JACKS, LLC.	MANAGER	Y	LAS VEGAS, NV, United States
11/2002 - Present	CASSADY LAW OFFICES	ATTORNEY	N	LAS VEGAS, NV, United States
12/2010 - 10/2023	2425 W. HORIZON RIDGE, LLC.	MANAGER	Y	LAS VEGAS, NV, 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) CASSADY LAW OFFICES | NONINVT REL | 9127 W. RUSSELL RD SUITE 150, LAS VEGAS, NV 89148 & 2400 W. HORIZON RIDGE PARKWAY, HENDERSON, NV 89052 | LAW OFFICE: ATTORNEY | START 11/2002 | 40 HRS/MO; 40 HRS/MO DURING TRADING | LEGAL



Registration and Employment History

Other Business Activities, continued

SERVICES.

- 2) CASSADY WEALTH & RETIREMENT PLANNING, LLC | INVT REL | 9127 W. RUSSELL RD SUITE 150, LAS VEGAS, NV 89148 | INSURANCE & INVESTMENT ADVISORY SERVICES: INSURANCE AGENT/INVESTMENT ADVISER REPRESENTATIVE/CEO/PRINCIPAL | START 11/2020 | 10 HOURS PER MONTH; 10 HOURS DURING SECURITIES TRADING HOURS | FIXED INSURANCE SALES AND DBA NAME USED FOR SECURITIES AND ADVISORY BUSINESS.
- 3) 2400 W. HORIZON RIDGE, LLC | INVT REL | 9127 W. RUSSELL RD SUITE 150, LAS VEGAS, NV 89148 & 2400 W. HORIZON RIDGE PARKWAY, HENDERSON, NV 89052 | HOLDING COMPANY FOR COMMERCIAL BUILDING: MANAGER | START 12/2010 | 0 HRS/MO; 0 HRS/MO DURING TRADING | LEASE OFFICE SPACE TO CASSADY LAW OFFICES, ADMINISTRATIVE DUTIES, NO OTHER ACTIVITY.
- 4) 9127 W. RUSSELL ROAD, LLC | INVT REL | 9127 W. RUSSELL RD SUITE 150, LAS VEGAS, NV 89148 & 2400 W. HORIZON RIDGE PARKWAY, HENDERSON, NV 89052 | HOLDING COMPANY FOR COMMERCIAL BUILDING: MANAGER | START 10/2014 | 0 HRS/MO; 0 HRS/MO DURING TRADING | LEASE OFFICE SPACE TO CASSADY LAW OFFICES, ADMINISTRATIVE DUTIES, NO OTHER ACTIVITY.
- 5) 9085 JUMPING JACKS, LLC | INVT REL | 9127 W. RUSSELL RD SUITE 150, LAS VEGAS, NV 89148 & 2400 WEST HORIZON RIDGE PARKWAY, HENDERSON NV 89052 | RESIDENTIAL RENTAL PROPERTY: MANAGER | START 02/2011 | 0 HRS/MO; 0 HRS/MO DURING TRADING | RENTAL INCOME FROM TENANT, ADMINISTRATIVE DUTIES.
- 6) 10560 LESSONA, LLC | INVT REL | 9127 W. RUSSELL RD SUITE 150, LAS VEGAS, NV 89148 & 2400 WEST HORIZON RIDGE PARKWAY, HENDERSON NV 89052 | RESIDENTIAL RENTAL PROPERTY: MANAGER | START 03/2011 | 0 HRS/MO; 0 HRS/MO DURING TRADING | RENTAL INCOME FROM TENANT, ADMINISTRATIVE DUTIES.
- 7) 3CK INVESTMENTS, LLC | NONINVT REL | 9127 W. RUSSELL RD SUITE 150, LAS VEGAS, NV 89148 & 2400 WEST HORIZON RIDGE PARKWAY, HENDERSON NV 89052 | MONEY LENDING: MANAGER | START 10/2014 | 0 HRS/MO; 0 HRS/MO DURING TRADING | LOANS TO ONE FAMILY MEMBER AND ONE FRIEND - NOT SECURITIES CLIENTS.
- 8) 148 & 152 SUNBURST VILLA, LLC | INVT REL | 148 & 152 SUNBURST VILLA, EVINGTON, VA 24550 | RESIDENTIAL RENTAL PROPERTY: MANAGER | START 07/2021 | 0 HRS/MO; 0 HRS/MO DURING TRADING | ADMINISTRATIVE.
- 9) 14, 20, 22, & 28 ALLWELL ROAD, LLC | INV REL | 14, 20, 22, & 28 ALLWELL ROAD, LYNCHBURG, VA 24502 | RESIDENTIAL RENTAL PROPERTY: MANAGER | START 01/2022 | 0 HRS/MO; 0 HRS/MO DURING TRADING | ADMINISTRATIVE.
- 10) 52 ZENTRY PL, LLC | INV REL | 52 ZENTRY PL, LYNCHBURG, VA 24502 | RESIDENTIAL RENTAL PROPERTY: MANAGER | START 10/2022 | 0 HRS/MO; 0 HRS/MO DURING TRADING | ADMINISTRATIVE.
- 11) 32 LOGAN LANE, LLC | INV REL | 32 LOGAN LN, LYNCHBURG, VA 24502 | RESIDENTIAL RENTAL PROPERTY: MANAGER | START 08/2022 | 0 HRS/MO; 0 HRS/MO DURING TRADING | ADMINISTRATIVE.
- 12) 105 & 173 ROWSE DRIVE, LLC | INV REL | 105 & 173 ROWSE DR, LYNCHBURG, VA 24502 | RESIDENTIAL RENTAL PROPERTY: MANAGER | START 08/2022 | 0 HRS/MO; 0 HRS/MO DURING TRADING | ADMINISTRATIVE.
- 13) 556 LEESVILLE ROAD #1002 & 1007, LLC | INV REL | 556 LEESVILLE ROAD #1002 & 1007, LYNCHBURG, VA 24502 | RESIDENTIAL RENTAL PROPERTY: MANAGER | START 08/2022 | 0 HRS/MO; 0 HRS/MO DURING TRADING | ADMINISTRATIVE.
- 14) 5906 ANCONA DRIVE, LLC | INV REL | 5906 ANCONA DRIVE, LAS VEGAS, NV 89141 | RESIDENTIAL RENTAL PROPERTY: MANAGER | START 08/2022 | 0 HRS/MO; 0 HRS/MO DURING TRADING | ADMINISTRATIVE.
- 15) 69 & 71 ALLURE DRIVE, LLC | INV REL | 69 & 71 ALLURE DRIVE, LYNCHBURG, VA 24502 | RESIDENTIAL RENTAL PROPERTY: MANAGER | START 08/2022 | 0 HRS/MO; 0 HRS/MO DURING TRADING | ADMINISTRATIVE.
- 16) N719JB, LLC | NONINVT REL | 61 FOUNTAINHEAD CIRCLE, HENDERSON, NV 89052 | AIRPLANE HOLDING COMPANY: MANAGER | START 07/2023 | 0 HRS/MO; 0 HRS/MO DURING TRADING

End of Report



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