BrokerCheck Report

JASON ONEAL LAMPIER

CRD# 5343593

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.
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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 O. LAMPIER

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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:

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

Registration History

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

B **TEXAS SECURITIES, INC.**
CRD# 120148
CARROLLTON, TX
04/2012 - 07/2013

B **WALL AND COMPANY SECURITIES, INC.**
CRD# 40894
FRISCO, TX
02/2011 - 05/2012

B **GUARDIAN DIRECT ENERGY PROGRAMS, INC.**
CRD# 149306
SOUTHLAKE, TX
07/2010 - 07/2010

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
Criminal	2

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

Principal/Supervisory Exams

	Exam	Category	Date
	No information reported.		

General Industry/Product Exams

	Exam	Category	Date
B	Direct Participation Programs Representative Examination	Series 22	06/21/2007

State Securities Law Exams

	Exam	Category	Date
B	Uniform Securities Agent State Law Examination	Series 63	07/06/2007

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	04/2012 - 07/2013	TEXAS SECURITIES, INC.	120148	CARROLLTON, TX
B	02/2011 - 05/2012	WALL AND COMPANY SECURITIES, INC.	40894	FRISCO, TX
B	07/2010 - 07/2010	GUARDIAN DIRECT ENERGY PROGRAMS, INC.	149306	SOUTHLAKE, TX
B	08/2007 - 07/2010	M & W FINANCIAL INC.	131743	SOUTHLAKE, TX

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
07/2010 - Present	RE / MAX PREMIER GROUP	REALTOR	N	PLANO, TX, 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
Criminal	2	0

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:	FINRA
Sanction(s) Sought:	Other: N/A
Date Initiated:	12/11/2013
Docket/Case Number:	2011030498301
Employing firm when activity occurred which led to the regulatory action:	M&W FINANCIAL, INC.
Product Type:	Other: UNITS OF AN OIL AND GAS LIMITED PARTNERSHIP
Allegations:	WILLFULLY VIOLATED SECTION 10(B) OF THE EXCHANGE ACT AND RULE 10B-5, AND VIOLATED NASD RULES 2110 AND 2120: LAMPIER KNOWINGLY, WILLFULLY OR RECKLESSLY MADE MISREPRESENTATIONS OF MATERIAL FACTS IN CONNECTION WITH THE SALE OF 1/10TH OF ONE UNIT OF AN ENTITY'S OIL AND GAS LIMITED PARTNERSHIP TO A CUSTOMER. IN RELIANCE UPON LAMPIER'S MATERIAL MISREPRESENTATIONS, THE CUSTOMER PURCHASED THE OFFERING FOR $28,000. IN CONNECTION WITH THE SALE OF SECURITIES CONSISTING OF UNITS OF THE OIL AND GAS LIMITED PARTNERSHIP, LAMPIER DIRECTLY OR INDIRECTLY, BY THE USE OF MEANS OR INSTRUMENTALITIES OF INTERSTATE COMMERCE, OR OF THE MAILS, KNOWINGLY, WILLFULLY OR RECKLESSLY: EMPLOYED DEVICES, SCHEMES, OR ARTIFICES TO DEFRAUD, MADE UNTRUE STATEMENTS OF A MATERIAL FACT OR OMITTED TO STATE A MATERIAL FACT NECESSARY IN ORDER TO MAKE THE STATEMENTS MADE, IN THE LIGHT OF THE CIRCUMSTANCES UNDER WHICH THEY WERE MADE, NOT MISLEADING, CONCERNING THE OIL AND GAS INVESTMENT, OR ENGAGED IN ACTS, PRACTICES, OR COURSES OF BUSINESS WHICH OPERATED OR WOULD OPERATE AS A FRAUD OR DECEIT UPON THE CUSTOMER. LAMPIER ALSO EFFECTED TRANSACTIONS IN OR INDUCED THE SALE OF

	SECURITIES BY MEANS OF MANIPULATIVE, DECEPTIVE OR OTHER FRAUDULENT DEVICE OR CONTRIVANCE. AS A RESULT OF THE CONDUCT, LAMPIER WILLFULLY VIOLATED SECTION 10(B) OF THE EXCHANGE ACT AND RULE 10B-5 THEREUNDER.
Current Status:	Final
Resolution:	Decision & Order of Offer of Settlement
Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct?	Yes
Resolution Date:	04/28/2014
Sanctions Ordered:	Bar (Permanent) Other: AS A RESULT OF THE CONDUCT, LAMPIER WILLFULLY VIOLATED SECTION 10(B) OF THE EXCHANGE ACT AND RULE 10B-5 THEREUNDER.
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?	Yes
(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?	Yes

(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	No
(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?	No

Sanction 1 of 1

Sanction Type:	Bar (Permanent)
Capacities Affected:	All Capacities
Duration:	
Start Date:	04/28/2014
End Date:	

Regulator Statement	WITHOUT ADMITTING OR DENYING THE ALLEGATIONS, LAMPIER CONSENTED TO THE SANCTION AND TO THE ENTRY OF FINDINGS THAT HE KNOWINGLY, WILLFULLY OR RECKLESSLY MADE MISREPRESENTATIONS OF MATERIAL FACTS IN CONNECTION WITH THE SALE OF 1/10TH OF ONE UNIT OF AN ENTITY'S OIL AND GAS LIMITED PARTNERSHIP TO A CUSTOMER. THE FINDINGS STATED THAT LAMPIER MISREPRESENTED THE MINIMUM INVESTMENT AMOUNT, THE POTENTIAL INVESTMENT RETURNS, AND THE TYPE OF OIL AND GAS WELL ACQUIRED BY THE PARTNERSHIP. IN RELIANCE UPON LAMPIER'S MATERIAL MISREPRESENTATIONS, THE CUSTOMER PURCHASED THE OFFERING FOR $28,000. AS A RESULT OF THE CONDUCT, LAMPIER WILLFULLY VIOLATED SECTION 10(B) OF THE SECURITIES EXCHANGE ACT OF 1934 AND RULE 10B-5 THEREUNDER.

Criminal - Final Disposition

This type of disclosure event involves a conviction or guilty plea for any felony or certain misdemeanor offenses, including bribery, perjury, forgery, counterfeiting, extortion, fraud, and wrongful taking of property that is currently on appeal.

Disclosure 1 of 2

Reporting Source:	Broker
Court Details:	WAXAHACHIE, ELLIS COUNTY, TEXAS, CASE #17844CR
Charge Date:	06/27/1990
Charge Details:	1)ONE COUNT 2)FELONY CHARGE: BURGLARY OF A HABITATION 3)GUILTY
Felony?	Yes
Current Status:	Final
Status Date:	02/06/1992
Disposition Details:	A)CONVICTED B)02/06/1992 C)7 YEARS TDC D)SENTENCE SUSPENDED FOR 7 YEARS COMMUNITY SUPERVISION, BROKE PROBATION BY NOT PAYING REQUIRED FEE, NOT SHOWING AT THE PROBATION OFFICER, TESTING POSITIVE FOR DRUGS AND NOT KEEPING A RESIDENCE IN ELLIS CTY. RENEGOTIATED PROBATION, SENTENCED TO DRUG REHAB FACILITY AND SALVATION ARMY DRUG REHAB PROGRAM E)02/06/1992;10/16/1996 F)$32/MONTH G)N/A
Broker Statement	AS A PRANK, I ENTERED MY GIRLFRIENDS HOUSE, WITH HER PERMISSION, AND MADE IT APPEAR TO BE BURGLARIZED. HER PARENTS CALLED THE POLICE BUT DROPPED THE CHARGES AFTER I CONFESSED THE SITUATION AND RETURNED THE GOODS. THE STATE PICKED UP THE CHARGES AND CONVICTED ME FOR BURGLARY OF A HABITAT.

Disclosure 2 of 2

Reporting Source:	Broker
Court Details:	DISTRICT ATTORNEY'S OFFICE WAXAHACHIE, TEXAS CASE # CR9711018
Charge Date:	03/02/1998
Charge Details:	ONE COUNT, MISDEMEANOR,GUILTY
Felony?	No
Current Status:	Final
Status Date:	04/22/1998

Disposition Details:	CONVICTED, 4/22/1998, ONE YEAR PROBATION, START DATE 4/22/1998, FINE $50.PAID 4/22/1998
Broker Statement	WROTE AND CASHED A CHECK ON A CLOSED ACCOUNT

End of Report

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