

BrokerCheck Report

Elizabeth Ann Courtney

CRD# 5414690

<u>Section Title</u>	<u>Page(s)</u>
Report Summary	1
Broker Qualifications	2 - 5
Registration and Employment History	7 - 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.



Elizabeth A. Courtney

CRD# 5414690

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

IA J. W. COLE ADVISORS, INC.
 190 McIver Lane
 Suite 101
 Rockledge, FL 32955
 CRD# 112294
 Registered with this firm since: 11/09/2017

B J.W. COLE FINANCIAL, INC.
 190 McIver Lane
 Suite 101
 Rockledge, FL 32955
 CRD# 124583
 Registered with this firm since: 11/03/2017

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
- 13 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 AXA ADVISORS, LLC**
 CRD# 6627
 NEW YORK, NY
 04/2015 - 11/2017
- B AXA ADVISORS, LLC**
 CRD# 6627
 ROCKLEDGE, FL
 04/2015 - 11/2017
- IA VALIC FINANCIAL ADVISORS, INC.**
 CRD# 42803
 HOUSTON, TX
 06/2011 - 04/2015

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 13 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	Florida	Investment Adviser Representative	Approved	11/09/2017
IA	Texas	Investment Adviser Representative	Approved	10/22/2025

Branch Office Locations

4301 ANCHOR PLAZA PARKWAY
SUITE 450
TAMPA, FL 33634

1490 Highway A1A
Suite 202
Satellite Beach, FL 32937

190 McIver Lane
Suite 101
Rockledge, FL 32955

2201 Dairy Road
Melbourne, FL 32904



Broker Qualifications

Employment 1 of 2, continued

796 Southwinds Drive
Lorena, TX 76655

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	11/03/2017

U.S. State/ Territory	Category	Status	Date
B Alabama	Agent	Approved	03/02/2022
B Colorado	Agent	Approved	11/03/2017
B Florida	Agent	Approved	11/03/2017
B Georgia	Agent	Approved	11/03/2017
B Indiana	Agent	Approved	11/03/2017
B Kansas	Agent	Approved	10/30/2025
B Michigan	Agent	Approved	01/04/2024
B North Carolina	Agent	Approved	11/03/2017
B Tennessee	Agent	Approved	01/05/2024
B Texas	Agent	Approved	11/03/2017
B Utah	Agent	Approved	02/01/2024
B Virginia	Agent	Approved	08/24/2023
B West Virginia	Agent	Approved	01/12/2024



Broker Qualifications

Employment 2 of 2, continued

U.S. State/ Territory	Category	Status	Date
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Branch Office Locations

J.W. COLE FINANCIAL, INC.
190 McIver Lane
Suite 101
Rockledge, FL 32955

J.W. COLE FINANCIAL, INC.
2201 Dairy Road
Melbourne, FL 32904

J.W. COLE FINANCIAL, INC.
1490 Highway A1A
Suite 202
Satellite Beach, FL 32937

J.W. COLE FINANCIAL, INC.
796 Southwinds Dr.
Lorena, TX 76655



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	10/11/2007

State Securities Law Exams

Exam	Category	Date
B IA Uniform Combined State Law Examination	Series 66	12/18/2007

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 firms:

Registration Dates	Firm Name	CRD#	Branch Location
B 04/2015 - 11/2017	AXA ADVISORS, LLC	6627	ROCKLEDGE, FL
IA 04/2015 - 11/2017	AXA ADVISORS, LLC	6627	ROCKLEDGE, FL
IA 06/2011 - 04/2015	VALIC FINANCIAL ADVISORS, INC.	42803	ORLANDO, FL
B 06/2011 - 04/2015	VALIC FINANCIAL ADVISORS, INC.	42803	ORLANDO, FL
IA 05/2009 - 06/2011	LPL FINANCIAL LLC	6413	INDIAN HARBOUR BEACH, FL
B 04/2009 - 06/2011	LPL FINANCIAL LLC	6413	INDIAN HARBOUR BEACH, FL
IA 12/2007 - 05/2009	UBS FINANCIAL SERVICES INC.	8174	MELBOURNE, FL
B 10/2007 - 05/2009	UBS FINANCIAL SERVICES INC.	8174	MELBOURNE, FL

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
11/2017 - Present	J.W. Cole Advisors, Inc.	Investment Advisor Representative	Y	Tampa, FL, United States
11/2017 - Present	J.W. Cole Financial, Inc.	Registered Representative	Y	Tampa, FL, United States
04/2015 - 11/2017	AXA ADVISORS, LLC	REGISTERED REPRESENTATIVE	Y	NEW YORK, NY, 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.



Registration and Employment History

Other Business Activities, continued

(1) INDEPENDENT AGENT - SALES/SERVICE OF FIXED INSURANCE PRODUCTS. VARIOUS CARRIERS

(2) ECONOMIC DEVELOPMENT COMMISSION OF FLORIDAS SPACE COAST 6525 3rd st. #304 ROCKLEDGE, FL 32955. MEMBER. START DATE 9/21/15, 3HRS/MO: 0 COMP

(3) FINANCIAL CORNERSTONE GROUP, LLC - DBA - INVESTMENT RELATED

(4) Someday's Here, LLC - NON INVESTMENT RELATED - 190 Mclver Lane Pass, Rockledge, FL 32955; Mailing Address: PO Box 361534, Melbourne, FL 32936; 4 HRS/MO; OWNS COMMERCIAL BUILDING RENTS TO PRACTICE; OWNERSHIP DUTIES AND MAINTENANCE.

(5) Anything Family; Online reseller - Print on Demand gifts; Not investment related; PO Box 361534, Melbourne, FL 32936; Family Coach; I am assisting my minor grandchildren with starting an online "Print on Demand" business. My primary duties are to teach and coach them about business ownership and operations, and to help launch the business and maintain it with them on the weekends; Start 3/1/2024; 0 hours during trading.

(6) Love, Inc. of Brevard; Non-Profit Organization; Not investment related; 830 N Apollo Blvd, Melbourne, FL 32935; Board Member and Treasurer; Assist in fun-raising efforts via relationship building; Start 3/26/2024; 0 hours spent during trading.

(7) Light from Her Heart; Website that sells photography; Not investment Related; PO Box 361534. Melbourne, FL 32936; Photographer/Owner; Start 11/1/2024; 0 hours during trading.

(8) Gathering Point Church; Church Secretary; PO Box 361534, Melbourne, FL 32936; Not investment related; Start Date: 12/1/2025; 0 hours during trading

End of Report



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