

BrokerCheck Report

Mason Luke

CRD# 7338652

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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.](http://www.finra.org)

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

Registration History

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

- B FARMERS FINANCIAL SOLUTIONS, LLC**
CRD# 103863
WESTLAKE VILLAGE, CA
11/2024 - 04/2025
- B THRIVENT INVESTMENT MANAGEMENT INC.**
CRD# 18387
Colorado Springs, CO
06/2022 - 06/2023

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
Termination	1
Financial	1

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 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, 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 General Securities Representative Examination	Series 7TO	06/15/2022
B Securities Industry Essentials Examination	SIE	05/13/2022

State Securities Law Exams

Exam	Category	Date
B Uniform Securities Agent State Law Examination	Series 63	08/04/2022

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 11/2024 - 04/2025	FARMERS FINANCIAL SOLUTIONS, LLC	103863	WESTLAKE VILLAGE, CA
B 06/2022 - 06/2023	THRIVENT INVESTMENT MANAGEMENT INC.	18387	Colorado Springs, CO

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
09/2024 - Present	Farmers Financial Solutions	Registered rep	Y	Colorado Springs, CO, United States
11/2023 - Present	Farmers	Agent	N	Colorado Springs, CO, United States
02/2023 - 11/2023	Americans For Prosperity	Associate	N	Colorado Springs, CO, United States
12/2022 - 05/2023	Thrivent Financial	Financial Associate	Y	Appleton, WI, United States
05/2022 - 05/2023	Thrivent Investment Management Inc	Registered Representative	Y	Minneapolis, MN, United States
08/2021 - 05/2023	Thrivent	Financial Advisor	Y	Colorado Springs, CO, United States
05/2022 - 12/2022	Thrivent Financial	Associate Representative	Y	Appleton, WI, United States
12/2020 - 05/2022	Americans For Prosperity	GED	N	Arlington, VA, United States
12/2020 - 05/2022	Americans For Prosperity	Director	N	Colorado Springs, CO, United States
01/2020 - 11/2020	RNC	Director	N	Colorado Springs, CO, United States
01/2020 - 11/2020	Republican National Committee	Field Rep	N	Denver, CO, United States



Registration and Employment History

Employment History, continued

Employment	Employer Name	Position	Investment Related	Employer Location
08/2016 - 04/2020	Vista Ridge High School	Student	N	Colorado Springs, CO, United States
09/2019 - 02/2020	Victor's Canvassing	Deputy Director	N	Colorado Springs, CO, United States
08/2019 - 01/2020	Victors Canvassing	Deputy Director of Operations	N	Colorado Springs, CO, United States
04/2019 - 01/2020	Americans For Prosperity	Associate	N	Arlington, VA, United States
07/2018 - 11/2019	Americans For Prosperity	Associate	N	Colorado Springs, CO, United States
03/2017 - 04/2019	Bird Dog BBQ	Assistant Manager	N	Colorado Springs, CO, United States
04/2017 - 05/2018	Bird Dog BBQ	PIC	N	Colorado Springs, CO, United States
01/2014 - 04/2017	Unemployed (Student)	Student	N	Colorado Springs, CO, United States
01/2012 - 08/2016	Various Schools	Student	N	Colorado Springs, CO, 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.

EL PASO COUNTY REPUBLICAN PARTY

POSITION: Executive Committee Board Member NATURE: To elect qualified candidates to various offices at the local, state and federal level.

INVESTMENT RELATED: No NUMBER OF HOURS: 1 SECURITIES TRADING HOURS: 0 START DATE: 03/01/2021

ADDRESS: 5145 Centennial Blvd, Suite 101, Colorado Springs CO 80919, United States

DESCRIPTION: Attend a 1 hour meeting once every other month to vote on the budget and various issues affecting the organization.

ROCKY MOUNTAIN CONSERVATIVES

POSITION: Agent/Founder NATURE: Educate voters on policy issues. INVESTMENT RELATED: No NUMBER OF HOURS: 1 SECURITIES

TRADING HOURS: 0 START DATE: 05/01/2021

ADDRESS: 6620 Glade Park Drive, Colorado Springs CO 80918, United States

DESCRIPTION: Look over organization in a leadership capacity and ensure compliance is met with state and federal agencies.

GRUBHUB

POSITION: Driver NATURE: Deliver food to consumers INVESTMENT RELATED: No NUMBER OF HOURS: 15 SECURITIES TRADING

Registration and Employment History



Other Business Activities, continued

HOURS: 0 START DATE: 01/19/2023

ADDRESS: 111 W Washington St, Chicago IL 60602, United States

DESCRIPTION: Deliver food orders.

AMERICANS FOR PROSPERITY

POSITION: Associate NATURE: Empower Americans to pursue their idea of the American Dream. INVESTMENT RELATED: No NUMBER OF

HOURS: 40 SECURITIES TRADING HOURS: 0 START DATE: 03/21/2023

ADDRESS: 1310 N Courthouse Rd, Arlington VA 22201, United States

DESCRIPTION: Policy analysis, education, and data entry



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
Termination	N/A	1	N/A
Financial	0	1	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.

Employment Separation After Allegations

This type of disclosure event involves a situation where the broker voluntarily resigned, was discharged, or was permitted to resign after being accused of (1) violating investment-related statutes, regulations, rules or industry standards of conduct; (2) fraud or the wrongful taking of property; or (3) failure to supervise in connection with investment-related statutes, regulations, rules, or industry standards of conduct.

Disclosure 1 of 1

Reporting Source:	Firm
Employer Name:	FARMERS FINANCIAL SOLUTIONS, LLC
Termination Type:	Discharged
Termination Date:	04/08/2025
Allegations:	RR issued 27 Homeowners insurance policies between January 15, 2025 and February 19, 2025 without the consent or knowledge of the insured resulting in \$6,578.76 in unearned commissions paid to the agency through eFolio.
Product Type:	Insurance



Financial - Final

This type of disclosure event involves a bankruptcy, compromise with one or more creditors, or Securities Investor Protection Corporation liquidation involving the broker or an organization/brokerage firm the broker controlled that occurred within the last 10 years.

Disclosure 1 of 1

Reporting Source:	Broker
Action Type:	Compromise
Action Date:	12/20/2023
Organization Investment-Related?	No
Action Pending?	No
Disposition:	Satisfied/Released
Disposition Date:	12/20/2023
If a compromise with creditor, provide:	
Name of Creditor:	AMEX
Original Amount Owed:	\$1,125.00
Terms Reached with Creditor:	125

Broker Statement

Due to health issues, I was out of work for about a month and a half, which caused financial strain and led me to miss payments on my American Express card. Upon recovery, I reached out to AMEX to discuss setting up a payment plan, as I intended to pay the full outstanding balance. During this conversation, AMEX informed me that I did not have to pay the full amount and reduced the balance by approximately \$125, a concession I did not request but accepted given my circumstances. I promptly paid the remaining balance in full, and AMEX has since maintained a positive relationship with me, even offering to reopen the account if I choose.

End of Report



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