

**BrokerCheck Report**

**JOHN SHERMAN JUMPER**

CRD# 2809649

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## 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 <http://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](http://brokercheck.finra.org)



For additional information about the contents of this report, please refer to the User Guidance or [www.finra.org/brokercheck](http://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).

**JOHN S. JUMPER**

CRD# 2809649

**Currently employed by and registered with the following Firm(s):****ALLUVION SECURITIES, LLC**

5101 WHEELIS DRIVE, SUITE 200  
MEMPHIS, TN 38117  
CRD# 143623

Registered with this firm since: 09/11/2007

**ALLUVION SECURITIES, LLC**

5101 Wheelis Drive, Suite 200  
MEMPHIS, TN 38117  
CRD# 143623

Registered with this firm since: 09/11/2007

**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:**

- 2 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):****SAMCO CAPITAL MARKETS, INC.**

CRD# 136532  
MEMPHIS, TN  
05/2006 - 08/2007

**PENSON FINANCIAL SERVICES, INC.**

CRD# 25866  
DALLAS, TX  
07/2004 - 05/2006

**COASTAL SECURITIES L.P.**

CRD# 27834  
HOUSTON, TX  
03/2002 - 07/2004

**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
Regulatory Event	2
Judgment/Lien	2



## 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 1

Firm Name: **ALLUVION SECURITIES, LLC**  
 Main Office Address: **5101 WHEELIS DRIVE, SUITE 200**  
**MEMPHIS, TN 38117**  
 Firm CRD#: **143623**

SRO	Category	Status	Date
FINRA	General Securities Principal	APPROVED	09/11/2007
FINRA	General Securities Representative	APPROVED	09/11/2007
FINRA	Municipal Securities Principal	APPROVED	09/11/2007
FINRA	Operations Professional	APPROVED	12/16/2011

U.S. State/ Territory	Category	Status	Date
Alabama	Agent	APPROVED	11/02/2007
Arkansas	Agent	APPROVED	10/03/2007
Georgia	Agent	APPROVED	10/04/2007
Kentucky	Agent	APPROVED	09/24/2007
Louisiana	Agent	APPROVED	10/02/2007
Mississippi	Agent	APPROVED	09/24/2007
Missouri	Agent	APPROVED	10/02/2007
South Carolina	Agent	APPROVED	10/03/2007
Tennessee	Agent	APPROVED	09/13/2007
Texas	Agent	APPROVED	01/01/2008

## Broker Qualifications



### Employment 1 of 1, continued

#### Branch Office Locations

**ALLUVION SECURITIES, LLC**  
5101 Wheelis Drive, Suite 200  
MEMPHIS, TN 38117

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## 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.

**This individual has passed 2 principal/supervisory exams, 1 general industry/product exam, and 1 state securities law exam.**

### Principal/Supervisory Exams

Exam	Category	Date
General Securities Principal Examination	Series 24	06/08/2006
Municipal Securities Principal Examination	Series 53	06/09/2006

### General Industry/Product Exams

Exam	Category	Date
General Securities Representative Examination	Series 7	12/20/1999

### State Securities Law Exams

Exam	Category	Date
Uniform Securities Agent State Law Examination	Series 63	01/24/2000

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



## Registration and Employment History

### Registration History

The broker previously was registered with the following firms:

Registration Dates	Firm Name	CRD#	Branch Location
05/2006 - 08/2007	SAMCO CAPITAL MARKETS, INC.	136532	MEMPHIS, TN
07/2004 - 05/2006	PENSON FINANCIAL SERVICES, INC.	25866	DALLAS, TX
03/2002 - 07/2004	COASTAL SECURITIES L.P.	27834	HOUSTON, TX
12/1999 - 03/2002	DUNCAN-WILLIAMS, INC.	6950	MEMPHIS (SHELBY), TN

### 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 Dates	Employer Name	Employer Location
10/2011 - Present	ALLUVION INVESTMENTS, LLC	MEMPHIS, TN
07/2007 - Present	ALLUVION SECURITIES, LLC	MEMPHIS, TN
05/2006 - 07/2007	SAMCO CAPITAL MARKETS, INC.	MEMPHIS, TN

### 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.

MR. JUMPER IS CEO AND REGISTERED REPRESENTATIVE OF ALLUVION SECURITIES, LLC.

Mr. Jumper has outside business activities as follows:

1. American Tubing of Arkansas, LLC. Mr. Jumper is a board member of the company as well as an advisor. The company manufactures parts for air conditioners.
2. Speedy Brakes, LLC. Mr. Jumper is a member of the LLC, passive investor, and board member of the company. The company repairs cars.

## Registration and Employment History



### Other Business Activities, continued

3. Evertone Records, LLC. Mr. Jumper is the owner of the LLC. Currently not conducting business.

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## 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
Regulatory Event	0	2	0



Judgment/Lien	2	N/A	N/A
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## 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.

### Regulatory - Final

This type of disclosure event may involves (1) a final, formal proceeding initiated by a regulatory authority (e.g., a state securities agency, self-regulatory organization, federal regulatory such as the Securities and Exchange Commission, foreign financial regulatory body) for a violation of investment-related rules or regulations; or (2) a revocation or suspension of a broker's authority to act as an attorney, accountant, or federal contractor.

#### Disclosure 1 of 2

**Reporting Source:** Regulator

**Regulatory Action Initiated By:** FINRA

**Sanction(s) Sought:** Other: N/A

**Date Initiated:** 06/19/2015

**Docket/Case Number:** [2013035347704](#)

**Employing firm when activity occurred which led to the regulatory action:** ALLUVION SECURITIES, LLC

**Product Type:** No Product

**Allegations:** JUMPER WAS NAMED A RESPONDENT IN A FINRA COMPLAINT ALLEGING THAT HIS MEMBER FIRM, ACTING THROUGH HIM AS ITS CHIEF EXECUTIVE OFFICER AND CHIEF COMPLIANCE OFFICER, CONDUCTED A SECURITIES BUSINESS WHILE FAILING TO MAINTAIN ITS REQUIRED MINIMUM NET CAPITAL. THE COMPLAINT ALLEGES THAT JUMPER KNEW OF THE FIRM'S HISTORY OF REPEATED NET CAPITAL VIOLATIONS AND OF ITS RECENT PROBLEMS WITH MAINTAINING MINIMUM NET CAPITAL COMPLIANCE AND KNEW, SHOULD HAVE KNOWN, OR WAS RECKLESS IN NOT KNOWING THAT HIS ACTIONS WOULD RESULT IN THE FIRM CONDUCTING A SECURITIES BUSINESS WHILE FAILING TO MAINTAIN ITS MINIMUM NET CAPITAL



REQUIREMENT. YET, BY HIS ACTIONS, JUMPER ALLOWED THE FIRM TO CONDUCT A SECURITIES BUSINESS WHILE BELOW ITS MINIMUM NET CAPITAL REQUIREMENT. THE COMPLAINT ALSO ALLEGES THAT THE FIRM, ACTING THROUGH JUMPER, FAILED TO ESTABLISH, MAINTAIN AND ENFORCE A SUPERVISORY SYSTEM, INCLUDING WRITTEN SUPERVISORY PROCEDURES (WSPS), REASONABLY DESIGNED TO ACHIEVE COMPLIANCE WITH THE REQUIREMENTS TO MAINTAIN NET CAPITAL COMPLIANCE. JUMPER DID NOT PUT IN PLACE A SYSTEM TO ENSURE THAT THE FIRM DID NOT CONDUCT A SECURITIES BUSINESS WHILE NET CAPITAL DEFICIENT.

<b>Current Status:</b>	Final
<b>Resolution:</b>	Decision & Order of Offer of Settlement
<b>Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct?</b>	No
<b>Resolution Date:</b>	11/11/2015
<b>Sanctions Ordered:</b>	Civil and Administrative Penalty(ies)/Fine(s) Suspension
<b>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?</b>	No



**(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?**

**(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**



**(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?**

**Sanction 1 of 1**

**Sanction Type:** Suspension  
**Capacities Affected:** All principal capacities  
**Duration:** two months  
**Start Date:** 12/07/2015  
**End Date:** 02/06/2016

**Monetary Sanction 1 of 1**

**Monetary Related Sanction:** Civil and Administrative Penalty(ies)/Fine(s)  
**Total Amount:** \$15,000.00  
**Portion Levied against individual:** \$15,000.00  
**Payment Plan:**  
**Is Payment Plan Current:**  
**Date Paid by individual:** 12/15/2015  
**Was any portion of penalty waived?** No

**Amount Waived:**

**Regulator Statement** Without admitting or denying the allegations, Jumper consented to the sanctions



and to the entry of findings that he knew, should have known, or was reckless in not knowing that his actions would result in his member firm conducting a securities business while failing to maintain its minimum net capital requirement. The findings stated that by his actions, Jumper allowed the firm to conduct a securities business while below its minimum net capital requirement. Jumper knew of the firm's history of repeated net capital violations and of the firm's recent problems with maintaining minimum net capital compliance. Jumper failed to verify that the firm had the requisite minimum amount of net capital before he himself engaged in the underwriting and closing of two offerings. The findings also stated that Jumper failed to establish and maintain a supervisory system and establish, maintain and enforce WSPs reasonably designed to achieve compliance with the requirements of FINRA rules and the federal securities laws concerning net capital compliance. Jumper was responsible for the issuance, dissemination and maintenance of the firm's WSPs, including any amendments, modifications or revisions thereto. Despite knowing of the firm's history of net capital issues and that the firm was routinely below required minimum net capital, Jumper did not put in place a system to ensure that the firm did not conduct a securities business while net capital deficient.

Fine paid in full on December 15, 2015.

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<b>Reporting Source:</b>	Broker
<b>Regulatory Action Initiated By:</b>	FINRA
<b>Sanction(s) Sought:</b>	Other: N/A
<b>Date Initiated:</b>	06/19/2015
<b>Docket/Case Number:</b>	<a href="#">2013035347704</a>
<b>Employing firm when activity occurred which led to the regulatory action:</b>	ALLUVION SECURITIES, LLC
<b>Product Type:</b>	No Product
<b>Allegations:</b>	JUMPER WAS NAMED A RESPONDENT IN A FINRA COMPLAINT ALLEGING THAT HIS MEMBER FIRM, ACTING THROUGH HIM AS ITS CHIEF EXECUTIVE OFFICER AND CHIEF COMPLIANCE OFFICER, CONDUCTED A SECURITIES BUSINESS WHILE FAILING TO MAINTAIN ITS REQUIRED MINIMUM NET CAPITAL. THE COMPLAINT ALLEGES THAT JUMPER KNEW OF THE FIRM'S HISTORY OF REPEATED NET CAPITAL VIOLATIONS AND OF ITS RECENT PROBLEMS WITH MAINTAINING MINIMUM NET CAPITAL COMPLIANCE AND KNEW, SHOULD HAVE KNOWN, OR WAS RECKLESS IN NOT KNOWING THAT HIS ACTIONS WOULD RESULT IN THE FIRM CONDUCTING A SECURITIES



BUSINESS WHILE FAILING TO MAINTAIN ITS MINIMUM NET CAPITAL REQUIREMENT. YET, BY HIS ACTIONS, JUMPER ALLOWED THE FIRM TO CONDUCT A SECURITIES BUSINESS WHILE BELOW ITS MINIMUM NET CAPITAL REQUIREMENT. THE COMPLAINT ALSO ALLEGES THAT THE FIRM, ACTING THROUGH JUMPER, FAILED TO ESTABLISH, MAINTAIN AND ENFORCE A SUPERVISORY SYSTEM, INCLUDING WRITTEN SUPERVISORY PROCEDURES (WSPS), REASONABLY DESIGNED TO ACHIEVE COMPLIANCE WITH THE REQUIREMENTS TO MAINTAIN NET CAPITAL COMPLIANCE. JUMPER DID NOT PUT IN PLACE A SYSTEM TO ENSURE THAT THE FIRM DID NOT CONDUCT A SECURITIES BUSINESS WHILE NET CAPITAL DEFICIENT.

**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?** No

**Resolution Date:** 11/11/2015

**Sanctions Ordered:** Civil and Administrative Penalty(ies)/Fine(s)  
Suspension

**Sanction 1 of 1**

**Sanction Type:** Suspension

**Capacities Affected:** All principal capacities

**Duration:** 2 Months

**Start Date:** 12/07/2015

**End Date:** 02/06/2016

**Monetary Sanction 1 of 1**

**Monetary Related Sanction:** Civil and Administrative Penalty(ies)/Fine(s)

**Total Amount:** \$15,000.00

**Portion Levied against individual:** \$15,000.00

**Payment Plan:**

**Is Payment Plan Current:**



**Date Paid by individual:**

**Was any portion of penalty waived?** No

**Amount Waived:****Broker Statement**

Without admitting or denying the allegations, Jumper consented to the sanctions and to the entry of findings that he knew, should have known, or was reckless in not knowing that his actions would result in his member firm conducting a securities business while failing to maintain its minimum net capital requirement. The findings stated that by his actions, Jumper allowed the firm to conduct a securities business while below its minimum net capital requirement. Jumper knew of the firm's history of repeated net capital violations and of the firm's recent problems with maintaining minimum net capital compliance. Jumper failed to verify that the firm had the requisite minimum amount of net capital before he himself engaged in the underwriting and closing of two offerings. The findings also stated that Jumper failed to establish and maintain a supervisory system and establish, maintain and enforce WSPs reasonably designed to achieve compliance with the requirements of FINRA rules and the federal securities laws concerning net capital compliance. Jumper was responsible for the issuance, dissemination and maintenance of the firm's WSPs, including any amendments, modifications or revisions thereto. Despite knowing of the firm's history of net capital issues and that the firm was routinely below required minimum net capital, Jumper did not put in place a system to ensure that the firm did not conduct a securities business while net capital deficient.

**Disclosure 2 of 2**

**Reporting Source:** Regulator

**Regulatory Action Initiated By:** FINRA

**Sanction(s) Sought:** Other: N/A

**Date Initiated:** 06/12/2013

**Docket/Case Number:** [2012030378403](#)

**Employing firm when activity occurred which led to the regulatory action:** ALLUVION SECURITIES, LLC

**Product Type:** No Product

**Allegations:** MSRB RULE G-27: JUMPER'S FIRM, ACTING THROUGH JUMPER, FAILED TO



PROVIDE A COPY OF THE OFFICIAL STATEMENT (OS) IN A MUNICIPAL SECURITIES OFFERING TO CUSTOMERS WHOSE TRANSACTIONS SETTLED ON THAT DAY. THE FIRM, ACTING THROUGH JUMPER, FAILED TO TIMELY SUBMIT THE OS IN ONE MUNICIPAL OFFERING TO THE ELECTRONIC MUNICIPAL MARKET ACCESS (EMMA) SYSTEM. THE FIRM, ACTING THROUGH JUMPER, FILED TO THE MUNICIPAL SECURITIES RULEMAKING BOARD (MSRB) A FORM G-37 FOR THE FIRST QUARTER OF A YEAR THAT FAILED TO DISCLOSE AN ISSUER WITH WHICH THE FIRM HAD ENGAGED IN MUNICIPAL SECURITIES BUSINESS. AS EVIDENCED BY THE RELATED MSRB VIOLATIONS NOTED ABOVE, THE FIRM, ACTING THROUGH JUMPER, DID NOT ESTABLISH AND MAINTAIN AN ADEQUATE SYSTEM TO SUPERVISE ITS MUNICIPAL SECURITIES ACTIVITIES.

<b>Current Status:</b>	Final
<b>Resolution:</b>	Acceptance, Waiver & Consent(AWC)
<b>Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct?</b>	No
<b>Resolution Date:</b>	06/12/2013
<b>Sanctions Ordered:</b>	Censure Civil and Administrative Penalty(ies)/Fine(s)
<b>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?</b>	No



**(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?**

**(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**



**(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?**

**Monetary Sanction 1 of 1**

**Monetary Related Sanction:** Civil and Administrative Penalty(ies)/Fine(s)

**Total Amount:** \$10,000.00

**Portion Levied against individual:** \$10,000.00

**Payment Plan:**

**Is Payment Plan Current:**

**Date Paid by individual:** 12/04/2014

**Was any portion of penalty waived?** No

**Amount Waived:**

**Regulator Statement** WITHOUT ADMITTING OR DENYING THE FINDINGS, JUMPER CONSENTED TO THE DESCRIBED SANCTIONS AND TO THE ENTRY OF FINDINGS, THEREFORE HE IS CENSURED AND FINED \$10,000. FINE PAID IN FULL ON DECEMBER 4, 2014.

**Reporting Source:** Broker

**Regulatory Action Initiated By:** FINRA



**Sanction(s) Sought:** Other: N/A  
**Date Initiated:** 06/12/2013  
**Docket/Case Number:** [2012030378403](#)  
**Employing firm when activity occurred which led to the regulatory action:** ALLUVION SECURITIES, LLC  
**Product Type:** No Product  
**Allegations:** MSRB RULE G-27: JUMPER'S FIRM, ACTING THROUGH JUMPER FAILED TO PROVIDE A COPY OF THE OFFICIAL STATEMENT (OS) IN A MUNICIPAL SECURITIES OFFERING TO CUSTOMERS WHOSE TRANSACTION SETTLED ON THAT DAY: THE FIRM ACTING THROUGH JUMPER, FAILED TO TIMELY SUBMIT THE OS IN ONE MUNICIPAL OFFERING TO THE ELECTRONIC MUNICIPAL MARKET ACCESS (EMMA) SYSTEM. THE FIRM ACTING, ACTING THROUGH JUMPER FILED TO THE MUNICIPAL SECURITIES RULEMAKING BOARD (MSRB) A FORM G-37 FOR THE FIRST QUARTER OF A YEAR THAT FAILED TO DISCLOSE AN ISSUER WITH WHICH THE FIRM HAD ENGAGED IN MUNICIPAL SECURITIES BUSINESS. AS EVIDENCED BY THE RELATED MSRB VIOLATIONS NOTED ABOVE, THE FIRM, ACTING THROUGH JUMPER, DID NOT ESTABLISH AND MAINTAIN AN ADEQUATE SYSTEM TO SUPERVISE ITS MUNICIPAL SECURITIES ACTIVITIES  
**Current Status:** Final  
**Resolution:** Acceptance, Waiver & Consent(AWC)  
**Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct?** No  
**Resolution Date:** 06/12/2013  
**Sanctions Ordered:** Censure  
 Civil and Administrative Penalty(ies)/Fine(s)  
**Monetary Sanction 1 of 1**  
**Monetary Related Sanction:** Civil and Administrative Penalty(ies)/Fine(s)  
**Total Amount:** \$10,000.00



<b>Portion Levied against individual:</b>	\$10,000.00
<b>Payment Plan:</b>	YES WAITING ON PAYMENT SCHEDULE
<b>Is Payment Plan Current:</b>	Yes
<b>Date Paid by individual:</b>	
<b>Was any portion of penalty waived?</b>	No
<b>Amount Waived:</b>	



## Judgment / Lien

This type of disclosure event involves an unsatisfied and outstanding judgments or liens against the broker.

### Disclosure 1 of 2

<b>Reporting Source:</b>	Broker
<b>Judgment/Lien Holder:</b>	IRS
<b>Judgment/Lien Amount:</b>	\$135,791.00
<b>Judgment/Lien Type:</b>	Tax
<b>Date Filed with Court:</b>	08/22/2011
<b>Date Individual Learned:</b>	08/22/2011
<b>Type of Court:</b>	State Court
<b>Name of Court:</b>	TN State Court Shelby County TN
<b>Location of Court:</b>	Shellby County TN
<b>Docket/Case #:</b>	11081591
<b>Judgment/Lien Outstanding?</b>	Yes

### Disclosure 2 of 2

<b>Reporting Source:</b>	Broker
<b>Judgment/Lien Holder:</b>	IRS
<b>Judgment/Lien Amount:</b>	\$153,425.00
<b>Judgment/Lien Type:</b>	Tax
<b>Date Filed with Court:</b>	12/31/2010
<b>Date Individual Learned:</b>	04/30/2015
<b>Type of Court:</b>	MUNICIPAL
<b>Name of Court:</b>	CIRCUIT COURT
<b>Location of Court:</b>	TN
<b>Judgment/Lien Outstanding?</b>	Yes

**Broker Statement** I WAS ADVISED BY THE IRS EMPLOYEE THAT THIS MATTER INVOLVES 2007 AND 2008. MY TAXES REPORTED NO DEDUCTIONS, LOSSES OR OTHER FACTORS AND MORE THAN LIKELY INACCURATE. MY ATTORNEY/CPA WILL BE SUBMITTING INFORMATION WHICH WE HOPE WILL RESOLVE THIS



MATTER COMPLETELY. I WAS ALSO TOLD THAT THEY HAD REVISED SOME OF THERE RECORDS AND 1/3 OF THIS IS DISCHARGED AND I AM TO CALL THE DEPARTMENT TO GET A RELEASE STATEMENT.



## End of Report



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