

**BrokerCheck Report**

**JASON HYSON LEBLANC**

CRD# 2483182

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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 <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](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)

**JASON H. LEBLANC**

CRD# 2483182

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
- 2 State Securities Law Exams

### Registration History

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

**GIRARD SECURITIES, INC.**

CRD# 18697  
Fulshear, TX  
04/2009 - 09/2015

**WOODBURY FINANCIAL SERVICES, INC.**

CRD# 421  
HOUSTON, TX  
03/2009 - 04/2009

**STANFORD GROUP COMPANY**

CRD# 39285  
HOUSTON, TX  
08/1996 - 03/2009

### 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	1
Customer Dispute	3
Termination	1

### Investment Adviser Representative Information

The information below represents the individual's record as a broker. For details on this individual's record as an investment adviser representative, visit the SEC's Investment Adviser Public Disclosure website at

<https://www.adviserinfo.sec.gov>

## 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.

**This individual has passed 0 principal/supervisory exams, 2 general industry/product exams, and 2 state securities law exams.**

### Principal/Supervisory Exams

Exam	Category	Date
No information reported.		

### General Industry/Product Exams

Exam	Category	Date
General Securities Representative Examination	Series 7	05/23/1994
Futures Managed Funds Examination	Series 31	11/13/2006

### State Securities Law Exams

Exam	Category	Date
Uniform Securities Agent State Law Examination	Series 63	06/16/1995
Uniform Investment Adviser Law Examination	Series 65	02/10/1998

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
04/2009 - 09/2015	GIRARD SECURITIES, INC.	18697	Fulshear, TX
03/2009 - 04/2009	WOODBURY FINANCIAL SERVICES, INC.	421	HOUSTON, TX
08/1996 - 03/2009	STANFORD GROUP COMPANY	39285	HOUSTON, TX
01/1996 - 02/1996	STANFORD GROUP COMPANY	39285	
05/1994 - 02/1996	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	7691	NEW YORK, NY

### 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
10/2015 - Present	Vere Asset Management, Inc.	Fulshear, TX
04/2009 - 09/2015	GIRARD SECURITIES, INC.	SAN DIEGO, CA
09/1998 - 03/2009	STANFORD GROUP COMPANY	HOUSTON, TX

### 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.

THE LEBLANC GROUP, LLC., OWNER OF RENTAL PROPERTY SINCE 12/03/2005. FUNCTIONS AS PRESIDENT/SECRETARY OF LLC. NOT SECURITIES RELATED DEVOTES 0% HOURS DURING TRADING HOURS. 51% OWNER WITH 49% UNDER WIFE MELISSA AS SECRETARY AND TREASURER. VARIOUS INSURANCE APPOINTMENTS LEBLANC WEALTH MANAGEMENT - STRT 11/09/1998 2 HRS PER MONTH. TEXAS REAL ESTATE SALESPERSON LICENSE TIME SPENT APPRX. 5-7 HOURS A WEEK.

ALPHA GROUNDS COFFEE HOLDINGS, LLC DBA FIRST CUP CAFÉ - A LOCAL NEIGHBORHOOD COFFEE SHOP.

## Registration and Employment History



### Other Business Activities, continued

5% TIME 25% OWNERSHIP.

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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.
  -
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	1	0





Customer Dispute	0	3	N/A
Termination	N/A	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.

### 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 1

**Reporting Source:** Regulator

**Regulatory Action Initiated By:** FINRA

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

**Date Initiated:** 06/29/2017

**Docket/Case Number:** [2015047168101](#)

**Employing firm when activity occurred which led to the regulatory action:** Girard Securities, Inc.

**Product Type:** Other: private securities; real estate investment

**Allegations:** Without admitting or denying the findings, LeBlanc consented to the sanction and to the entry of findings that he failed to disclose several outside business activities to his member firm and provided inaccurate information about an outside business activity to it. The findings stated that LeBlanc engaged in private securities transactions without the knowledge or approval of the firm. The findings also stated that LeBlanc misused customer funds by applying a customer's money to an investment other than the one he represented to her. LeBlanc sold a promissory note from one customer to a second customer for \$23,000. The second customer was led to believe by LeBlanc that she was investing in a coffee shop. Instead, LeBlanc returned \$3,000 to the customer and invested the remaining \$20,000 in a



real estate investment company, without informing her of the change of investment. FINRA found that LeBlanc misused customer funds by commingling personal and customer funds in various bank and brokerage accounts. LeBlanc frequently commingled funds in order to pay bills for the various entities and his own personal expenses. FINRA also found that LeBlanc did not provide documents to FINRA that were requested after he testified that they were in his possession.

<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>	06/29/2017
<b>Sanctions Ordered:</b>	Bar (Permanent)
<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
<b>(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?</b>	



**(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**

<b>Sanction Type:</b>	Bar (Permanent)
<b>Capacities Affected:</b>	All Capacities
<b>Duration:</b>	Indefinite
<b>Start Date:</b>	06/29/2017
<b>End Date:</b>	





## Customer Dispute - Closed-No Action / Withdrawn / Dismissed / Denied

This type of disclosure event involves (1) a consumer-initiated, investment-related arbitration or civil suit containing allegations of sales practice violations against the individual broker that was dismissed, withdrawn, or denied; or (2) a consumer-initiated, investment-related written complaint containing allegations that the broker engaged in sales practice violations resulting in compensatory damages of at least \$5,000, forgery, theft, or misappropriation, or conversion of funds or securities, which was closed without action, withdrawn, or denied.

### Disclosure 1 of 3

**Reporting Source:** Firm

**Employing firm when activities occurred which led to the complaint:** STANFORD GROUP COMPANY

**Allegations:** CUSTOMER ALLEGES THAT THE RR MISREPRESENTED THE CUSTOMER'S NET WORTH WITHOUT THE CUSTOMER'S KNOWLEDGE SO THAT THE CUSTOMER WOULD BE CONSIDERED AN "ACCREDITED INVESTOR" AND PERMITTED TO PURCHASE CERTAIN CERTIFICATES OF DEPOSIT.

**Product Type:** CD

**Alleged Damages:** \$135,267.78

**Is this an oral complaint?** No

**Is this a written complaint?** Yes

**Is this an arbitration/CFTC reparation or civil litigation?** No

### Customer Complaint Information

**Date Complaint Received:** 08/21/2012

**Complaint Pending?** Yes

**Settlement Amount:**

**Individual Contribution Amount:**

**Reporting Source:** Broker

**Employing firm when activities occurred which led to the complaint:** STANFORD GROUP COMPANY

**Allegations:** CUSTOMER ALLEGES THAT THE RR MISREPRESENTED THE CUSTOMER'S NET WORTH WITHOUT THE CUSTOMER'S KNOWLEDGE SO THAT THE



CUSTOMER WOULD BE CONSIDERED AN "ACCREDITED INVESTOR" AND PERMITTED TO PURCHASE CERTAIN CERTIFICATES OF DEPOSIT.

**Product Type:** CD  
**Alleged Damages:** \$135,267.78  
**Is this an oral complaint?** No  
**Is this a written complaint?** Yes  
**Is this an arbitration/CFTC reparation or civil litigation?** No

### Customer Complaint Information

**Date Complaint Received:** 08/28/2012  
**Complaint Pending?** No  
**Status:** Closed/No Action  
**Status Date:** 06/25/2014

**Settlement Amount:**

**Individual Contribution Amount:**

**Broker Statement**

IT IS UNFORTUNATE THAT DUE TO EVENTS BEYOND MY CONTROL THAT THIS SITUATION HAS GOTTEN TO THIS POINT. I HAVE COOPERATED WITH AND HAVE PROVIDED THE REGULATORY AGENCIES WITH ALL OF THE INFORMATION THAT THEY HAVE REQUESTED AND HAVE DONE SO IN A TIMELY MANNER. GIRARD CONTACTED TEXAS STATE SECURITIES BOARD AND THEY INFORMED GIRARD THAT THE CASE WAS CLOSED WITH NO ACTION.

### Disclosure 2 of 3

**Reporting Source:** Broker  
**Employing firm when activities occurred which led to the complaint:** STANFORD GROUP COMPANY

**Allegations:** CLIENT COMPLAINED TO THE TEXAS STATE SECURITIES BOARD ABOUT TWO CDS PURCHASED THROUGH THE STANFORD GROUP IN 2008 AND 2009 AND ALLEGES POSSIBLE KNOWLEDGE BY THE REPRESENTATIVE OF IMPROPRIETIES ON BEHALF OF STANFORD GROUP WITH RESPECT TO ITS CDS.



**Product Type:** CD  
**Alleged Damages:** \$1,100,000.00  
**Is this an oral complaint?** No  
**Is this a written complaint?** Yes  
**Is this an arbitration/CFTC  
reparation or civil litigation?** No

### Customer Complaint Information

**Date Complaint Received:** 05/06/2011  
**Complaint Pending?** No  
**Status:** Denied  
**Status Date:** 05/18/2011

**Settlement Amount:**

**Individual Contribution  
Amount:**

**Broker Statement**

I HAVE ALWAYS MADE IT A PRIORITY TO ACT IN THE BEST INTEREST OF EACH CLIENT. IN NO WAY DO I FEEL I MISREPRESENTED ANY INVESTMENTS, AS I HAVE ALWAYS DESCRIBED EACH INVESTMENT VEHICLE THAT I HAVE RECOMMENDED AS I UNDERSTOOD THEM TO BE, BOTH BY MY OWN DUE DILIGENCE AND BY THE "VETTING PROCESS" OF MY BROKER/DEALER. IT IS REGRETTABLE THAT THIS SITUATION HAS REACHED THIS POINT.

### Disclosure 3 of 3

**Reporting Source:** Broker  
**Employing firm when  
activities occurred which led  
to the complaint:** STANFORD GROUP COMPANY

**Allegations:** CUSTOMER ALLEGES THAT A CD PURCHASED FROM MR. LEBLANC THROUGH STANFORD GROUP WAS MISREPRESENTED AND THAT CUSTOMER WAS NOT AN ACCREDITED INVESTOR. THE CUSTOMER ALLEGES A LOSS OF \$59,878.

**Product Type:** CD  
**Alleged Damages:** \$59,878.00





**Is this an oral complaint?** No

**Is this a written complaint?** Yes

**Is this an arbitration/CFTC  
reparation or civil litigation?** No

**Customer Complaint Information**

**Date Complaint Received:** 08/31/2010

**Complaint Pending?** No

**Status:** Denied

**Status Date:** 09/09/2010

**Settlement Amount:**

**Individual Contribution  
Amount:**

**Broker Statement**

IT IS VERY REGRETTABLE THAT THIS SITUATION HAS COME TO THIS. I PROVIDED [CUSTOMER], AS I HAVE TRIED TO PROVIDE ALL OF MY CLIENTS, TOP-NOTCH CLIENT SERVICE AND DEDICATION, AND INVESTMENT ADVICE WHICH I FELT WOULD HELP HIM BEST ACHIEVE HIS RETIREMENT GOALS AND OBJECTIVES. IT IS UNFORTUNATE THAT EVENTS BEYOND MY CONTROL HAVE LED US TO THIS POINT.



## 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:** Girard Securities, Inc.

**Termination Type:** Discharged

**Termination Date:** 09/23/2015

**Allegations:** The firm was made aware of a previously under-disclosed OBA. An investigation revealed that the RR was also participating in the OBA in a manner inconsistent with Rules 3040 and 3280.

**Product Type:** No Product

**Reporting Source:** Broker

**Employer Name:** Girard Securities, Inc.

**Termination Type:** Discharged

**Termination Date:** 09/30/2015

**Allegations:** While employed with Girard Securities, the firm was made aware of a previously under-disclosed OBA. After Girard's internal investigation, they deemed that I participated in that OBA in a manner inconsistent with Rules 3040 and 3280.

**Product Type:** No Product

**Broker Statement** While employed with Girard Securities, the firm was made aware of a previously under-disclosed OBA. After Girard's internal investigation, they deemed that I participated in that OBA in a manner inconsistent with Rules 3040 and 3280. This OBA involves my partial ownership in Alpha Grounds Coffee, LLC. It is a local, neighborhood coffee shop that, as I mentioned to friends and family, they asked if they could financially invest in. In a momentary lapse of judgment and not thinking through the possible ramifications, I allowed their investment and failed to disclose to my b/d. No client complaints occurred, no client lost any money, each client has signed a "hold-harmless" agreement stating that they understood that this investment was not affiliated with my former broker/dealer. I think that my spotless, 20 year record in the financial industry speaks for itself. This one incident was just a momentary lapse in judgment on my part.

## End of Report



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