

BrokerCheck Report

JASON JAMES EATON

CRD# 4580632

Report #78351-91824, data current as of Saturday, January 03, 2009.

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Dear Investor:

FINRA has generated the following BrokerCheck report for **JASON J. EATON**. The information contained within this report has been provided by a FINRA brokerage firm(s) and securities regulators as part of the securities industry's registration and licensing process and represents the most current information reported to the Central Registration Depository (CRD®).

FINRA regulates the securities markets for the ultimate benefit and protection of the investor. FINRA believes the general public should have access to information that will help them determine whether to conduct, or continue to conduct, business with a FINRA member. To that end, FINRA has adopted a public disclosure policy to make certain types of information available to you. Examples of information FINRA provides include: regulatory actions, investment-related civil suits, customer disputes that contain allegations of sales practice violations against brokers, all felony charges and convictions, misdemeanor charges and convictions relating to securities violations, and financial events such as bankruptcies, compromises with creditors, judgments, and liens.

When evaluating this report, please keep in mind that it may include items that involve pending actions or allegations that may be contested and have not been resolved or proven. Such items may, in the end, be withdrawn or dismissed, or resolved in favor of the individual broker, or concluded through a negotiated settlement with no admission or finding of wrongdoing.

The information in this report is not the only resource you should consult. FINRA recommends that you learn as much as possible about the individual broker or firm from other sources, such as professional references, local consumer and investment groups, or friends and family members who already have

established investment business relationships.

FINRA BrokerCheck is governed by federal law, Securities and Exchange Commission (SEC) regulations and FINRA rules approved by the SEC. State disclosure programs are governed by state law, and may provide additional information on brokers licensed by the state. Therefore, you should also consider requesting information from your state securities regulator. Refer to www.nasaa.org for a complete list of state securities regulators.

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)

JASON J. EATON

CRD# 4580632

Currently employed by and registered with the following FINRA Firms:**CADARET, GRANT & CO., INC.**

ONE LINCOLN CENTER
110 W. FAYETTE ST. 5TH FLOOR
SYRACUSE, NY 13202
CRD# 10641

Registered with this firm since: 01/19/2006

Report Summary for this Broker

The report summary provides an overview of the broker's professional background and conduct. The individual broker, a FINRA-registered firm(s), and/or securities regulator(s) have provided the information contained in this report as part of the securities industry's registration and licensing process. The information contained in this report was last updated by either the broker, a previous employing brokerage firm, or a securities regulator on 10/17/2008.

Broker Qualifications**This broker is registered with:**

- [1 Self-Regulatory Organization](#)
- 14 U.S. states and territories

Is this broker currently suspended or inactive with any regulator? **No**

This broker has passed:

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

Registration and Employment History

This broker was previously registered with the following FINRA firms:

EQUITY SERVICES, INC.

CRD# 265
MONTPELIER, VT
11/2002 - 04/2003

For additional registration and employment history details as reported by the broker, refer to the Registration and Employment History section of this report.

Disclosure of Customer Disputes, Disciplinary, and Regulatory Events

This section includes details regarding disclosure events reported by or about this broker to CRD as part of the securities industry registration and licensing process. Examples of such disclosure events include formal investigations and disciplinary actions initiated by regulators, customer disputes, certain criminal charges and/or convictions, as well as financial disclosures, such as bankruptcies and unpaid judgments or liens.

Are there events disclosed about this broker? **No**



Broker Qualifications

Registrations

This section provides the 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 status became effective. This section also provides information on the physical location of each branch that the broker is associated with, for each listed employment.

This individual is currently registered with 1 SRO and is licensed in 14 U.S. states and territories through his or her employer.

Employment 1 of 1

Firm Name: **CADARET, GRANT & CO., INC.**

Main Office Address: **ONE LINCOLN CENTER
110 W. FAYETTE ST. 5TH FLOOR
SYRACUSE, NY 13202**

Firm CRD#: **10641**

SRO	Category	Status	Date
FINRA	General Securities Representative	APPROVED	01/19/2006

U.S. State/ Territory	Category	Status	Date
Alaska	Agent	APPROVED	08/21/2008
California	Agent	APPROVED	03/27/2008
Delaware	Agent	APPROVED	10/13/2008
Idaho	Agent	APPROVED	02/07/2006
Illinois	Agent	APPROVED	01/30/2008
Massachusetts	Agent	APPROVED	06/12/2007
Michigan	Agent	APPROVED	04/25/2008
New Jersey	Agent	APPROVED	08/16/2006
New York	Agent	APPROVED	01/19/2006
Oregon	Agent	APPROVED	04/18/2007
Pennsylvania	Agent	APPROVED	10/15/2007
Rhode Island	Agent	APPROVED	10/10/2008
Tennessee	Agent	APPROVED	08/25/2008
Vermont	Agent	APPROVED	02/15/2006

Broker Qualifications



Employment 1 of 1, continued

Branch Office Locations

This individual does not have any registered Branch Office where the individual is located.



Broker Qualifications

Industry Exams this Broker has Passed

This section includes all current principal/supervisory, general product/industry, and/or state securities law exams that the broker has passed. Under certain, limited circumstances, a broker may receive a waiver of an exam requirement based on a combination of previous exams passed and qualifying work experience. Likewise, a new exam requirement may be grandfathered based on a broker's specific qualifying work experience. Information regarding instances of exam waivers or the grandfathering of an exam requirement are not included as part of the BrokerCheck report.

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
Investment Company Products/Variable Contracts Representative Examination	Series 6	11/07/2002
General Securities Representative Examination	Series 7	01/18/2006

State Securities Law Exams

Exam	Category	Date
Uniform Combined State Law Examination	Series 66	01/17/2006

Additional information about the securities industry's qualifications and continuing education requirements, as well as the examinations administered by FINRA to brokers and other securities professionals can be found at <http://www.finra.org/brokerqualifications/>.



Registration and Employment History

Previously Registered with the Following FINRA Firms

FINRA records show this broker previously held FINRA registrations with the following firms:

Registration Dates	Firm Name	CRD#	Branch Location
11/2002 - 04/2003	EQUITY SERVICES, INC.	265	MONTPELIER, VT

Employment History

This section provides up to 10 years of a broker's employment history as reported by the individual broker, and includes all securities and non-securities related employment, full and part-time work, self-employment, military service, unemployment, and full-time education. Please note that this information is not updated after an individual ceases to be registered with a FINRA firm.

Employment Dates	Employer Name	Employer Location
01/2006 - Present	CADARET, GRANT & CO., INC.	FAYETTEVILLE, NY
01/2006 - Present	HANSEN'S FINANCIAL SERVICES	FAYETTEVILLE, NY
08/2005 - 12/2005	MCCALL OUTDOOR SCIENCE SCHOOL	MCCALL, ID
08/2005 - 12/2005	SEL-EMPLOYED	MCCALL, ID
07/2005 - 08/2005	SUWS OF THE CAROLINAS	OLD FORT, NC
07/2004 - 07/2005	ADIRONDACK LEADSHIP EXPD.	SARANAC LAKE, NY
02/2005 - 03/2005	ALASKA CROSSINGS	WRANGELL, AK
04/2003 - 07/2004	MIDDLEBURY SOLARI	MIDDLEBURY, VT
11/2003 - 06/2004	MAPLECREST FARM	WOODSTOCK, VT
06/2003 - 10/2003	SWIFT HOUSE INN	MIDDLEBURY, VT
05/2003 - 05/2003	MANPOWER	S. BURLINGTON, VT
11/2002 - 04/2003	NATIONAL LIFE	BURLINGTON, VT
08/2002 - 10/2002	MANPOWER	S BURLINGTON, VT
01/2000 - 08/2002	OIKOS SYSTEMS	COLCHESTER, VT
03/2002 - 05/2002	SODEXHO	MOSCOW, ID
09/2000 - 05/2002	UNIVERSITY OF IDAHO OUTDOOR PROGRAM	MOSCOW, ID
09/2000 - 05/2001	UNIVERSITY OF IDAHO ENVIR SCIENCE DEPT	MOSCOW, ID

Registration and Employment History



Employment History (continued...)

Employment Dates	Employer Name	Employer Location
05/2000 - 09/2000	OBSIDIAN TRAILS OUTDOOR SCHOOL	BEND, OR
09/1999 - 05/2000	MAPLECREST FARM	WOODSTOCK, VT
05/1999 - 09/1999	HARVARD FOREST, HARVARD UNIV	WOODS HOLE, MA
09/1998 - 05/1999	WILDERNESS RESEARCH CENTER	MOSCOW, ID
09/1998 - 05/1999	WILDERNESS RESEARCH CENTER	MOSCOW, ID

Affiliations

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.

YMCA, START 5/2006, TEEN VOLUNTEER, PROVIDE LEADSHIP/ROLE MODEL TO TEENS, I MAY AT SOME TIME PROVIDE FINANCIAL LITERACY SEMINARS FOR YOUTH/ADULTS; SELF (SOLE PROPIERTER), START 5/ 2007, PROJECT MANAGER, LANDSCAPING, PAINTING,HOME IMPROVEMENT, MANUAL LABOR; BOYS & GIRLS CLUB, START 5/2007, TEACHER/MENTOR, TEACH A MONEY SKILLS SERIES OF CLASSES FOR YOUTH.



About this BrokerCheck Report

BrokerCheck reports are part of a FINRA initiative to disclose information about FINRA-registered firms and brokers to help investors determine whether to conduct, or continue to conduct, business with these firms and brokers. The information contained within these reports is collected through the securities industry's registration and licensing process.

Who provides the information in BrokerCheck?

Information made available through FINRA BrokerCheck is derived from the Central Registration Depository (CRD®) as reported on the industry registration and licensing forms brokerage firms and brokers are required to complete.

The forms used by brokerage firms, Forms BD and BDW, are established by the Securities and Exchange Commission (SEC) and adopted by all state securities regulators and self-regulatory organizations (SROs). FINRA and the North American Securities Administrators Association (NASAA) establish the Forms U4 and U5, the forms that collect broker information. Regulators provide information via Form U6, which is used primarily to report certain history about brokerage firms and brokers. These forms are approved by the SEC.

How current is the information contained in BrokerCheck?

Brokerage firms and brokers are required to keep this information accurate and up-to-date (updates typically are required not later than 30 days after the broker/brokerage firm learns of an event). The report data is updated when a firm, broker, or regulator submits new or revised information to CRD. Generally, updated information is available on BrokerCheck Monday through Friday.

What information is NOT disclosed through BrokerCheck?

Information that has not been reported to the CRD system, or that is not required to be reported, is not disclosed through FINRA BrokerCheck. Examples of events that are not required to be reported or are no longer reportable include: judgments and liens originally reported as pending that subsequently have been satisfied and bankruptcy proceedings filed more than 10 years ago. Conversely, certain customer complaint information that is not required to be reported may be disclosed provided certain criteria are met.

Additional information not disclosed through BrokerCheck includes Social Security Numbers, residential history information, and physical description information. On a case-by-case basis, FINRA reserves the right to exclude information that contains confidential customer information, offensive and potentially defamatory language or information that raises significant identity theft or privacy concerns that are not outweighed by investor protection concerns. NASD Interpretive Material 8310-2 describes in detail what information is and is not disclosed through BrokerCheck.

Under FINRA's current public disclosure policy, in certain limited circumstances, most often pursuant to a court order, information is expunged from the CRD system. Further information about expungement from the CRD system is available in NASD Notices to Members 99-09, 99-54, 01-65, and 04-16 at www.finra.org.

For further information regarding FINRA's BrokerCheck program, please visit FINRA's Web Site at www.finra.org/brokercheck or call the FINRA BrokerCheck Hotline at (800) 289-9999. The hotline is open Monday through Friday from 8 a.m. to 8 p.m., Eastern Time (ET).

For more information about the following, select the associated link:

- About BrokerCheck Reports: http://www.finra.org/brokercheck_reports
- Glossary: http://www.finra.org/brokercheck_glossary
- Questions Frequently Asked about BrokerCheck Reports: http://www.finra.org/brokercheck_faqs
- Terms and Conditions: <http://brokercheck.finra.org/terms.aspx>

