

# MY STORY

## What Happened

1, On April 6, 2021, The Colorado Division of Securities (CDS) and Charles Schwab falsely accused Jason Ray Clark of 'stealing customers money' with no evidence and failing to check their own contract that does NOT allow Jason Ray Clark/CBI to move money, **and then told all of CBI customers that "Jason Clark/CBI was wiring money, writing checks, and dispersing money FROM CUSTOMERS ACCOUNTS."**

2, Jason Ray Clark proved his innocence in FINRA Arbitration case #21-02439 v. Schwab and Administrative court v. CDS case #XY 2022-0001. FINRA Arbitrators stated **"Jason Clark did nothing dishonest or dishonorable and that NO compliance issues were ultimately found by the CDS or the SEC."**

3, Jason Ray Clark then sued the CDS, Schwab, FINRA, DORA, and The CO AG for Defamation of Character.

4, Then, the CDS retaliated against Jason Ray Clark/CBI by revoking their securities licenses, and shutting down CBI after 30+ years in the investment business, SANCTIONED Jason Ray Clark, THREATENED to fine Jason Ray Clark, BLOCKED Jason Ray Clark from filing in the courts, accused Jason Ray Clark of THREATENING them, and said if Jason Ray Clark violated the sanctions, they would JAIL Jason Ray Clark.

## The Facts

All the following FINDINGS OF FACT were proven during FINRA Arbitration v. Schwab in case #21-02439, and subsequently BLOCKED from being heard in Administrative Court case #XY 2022-0001 where Jason Ray Clark/CBI were Pro Se DEFENDANTS.

1. CBI has generated A+ investment returns for more than 15+ years.
2. CBI only offers Grade A stocks, and always has, from Day 1.
3. NO FRAUD, NO VICTIMS, NO DAMAGES, No customer complaints, No fines, No penalties, and No sanctions in more than 30+ years in the investment business.
4. All compliance issues were cured immediately during both CDS examinations in 2010 and 2021.
5. Jason Ray Clark has studied Warren Buffett for more than 40+ years.
6. Jason Ray Clark graduated from WEST POINT in the Top 5% of his class with a degree in Financial Engineering.
7. Jason Ray Clark has NEVER lied, cheated, or stolen anything in his ENTIRE life.
8. Jason Ray Clark has NEVER conducted a trade or made an investment recommendation that was NOT in the best interest of a client.
9. Jason Ray Clark has NEVER made an investment recommendation that has LOST client's money.
10. The investment model that Jason Ray Clark invented has produced the #1 investment returns in America for the individual investor.

### The Law

1, ALJ do NOT have the constitutional authority to revoke securities licenses as ALJ are NOT part of the Judicial branch of government. Thus, these rulings violate the constitutional rights of the accused under the 5th and 14th amendments for due process, and the 7th amendment for right to a Trial by Jury. The US Supreme Court is overturning these cases in the masses. The latest and most relevant to Jason Ray Clark's case is JARKESY v SEC (June 27, 2024). Further denouncing these administrative injustices, US Supreme Court Justice Neil Gorsuch recently released a Book titled OVER-RULED, August 2024, stating the exact same legal argument that ALJ do NOT have the constitutional authority for these rulings, and furthermore, these unconstitutional, Un-American, egregious, capricious, and vexatious actions are ruining the lives of the accused, for no reason whatsoever.

2, ALJ Matthew E. Norwood BLOCKED exonerating evidence from Trial claiming nothing “substantive” was in the FINRA Judgment OR John Harth’s statements made about Jason Clark during the 2010 examination where John Harth of the CDS admitted to “taking the Examination too far because he did not like Mr. Clark and Mr. Clark got under his skin.” This spoliation of evidence amounts to prosecutorial and judicial misconduct as well as civil malfeasance both of which are HIGHLY unethical and against the law.

3, The CDS must show Jason Ray Clark “willfully” violated securities statutes.

Jason Ray Clark corrected 100% of ALL deficiencies immediately in both 2010 and 2021 examinations. The CDS has no evidence whatsoever that proves otherwise despite their fictitious, false, insulting, and defamatory claims that Jason Ray Clark has been ‘ignoring them and “under INVESTIGATION” for more than a decade.’

4, The CDS must prove revoking Jason Ray Clark/CBI securities licenses is “in the public’s interest”. No reasonable person, which is the Law, would conclude take this guy’s license, close his business, and destroy his life’s work given What Happened, The Facts, and The Law.

### CONCLUSION

These unconstitutional, Un-American, incompetent, corrupt, and vexatious actions by The CDS, The CO AG, and Charles Schwab have destroyed My Life, My health, My Relationships, MY REPUTATION, My Business, and My Career, FOR NO REASON.

**THE BEGINNING!**