



IAPD Report

Thomas Robert Edwards

CRD# 1197947

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Please contact FINRA with any concerns.



IAPD Information About Representatives

IAPD offers information on all current-and many former representatives. Investors are strongly encouraged to use IAPD to check the background of representatives before deciding to conduct, or continue to conduct, business with them.

What is included in a IAPD report?

IAPD reports for individual representatives include information such as employment history, professional qualifications, disciplinary actions, criminal convictions, civil judgments and arbitration awards.

It is important to note that the information contained in an IAPD 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 representative, or concluded through a negotiated settlement with no admission or finding of wrongdoing.

Where did this information come from?

The information contained in IAPD comes from the Investment Adviser Registration Depository (IARD) and FINRA's Central Registration Depository, or CRD, (see more on CRD below) and is a combination of:

- information the states require representatives and firms to submit as part of the registration and licensing process, and
- information that state regulators report regarding disciplinary actions or allegations against representatives.

How current is this information?

Generally, representatives are required to update their professional and disciplinary information in IARD within 30 days.

Need help interpreting this report?

For help understanding how to read this report, please consult NASAA's IAPD Tips page <http://www.nasaa.org/IAPD/IARReports.cfm>

What if I want to check the background of an Individual Broker or Brokerage Firm?

To check the background of an Individual Broker or Brokerage firm, you can search for the firm or individual in IAPD. If your search is successful, click on the link provided to view the available licensing and registration information in FINRA's BrokerCheck website.

Are there other resources I can use to check the background of investment professionals?

It is recommended that you learn as much as possible about an individual representative or Investment Adviser firm before deciding to work with them. Your state securities regulator can help you research individuals and certain firms doing business in your state. The contact information for state securities regulators can be found on the website of the North American Securities Administrators Association <http://www.nasaa.org>



Report Summary

Thomas Robert Edwards (CRD# 1197947)

The report summary provides an overview of the representative's professional background and conduct. The information contained in this report has been provided by the representative, investment adviser and/or securities firms, and/or securities regulators as part of the states' investment adviser registration and licensing process. The information contained in this report was last updated by the representative, a previous employing firm, or a securities regulator on **04/09/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	U.S. BANCORP ADVISORS, LLC	CRD# 14455	02/13/2026
IA	U.S. BANCORP ADVISORS, LLC	CRD# 14455	02/13/2026

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **24** jurisdiction(s).

Is this representative currently Inactive or Suspended with any regulator? **No**

Note: Not all jurisdictions require IAR registration or may have an exemption from registration.

Additional information including this individual's qualification examinations and professional designations is available in the Detailed Report.

REGISTRATION HISTORY

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

	FIRM	CRD#	LOCATION	REGISTRATION DATES
IA	U.S. BANCORP INVESTMENTS, INC.	17868	Seattle, WA	09/03/2004 - 02/13/2026
B	U.S. BANCORP INVESTMENTS, INC.	17868	Seattle, WA	10/08/2003 - 02/13/2026
IA	BANC OF AMERICA INVESTMENT SERVICES, 16361 INC.		SEATTLE, WA	03/22/2002 - 10/08/2003

For additional registration and employment history details as reported by the individual, refer to the Registration and Employment History section of the Detailed Report.

DISCLOSURE INFORMATION

Disclosure events include certain criminal charges and convictions, formal investigations and disciplinary actions initiated by regulators, customer disputes and arbitrations, and financial disclosures such as bankruptcies and unpaid judgments or liens.

Are there events disclosed about this representative? **Yes**

The following types of events are disclosed about this representative:

Type	Count
Customer Dispute	3
Termination	1



Qualifications

REGISTRATIONS

This section provides the SRO, states and U.S. territories in which the representative is currently registered and licensed, the category of each registration, and the date on which the registration becomes effective. This section also provides, for each firm with which the representative is currently employed, the address of each location where the representative works. This individual is currently registered with **24** jurisdiction(s) and 1 SRO(s) through his or her employer(s).

Employment 1 of 1

Firm Name: **U.S. BANCORP ADVISORS, LLC**
Main Address: 60 LIVINGSTON AVE
EP-MN-N2WC
SAINT PAUL, MN 55107
Firm ID#: 14455

Regulator	Registration	Status	Date
B FINRA	General Securities Representative	Approved	02/13/2026
B Alaska	Agent	Approved	02/13/2026
B Arizona	Agent	Approved	02/13/2026
B California	Agent	Approved	02/13/2026
B Colorado	Agent	Approved	02/13/2026
B Florida	Agent	Approved	02/17/2026
B Georgia	Agent	Approved	02/13/2026
B Hawaii	Agent	Approved	02/13/2026
B Idaho	Agent	Approved	02/13/2026
B Illinois	Agent	Approved	02/13/2026
B Indiana	Agent	Approved	02/13/2026
B Maine	Agent	Approved	02/13/2026
B Massachusetts	Agent	Approved	02/13/2026



Qualifications

Regulator	Registration	Status	Date
B Minnesota	Agent	Approved	02/13/2026
B Missouri	Agent	Approved	02/13/2026
B Montana	Agent	Approved	02/13/2026
B Nevada	Agent	Approved	04/09/2026
B New Jersey	Agent	Approved	02/13/2026
B New York	Agent	Approved	02/13/2026
B Oregon	Agent	Approved	02/13/2026
B Pennsylvania	Agent	Approved	02/13/2026
B South Carolina	Agent	Approved	02/13/2026
B Texas	Agent	Approved	02/13/2026
IA Texas	Investment Adviser Representative	Restricted Approval	02/13/2026
B Virginia	Agent	Approved	02/13/2026
B Washington	Agent	Approved	02/13/2026
IA Washington	Investment Adviser Representative	Approved	02/13/2026

Branch Office Locations

U.S. BANCORP ADVISORS, LLC
 4200 Southwest Edmunds St
 Seattle, WA 98116

U.S. BANCORP ADVISORS, LLC
 2910 Rainier Ave S
 Seattle, WA 98144

U.S. BANCORP ADVISORS, LLC
 1420 5th Ave
 Seattle, WA 98101

U.S. BANCORP ADVISORS, LLC
 9800 15th Ave SW
 Seattle, WA 98106





Qualifications

PASSED INDUSTRY EXAMS




This section includes all industry exams that the representative has passed. Under limited circumstances, a representative may attain registration after receiving an exam waiver based on a combination of exams the representative has passed and qualifying work experience. Likewise a new exam requirement may be grandfathered based on a representative's specific qualifying work experience. Exam waivers and grandfathering are not included below.

This individual has passed 2 principal/supervisory exams, 3 general industry/product exams, and 2 state securities law exams.



Principal/Supervisory Exams

Exam	Category	Date
 Municipal Securities Principal Examination (S53)	Series 53	10/27/1995
 General Securities Principal Examination (S24)	Series 24	04/16/1991

General Industry/Product Exams

Exam	Category	Date
 Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
 National Commodity Futures Examination (S3)	Series 3	06/13/1998
 General Securities Representative Examination (S7)	Series 7	10/15/1983

State Securities Law Exams

Exam	Category	Date
 Uniform Investment Adviser Law Examination (S65)	Series 65	02/20/2002
 Uniform Securities Agent State Law Examination (S63)	Series 63	02/04/1984

PROFESSIONAL DESIGNATIONS

This section details that the representative has reported **0** professional designation(s).

No information reported.



Registration & Employment History

PREVIOUSLY REGISTERED WITH THE FOLLOWING FIRMS

This representative held registrations with the following firms:

	Registration Dates	Firm Name	ID#	Branch Location
IA	09/03/2004 - 02/13/2026	U.S. BANCORP INVESTMENTS, INC.	CRD# 17868	Seattle, WA
B	10/08/2003 - 02/13/2026	U.S. BANCORP INVESTMENTS, INC.	CRD# 17868	Seattle, WA
IA	03/22/2002 - 10/08/2003	BANC OF AMERICA INVESTMENT SERVICES, INC.	CRD# 16361	SEATTLE, WA
B	02/22/2001 - 10/08/2003	BANC OF AMERICA INVESTMENT SERVICES, INC.	CRD# 16361	BOSTON, MA
B	06/17/1999 - 02/21/2001	WM FINANCIAL SERVICES, INC.	CRD# 599	IRVINE, CA
B	04/14/1999 - 06/15/1999	CONTINENTAL INVESTORS SERVICES, INC.	CRD# 29775	LONGVIEW, WA
B	10/24/1996 - 04/03/1997	GRUNTAL & CO., L.L.C.	CRD# 372	NEW YORK, NY
B	09/14/1992 - 05/14/1996	RAGEN MACKENZIE INCORPORATED	CRD# 10582	SAN FRANCISCO, CA
B	03/05/1986 - 09/14/1992	INTERPACIFIC INVESTORS SERVICES, INC.	CRD# 4879	SEATTLE, WA
B	10/20/1983 - 02/10/1986	MURPHEY FAVRE, INC.	CRD# 599	

EMPLOYMENT HISTORY

Below is the representative's employment history for up to the last 10 years.

Employment Dates	Employer Name	Position	Investment Related	Employer Location
02/2026 - Present	U.S. Bancorp Advisors, LLC	Wealth Management Advisor	Y	Seattle, WA, United States
10/2003 - 02/2026	U.S. BANCORP INVESTMENTS, INC.	Wealth Management Advisor	Y	SEATTLE, WA, United States



Registration & Employment History



OTHER BUSINESS ACTIVITIES

This section includes information, if any, as provided by the representative regarding other business activities the representative 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.

1618 THUNDER ROAD LLC; SPOKANE WA; RENTAL PROPERTY, INVESTMENT RELATED; 2 HRS/MO 0/TRADING; 11/2017



Disclosure Summary

Disclosure Information

What you should know about reported disclosure events:

(1) Certain thresholds must be met before an event is reported to IARD, for example:

- A law enforcement agency must file formal charges before an Investment Adviser Representative is required to report a particular criminal event.;
- A customer dispute must involve allegations that an Investment Adviser Representative engaged in activity that violates certain rules or conduct governing the industry and that the activity resulted in damages of at least \$5,000.

(2) Disclosure events in IAPD reports come from different sources:

As mentioned in the "About IAPD" section on page 1 of this report, information contained in IAPD comes from Investment Adviser Representatives, 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 IAPD report. The different versions will be separated by a solid line with the reporting source labeled.

(3) There are different statuses and dispositions for disclosure events:

- A disclosure event may have a status of *pending*, *on appeal*, or *final*.
 - A "pending" disclosure event involves allegations that have not been proven or formally adjudicated.
 - A disclosure event that is "on appeal" involves allegations that have been adjudicated but are currently being appealed.
 - A "final" disclosure event has been concluded and its resolution is not subject to change.
- A final disclosure 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 represents a disposition wherein the parties involved in a dispute reach an agreement to resolve the matter. Please note that Investment Adviser Representatives and firms may choose to settle customer disputes or regulatory matters for business or other reasons.
 - A "resolved" matter usually includes a disposition wherein no payment is made to the customer or there is no finding of wrongdoing on the part of the Investment Adviser Representative. Such matters generally involve customer disputes.

(4) You may wish to contact the Investment Adviser Representatives to obtain further information regarding any of the disclosure events contained in this IAPD report.



DISCLOSURE EVENT DETAILS

When evaluating this information, please keep in mind that some items may involve pending actions or allegations that may be contested and have not been resolved or proven. The event may, in the end, be withdrawn, dismissed, resolved in favor of the Investment Adviser Representative, or concluded through a negotiated settlement with no admission or finding of wrongdoing.

This report provides the information exactly as it was reported to the Investment Adviser Registration Depository. Some of the specific data fields contained in the report may be blank if the information was not provided.

The following types of events are disclosed about this representative:

Type	Count
Customer Dispute	3
Termination	1

Customer Dispute

This section provides information regarding a customer dispute that was reported to the Investment Adviser Registration Depository (IARD) by the Investment Adviser Representative (IAR), an investment adviser and/or securities firm, and/or a securities regulator. The event may include a consumer-initiated, investment-related complaint, arbitration proceeding or civil suit that contains allegations of sales practice violations against the individual.

The customer dispute may be pending or may have resulted in a civil judgment, arbitration award, monetary settlement, closure without action, withdrawal, dismissal, denial, or other outcome.

Disclosure 1 of 3

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	U.S. BANCORP INVESTMENTS, INC.
Allegations:	CUSTOMER ALLEGES THAT SECURITIES WERE UNSUITABLE BECAUSE OF THE SUBSEQUENT LACK OF LIQUIDITY.
Product Type:	Other: AUCTION RATE PREFERRED SECURITIES - CLOSED END FUNDS
Alleged Damages:	\$5,000.00
Is this an oral complaint?	No
Is this a written complaint?	Yes
Is this an arbitration/CFTC reparation or civil litigation?	Yes
Arbitration/Reparation forum or court name and location:	FINRA
Docket/Case #:	08-02326
Filing date of arbitration/CFTC reparation or civil litigation:	07/25/2008

Customer Complaint Information

Date Complaint Received:	04/18/2008
Complaint Pending?	No



Status: Settled

Status Date: 09/04/2008

Settlement Amount: \$10,000.00

Individual Contribution Amount: \$0.00

Broker Statement

REP'S COMMENTS: BASED ON THE CLIENT'S STATED OBJECTIVES AND RISK TOLERANCE, AND WHAT I KNEW ABOUT AUCTION RATE PREFERRED SECURITIES, AT THAT TIME, IT WAS ONE OF SEVERAL APPROPRIATE ALTERNATIVE INVESTMENTS FOR THE CLIENT TO CONSIDER. THE ARBITRATION DID NOT NAME THE REP AS A RESPONDENT. FIRM COMMENT: \$7,125,000 SETTLEMENT OF THE CUSTOMER COMPLAINT OCCURRED BETWEEN U.S. BANCORP, AN AFFILIATE OF U.S. BANCORP INVESTMENTS, INC. ("USBI"), AND THE CUSTOMER. U.S. BANCORP AGREED TO PURCHASE THE AUCTION RATE PREFERRED SECURITIES ("ARS") FROM THE CUSTOMER AT A PRICE EQUAL TO THE PAR VALUE PLUS DIVIDENDS OR INTEREST ACCRUED SINCE THE MOST RECENT PAYMENT DATE (AT THE TIME OF THE REPURCHASING). USBI DID NOT REPURCHASE THE ARS FROM THE CUSTOMER NOR DID THE REPRESENTATIVE CONTRIBUTE ANY DOLLAR AMOUNT TO THE SETTLEMENT.

Disclosure 2 of 3

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: U.S. BANCORP INVESTMENTS, INC.

Allegations: CUSTOMER ALLEGES THAT SECURITIES WERE UNSUITABLE BECAUSE OF THE SUBSEQUENT LACK OF LIQUIDITY.

Product Type: Other: AUCTION RATE PREFERRED SECURITIES - CLOSED END FUNDS

Alleged Damages: \$5,000.00

Is this an oral complaint? No

Is this a written complaint? Yes

Is this an arbitration/CFTC reparation or civil litigation? Yes

Arbitration/Reparation forum or court name and location: FINRA

Docket/Case #: 08-02326

Filing date of arbitration/CFTC reparation or civil litigation: 07/25/2008

Customer Complaint Information

Date Complaint Received: 04/18/2008

Complaint Pending? No

Status: Settled

Status Date: 09/04/2008

Settlement Amount: \$10,000.00



Individual Contribution Amount: \$0.00

Broker Statement REP'S COMMENTS: BASED ON THE CLIENT'S STATED OBJECTIVES AND RISK TOLERANCE, AND WHAT I KNEW ABOUT AUCTION RATE PREFERRED SECURITIES, AT THAT TIME, IT WAS ONE OF SEVERAL APPROPRIATE ALTERNATIVE INVESTMENTS FOR THE CLIENT TO CONSIDER. THE ARBITRATION DID NOT NAME THE REP AS A RESPONDENT. FIRM COMMENT: \$7,125,000 SETTLEMENT OF THE CUSTOMER COMPLAINT OCCURRED BETWEEN U.S. BANCORP, AN AFFILIATE OF U.S. BANCORP INVESTMENTS, INC. ("USBI"), AND THE CUSTOMER. U.S. BANCORP AGREED TO PURCHASE THE AUCTION RATE PREFERRED SECURITIES ("ARS") FROM THE CUSTOMER AT A PRICE EQUAL TO THE PAR VALUE PLUS DIVIDENDS OR INTEREST ACCRUED SINCE THE MOST RECENT PAYMENT DATE (AT THE TIME OF THE REPURCHASING). USBI DID NOT REPURCHASE THE ARS FROM THE CUSTOMER NOR DID THE REPRESENTATIVE CONTRIBUTE ANY DOLLAR AMOUNT TO THE SETTLEMENT.

Disclosure 3 of 3

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: U.S. BANCORP INVESTMENTS, INC.

Allegations: CLIENT ALLEGES UNSUITABLE RECOMMENDATION OF MUTUAL FUND SHARES AT NAV (WITH A 1% SURRENDER FEE) WHEN ADVISOR PURPORTEDLY WAS TOLD OF SHORT TERM OBJECTIVE. CLIENT ALLEGES THE 18-MONTH CDSC CHARGE WAS NOT DISCLOSED AT THE TIME OF PURCHASE.

Product Type: Mutual Fund(s)

Alleged Damages: \$10,335.12

Customer Complaint Information

Date Complaint Received: 01/30/2006

Complaint Pending? No

Status: Denied

Status Date: 03/09/2006

Settlement Amount:

Individual Contribution Amount:

Broker Statement CUSTOMER COMPLAINT NO LONGER REPORTABLE.



Termination

This disclosure event involves a situation where the Investment Adviser Representative voluntarily resigned, was discharged or was permitted to resign after allegations were made that accused the Investment Adviser Representative of violating investment-related statutes, regulations, rules or industry standards of conduct; fraud or the wrongful taking of property; or failure to supervise in connection with investment-related statutes, regulations, rules or industry standards of conduct.

Disclosure 1 of 1

Reporting Source: Individual

Firm Name: RAGEN MACKENZIE INCORPORATED

Termination Type: Permitted to Resign

Termination Date: 05/07/1996

Allegations: THOMAS EDWARDS AND RAGEN MACKENZIE DIFFERED IN OPINION REGARDING THE REASONABLENESS OF PRICING TWO MUNICIPAL BOND ISSUES WHICH MR EDWARDS PRICED AS TRADER.

Product Type: Debt - Municipal

Other Product Types:

Broker Statement THIS ISSUE WAS REGARDING TWO BOND ISSUES I HAD IN MY INVENTORY POSITION. THE SIZE OF THE TWO ISSUES WAS \$50,000, FACE AMOUNT AND UNDER. THERE WERE THREE TRANSACTIONS INVOLVING TWO CUSTOMERS WHERE MY BOND PRICES WERE QUESTIONED. THIS WAS DURING A PERIOD OF HIGH VOLATILITY IN THE MARKET AND DECLINING PRICES. I MADE A MISTAKE ON TWO BOND ISSUES.



End of Report

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