IAPD Report

Kevin C. Haarberg

CRD# 1276082

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

Kevin C. Haarberg (CRD# 1276082)

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 **06/23/2025**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	EDWARD JONES	CRD# 250	06/20/1984
IA	EDWARD JONES	CRD# 250	10/02/2006

QUALIFICATIONS

This representative is currently registered in **4** SRO(s) and **32** 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

No information reported.

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	2

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 **32** jurisdiction(s) and 4 SRO(s) through his or her employer(s).

Employment 1 of 1

Firm Name: **EDWARD JONES**

Main Address: 12555 MANCHESTER RD
ST. LOUIS, MO 63131

Firm ID#: 250

	Regulator	Registration	Status	Date
B	FINRA	General Securities Representative	Approved	06/20/1984
B	FINRA	General Securities Principal	Approved	06/25/2014
B	NYSE American LLC	General Securities Representative	Approved	09/13/2011
B	NYSE American LLC	General Securities Principal	Approved	06/25/2014
B	Nasdaq Stock Market	General Securities Representative	Approved	07/12/2006
B	Nasdaq Stock Market	General Securities Principal	Approved	06/25/2014
B	New York Stock Exchange	General Securities Representative	Approved	06/21/1984
B	New York Stock Exchange	General Securities Principal	Approved	06/25/2014
B	Arizona	Agent	Approved	10/02/2003
B	Arkansas	Agent	Approved	03/29/2022
B	California	Agent	Approved	02/25/1988
IA	California	Investment Adviser Representative	Approved	10/02/2006
B	Colorado	Agent	Approved	01/06/1987

Qualifications

	Regulator	Registration	Status	Date
B	Delaware	Agent	Approved	06/23/2025
B	District of Columbia	Agent	Approved	12/18/2023
B	Florida	Agent	Approved	04/15/2016
B	Hawaii	Agent	Approved	02/22/2002
B	Idaho	Agent	Approved	03/21/2001
B	Kansas	Agent	Approved	11/09/2022
B	Kentucky	Agent	Approved	08/27/2013
B	Maryland	Agent	Approved	03/01/2021
B	Michigan	Agent	Approved	08/25/2014
B	Minnesota	Agent	Approved	08/11/1992
B	Missouri	Agent	Approved	06/24/1999
B	Montana	Agent	Approved	10/30/2012
B	Nebraska	Agent	Approved	01/17/2024
B	Nevada	Agent	Approved	02/17/1995
B	New Jersey	Agent	Approved	01/03/2023
B	New York	Agent	Approved	04/16/2025
B	North Carolina	Agent	Approved	07/05/2007
B	Oklahoma	Agent	Approved	08/20/1984
B	Oregon	Agent	Approved	02/22/1995

Qualifications

	Regulator	Registration	Status	Date
B	South Carolina	Agent	Approved	07/16/2013
B	South Dakota	Agent	Approved	03/06/1987
B	Tennessee	Agent	Approved	08/10/2018
B	Texas	Agent	Approved	05/16/2002
IA	Texas	Investment Adviser Representative	Approved	08/19/2014
B	Utah	Agent	Approved	04/24/2018
B	Virginia	Agent	Approved	12/19/2005
B	Washington	Agent	Approved	10/20/1993
B	Wisconsin	Agent	Approved	04/02/2018
B	Wyoming	Agent	Approved	10/10/2022

Branch Office Locations

EDWARD JONES
173 COURT STREET
WOODLAND, CA 95695

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 1 principal/supervisory exam, 2 general industry/product exams, and 1 state securities law exam.

Principal/Supervisory Exams

	Exam	Category	Date
B	General Securities Principal Examination (S24)	Series 24	06/25/2014

General Industry/Product Exams

	Exam	Category	Date
B	Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
B	General Securities Representative Examination (S7)	Series 7	06/16/1984

State Securities Law Exams

	Exam	Category	Date
B	Uniform Securities Agent State Law Examination (S63)	Series 63	07/13/1984

PROFESSIONAL DESIGNATIONS

This section details that the representative has reported **1** professional designation(s).

Certified Financial Planner

Only professional designations listed in Question 8 of the Form U4 will appear in this section if the appropriate box is checked and verified by the issuing organization at the time of the filing. Learn more about eligible designations at IARD and NASAA.

Registration & Employment History

PREVIOUSLY REGISTERED WITH THE FOLLOWING FIRMS

This representative held registrations with the following firms:

No information reported.

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
01/1984 - Present	EDWARD D. JONES & CO., L.P.	OTHER - REP TRAINEE	Y	WOODLAND, CA, United States

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.

KJK LLP
Type of business: REAL ESTATE INVESTMENT
LITTLETON, CO
Start date: 9/1/2009
PARTNER
Hours per week: 0
Hours during trading: 0
PASSIVE INVESTOR

Rental Property
Type of business: real estate
Woodland, CA
Start date: 5/1/1999
Owner
Hours per week: 0
Hours during trading: 0
Make monthly payments to lender.

Turn of the Century
Type of business: real estate
Woodland, CA
Start date: 1/1/1998
Investor/Partner
Hours per week: 0
Hours during trading: 0
Passive investor in a real estate development partnership.

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	2

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 2

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	EDWARD JONES
Allegations:	CLIENTS STATE THAT AROUND SEPTEMBER 2000, ACCOUNT VALUE BEGAN TO DROP, BUT IR ASSURED THEM THAT THEY SHOULD HOLD ONTO THEIR INVESTMENTS. CLIENTS ALLEGE THAT ON SEPTEMBER 11, 2001, THEY MET WITH IR TO DISCUSS STOPPING THEIR LOSSES. THEY CLAIM THEY ASKED THAT IR PUT STOP LOSS ORDERS ON THEIR INVESTMENTS, BUT IR TOLD THEM THAT WAS ONLY DONE FOR DAY TRADERS. CLIENTS STATE THAT THIS INACTION ON PART OF IR CAUSED THE ACCOUNT TO DROP BY APPROXIMATELY $168,584 SINCE AUGUST OF 2000. CLIENTS ALSO CLAIM THE ACCOUNT HAS BEEN MISMANGED AND UNSUITABLY TRADED GIVEN THEIR FINANCIAL SITUATION AND STATUS.
Product Type:	Other
Alleged Damages:	$168,584.00

Customer Complaint Information

Date Complaint Received:	04/16/2003
Complaint Pending?	No
Status:	Denied
Status Date:	07/28/2003
Settlement Amount:	

Individual Contribution Amount:

Broker Statement

IR STATED THAT HE EXPLAINED TO THE CLIENTS THAT USING STYSTEMATIC WITHDRAWAL FROM MUTUAL FUNDS WAS COULD BE AN OPTION FOR PAYING OFF THEIR PURCHASE IF THE AMOUNT OF WITHDRAWAL IS REASONABLE. IR SUGGESTED AMERICAN FUNDS IF THE CLIENTS WERE INTERESTED IN DOING THIS AND THEY WERE PROVIDED WITH A PROSPECTUS AND HISTORICAL INFO SHOWING HOW THE SYSTEMATIC W/D WORKS. IR STATED THAT HE DID NOT TELL CLIENTS THAT STOP LOSS ORDERS WERE ONLY AVAIABLE FOR DAY TRADERS. DID EXPLAIN, HOWEVER, THAT JONES BELIEVES IN LONG TERM APPROACH TO INVESTING AND THIS TYPE OF TRADING DOES NOT FIT THE JONES APPROACH TO REACHING LONG TERM GOALS. INVESTMENTS DID APPEAR UNSUITABLE. IR STATED THAT CLIENT DID COME TO HIM WITH INVESTMENTS THAT IR DID NOT MENTION SO CLIENT WAS EDUCATING HIMSELF REGARDING INVESTMENTS. IR ALSO STATED THAT HE HAD A PORTFOLIO REVIEW IN 9/0 AND MENTIONED TO CLIENT THAT THEY WERE HEAVILY WEIGHTED IN AGGRESSIVE INVESTMENTS. CLIENTS DID NOT MAKE ANY CHANGES AT THAT TIME. CLAIM DENIED

Disclosure 2 of 2

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	EDWARD JONES
Allegations:	THE CLIENT STATES ON 2/18/00, BEFORE THE OPENING, THEY LEFT A MESSAGE FOR MR. HAARBERG TO PURCHASED 600 SHARES OF CYRD. THE CLIENT STATES MR. HAARBERG CALLED HER LATER IN THE DAY WITH A CURRENT QUOTE AND INFORMED HER HE COULD NOT FOLLOW THE STOCK, AT WHICH TIME, SHE INSTRUCTED HIM TO MAKE THE PURCHASE AT THE MARKET. THE CLIENT STATES THE IR LATER INFORMED HER THAT HE HAD PUT THE ORDER IN TO FILL AT 7 1/4 AND IT DID NOT FILL. THE CLIENT STATES THE STOCK HAD INCREASED TO $17 1/4 AND THEY HAD LOST PROFITS IN EXCESS OF $6,000.
Product Type:	Equity - OTC
Alleged Damages:	$6,000.00

Customer Complaint Information

Date Complaint Received:	03/01/2000
Complaint Pending?	No
Status:	Denied
Status Date:	04/17/2000
Settlement Amount:	
Individual Contribution Amount:	
Broker Statement	THE CUSTOMER WAS ADVISED THAT THE IR CLAIMS HE DISCUSSED THE ORDER WITH THE CUSTOMER AND INDICATED HE WOULD OBTAIN A CURRENT PRICE FOR THE STOCK. THE PRICE WAS 7 1/4 AND THE IR CLAIMS WHEN HE CONTACTED THE CUSTOMER HE ASKED IF SHE WANTED HIM TO PLACE AN ORDER AT THAT PRICE. HE CLAIMS THE CUSTOMER AGREED THE ORDER SHOULD BE PLACED AT 7 1/4 AND SHE

DID NOT TELL HIM TO PLACE A MARKET ORDER. THE IR INDICATED A MARKET ORDER WAS NOT PLACED SO THEY COULD AVOID THE ORDER FILLING AT A MUCH HIGHER PRICE. OUR POSITION IS THE IR DID FOLLOW THE CUSTOMER'S INSTRUCTION WITH THE ORDER AND HER CLAIM IS DENIED.

End of Report

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