User Guidance

www.adviserinfo.sec.gov

IAPD Report

Judson Alan Powell

CRD# 1319874

Section Title	Page(s)
Report Summary	1
Qualifications	2 - 5
Registration and Employment History	6
Disclosure Information	7

When communicating online or investing with any professional, make sure you know who you're dealing with. Imposters might link to sites like BrokerCheck from phishing or similar scam websites, or through social media, trying to steal your personal information or your money.

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

Judson Alan Powell (CRD# 1319874)

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 **03/24/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	EDWARD JONES	CRD# 250	11/21/1984
IA	EDWARD JONES	CRD# 250	01/26/2007

QUALIFICATIONS

This representative is currently registered in **4** SRO(s) and **38** 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	3

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 **38** 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	11/21/1984
B	NYSE American LLC	General Securities Representative	Approved	09/13/2011
B	Nasdaq Stock Market	General Securities Representative	Approved	07/12/2006
B	New York Stock Exchange	General Securities Representative	Approved	04/27/1985
B	Alabama	Agent	Approved	12/04/2006
B	Arizona	Agent	Approved	01/27/1998
B	Arkansas	Agent	Approved	01/03/2006
B	California	Agent	Approved	12/05/1995
B	Colorado	Agent	Approved	08/29/1997
B	Connecticut	Agent	Approved	11/23/2004
B	Delaware	Agent	Approved	04/09/2025
B	District of Columbia	Agent	Approved	04/20/2020
B	Florida	Agent	Approved	08/20/2002

Qualifications

	Regulator	Registration	Status	Date
B	Georgia	Agent	Approved	07/14/2006
B	Hawaii	Agent	Approved	04/27/2021
B	Idaho	Agent	Approved	07/18/2002
B	Illinois	Agent	Approved	11/13/2006
B	Indiana	Agent	Approved	01/03/1994
B	Iowa	Agent	Approved	03/24/2026
B	Kansas	Agent	Approved	04/11/2007
B	Kentucky	Agent	Approved	07/12/2011
B	Louisiana	Agent	Approved	01/29/1998
B	Maryland	Agent	Approved	05/03/2007
B	Michigan	Agent	Approved	01/03/2005
B	Minnesota	Agent	Approved	02/06/2024
B	Missouri	Agent	Approved	01/11/1988
B	Nebraska	Agent	Approved	03/07/2006
B	Nevada	Agent	Approved	05/21/2018
B	New Mexico	Agent	Approved	07/16/1990
B	New York	Agent	Approved	10/04/2007
B	North Carolina	Agent	Approved	06/17/2008
B	Ohio	Agent	Approved	12/09/2004

Qualifications

	Regulator	Registration	Status	Date
B	Oklahoma	Agent	Approved	12/05/1995
B	Oregon	Agent	Approved	02/13/2004
B	Pennsylvania	Agent	Approved	05/24/2005
B	South Carolina	Agent	Approved	01/26/2022
B	Tennessee	Agent	Approved	04/20/2021
B	Texas	Agent	Approved	01/11/1985
IA	Texas	Investment Adviser Representative	Approved	01/26/2007
B	Utah	Agent	Approved	04/09/2025
B	Virginia	Agent	Approved	07/14/2003
B	Washington	Agent	Approved	01/12/2004
B	Wyoming	Agent	Approved	04/09/2025

Branch Office Locations

EDWARD JONES
2401 EDGEMONT DR
ABILENE, TX 79605

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 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
B	Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
B	General Securities Representative Examination (S7)	Series 7	11/17/1984

State Securities Law Exams

	Exam	Category	Date
IA B	Uniform Combined State Law Examination (S66)	Series 66	01/22/2007
B	Uniform Securities Agent State Law Examination (S63)	Series 63	01/07/1985

PROFESSIONAL DESIGNATIONS

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

No information reported.

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
07/1984 - Present	EDWARD D. JONES & CO., L.P.	OTHER - REP TRAINEE	Y	ABILENE, TX, 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.

Owner of business Office
Type of business: Office
abilene, TX
Start date: 8/15/2004
Owner
Hours per week: 40
Hours during trading: 30
Desc: I own and maintain my own office

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

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: EDWARD JONES

Allegations: 10/6/08-10/9/08; CLIENT STATES HE PROVIDED INSTRUCTIONS TO THE BRANCH ON 10/06 TO SELL HIS MUTUAL FUNDS AND HIS INSTRUCTIONS WERE NOT FOLLOWED.

Product Type: Mutual Fund(s)

Alleged Damages: $5,000.00

Customer Complaint Information

Date Complaint Received: 10/09/2008

Complaint Pending? No

Status: Denied

Status Date: 11/04/2008

Settlement Amount:

Individual Contribution Amount:

Broker Statement FA HAS INDICATED THERE WAS A CALL PLACED TO HIS OFFICE ON OCTOBER 6 IN WHICH THE CLIENT INFORMED HIS BOA THAT HE WANTED TO LIQUIDATE HIS ACCOUNT. BOA LEFT A MESSAGE FOR FA TO CONTACT THE CLIENT. FA HAS STATED THERE WAS SOME CONFUSION WITH THE CLIENT'S PHONE NUMBER; THEREFORE, HE WAS NOT ABLE TO MAKE CONTACT WITH THE CLIENT UNTIL OCTOBER 7. DURING THIS

CONVERSATION, FA HAS STATED HE ENCOURAGED THE CLIENT TO CONTINUE TO HOLD HIS SECURITIES AND AGREED TO DISCUSS THE CLIENT'S ACCOUNT IN A FEW MONTHS. FA HAS INDICATED THE CLIENT AGREED TO THIS AND HE BELIEVED EVERYTHING WAS FINE UNTIL HE RECEIVED THE CLIENT'S LATER FAX INSTRUCTING HIM TO LIQUIDATE THE ACCOUNT. BASED ON THIS, THE FA ENTERED THE SELL ORDERS AND OUR RECORDS REFLECT THE ACCOUNT HAS BEEN LIQUIDATED.

Disclosure 2 of 3

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: EDWARD JONES

Allegations: CLIENT STATES IN MAY, 2001 HE INVESTED ADDITIONAL FUNDS IN HIS ACCOUNT INFORMING
POWELL HE HAD NO ADDITIONAL FUNDS TO INVEST AND, DUE TO BAD HEALTH, HIS GOALS
WERE GROWTH AND CAPITAL PRESERVATION. CLIENT HAS FURTHER STATED CAPITAL
PRESERVATION WAS HIS FOREMOST GOAL. CLIENT ALLEGES POWELL SUGGESTED
PURCHASING MUTUAL FUND AS HE BELIEVED A MARKET RECOVERY WAS IMMINENT. CLIENT
INDICATES, AFTER PURCHASING THE MUTUAL FUNDS, THE VALUE OF THE FUNDS BEGAN TO
DECLINE AND WHEN HE ATTEMPTED TO CONTACT POWELL WITH CONCERNS, HIS CALLS WERE
EITHER NOT RETURNED TO POWELL ADVISED HIM TO CONTINUE HOLDING THE FUNDS. CLIENT
REQUESTS REIMBURSEMENT FOR LOSSES IN THE ACCOUNT. LOSSES EXCEED $5,000.00.

Product Type: Mutual Fund(s)

Alleged Damages: $5,000.00

Customer Complaint Information

Date Complaint Received: 06/12/2002

Complaint Pending? No

Status: Denied

Status Date: 07/31/2002

Settlement Amount:

Individual Contribution Amount:

Broker Statement ACCORDING TO OUR RECORDS, A CHECK IN THE AMOUNT OF $416,531.36 WAS DEPOSITED IN THE ACCOUNT 4/9/01. SHORTLY THEREAFTER, A PORTION OF THE FUNDS WERE UTILIZED TO PURCHASE SEVERAL MUTUAL FUNDS. ACCORDING TO POWELL, WHEN HE LAST MET WITH THE CLIENT (ON 8/30/01), THE CLIENT HAD WITHDRAWN $70,414.00 FROM THE ACCOUNT THROUGH CHECKWRITING. IT IS UNDERSTOOD THE ACCOUNT VALUE ON THE SAME DATE HAD DECLINED APROZIMATELY $72,236.00. POWELL HAS INDICATED HE VISITED WITH THE CLIENT FOR QUITE SOME TIME EXPLAINING THE MAJORITY OF THE DECLINE IN THE VALUE OF THE

ACCOUNT WAS DUE TO WITHDRAWALS. HE HAS FURTHER INDICATED HE DID SUGGEST THE CLIENT CONTINUE HOLDING THE MUTUAL FINDS. MR. POWELL HAS ALSO STATED HE HAS ALWAYS ATTEMPTED TO RETURN THE CLIENT'S CALLS, BUT THERE HAVE BEEN A NUMBER OF TIMES WHEN POWELL HAS CONTACTED HIM AND THE CLIENT REQUESTED HE NOT CALL HIM BACK. AT THE TIME OF THE TRANSACTIONS THE CLIENT RECEIVED TRADE CONFIMATIONS. IN ADDITION, HE HAS RECEIVED STATEMENTS. EXPLAINED EDWARD JONES PHILOSOPHY IS TO BUY AND HOLD QUALITY INVESTMENTS FOR THE LONG TERM AND POWELL APPEARS TO HAVE ENCOURAGED THE CLIENT IN THAT REGARD. POWELL HAS STATED HIS RECOMMENDATIONS WERE TO STAY INVESTED WITH THE EXCEPTION OF A SUGGESTION THAT THE CLIENT SELL HIS HOLDINGS IN WORLDCOMM INC. IT DOES NOT APPEAR THE INVESTMENTS PURCHASED AND/OR HELD IN THE ACCOUNT ARE OUTSIDE THE SCOPE OF THE INVESTMENT OBJECTIVES OF THE CLIENT. CLAIM DENIED.

Disclosure 3 of 3

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: EDWARD JONES

Allegations:
ON 1/23/01 THE CLIENT PURCHASED $100,000 LINCOLN NATL LIFE ANNUITY. THE CLIENT STATES
ON 2/8/01 HE RECEIVED THE POLICY AND IMMEDIATELY CALLED LINCOLN NATL TO INQUIRE HOW
TO REFUSE THE CONTRACT. LINCOLN NATL RECEIVED THE REFUSAL LETTER ON 2/13/01. ON 2/16/01
THE CLIENT STATES HE RECEIVED THE CONTRACT VERIFICATION FORM FROM POWELLS OFFICE. THE
CLIENT STATES HE SIGNED AND RETURNED THE FORM TO POWELL ON 2/16/01. THE CLIENT STATES
THE FORM WAS NOT RECEIVED BY LINCOLN UNTIL 2/20/01 AND THE ANNUITY WAS CANCELLED ON
2/22/01. THE CLIENT STATES HE RECEIVED A CHECK FOR $92,699 WHICH REFLECTED MARKET
LOSS AS WELL AS A PENALTY. THE CLIENT STATES HE WAS NOT TOLD THE 10-DAY FREE LOOK
PERIOD WOULD BE SUBJECT TO MARKET FLUCTUATION AND FEELS POWELLS OFFICE SHOULD HAVE
"OVERNIGHTED" THE MATERIAL TO LINCOLN. THE CLIENT REQUESTS HIS PRINCIPAL AMOUNT
RETURNED.

Product Type: Annuity(ies) - Variable

Alleged Damages: $100,000.00

Customer Complaint Information

Date Complaint Received: 04/04/2001

Complaint Pending? No

Status: Denied

Status Date: 04/30/2001

Settlement Amount:

Individual Contribution Amount:	
Broker Statement	POWELL STATES HE HAD DISCUSSIONS WITH THE CLIENT CONCERNING MARKET FLUCTUATION ON THE ANNUITY AS WELL AS THE DIFFERENCE BETWEEN A SHARE ANNUITIES AND B SHARE ANNUITITES. POWELL STATES HE AGREES WITH THE CHRONOLOGY OF EVENTS OUTLINED IN THE CLIENTS LETTER, HOWEVER, HE STATES THE CLIENT WAS AWARE OF MARKET FLUCTUATION ASSOCIATED WITH THE PRODUCT. ACCORDING THE LINCOLN NATL, THE PAPERWORK FOR CANCELLATION WAS RECEIVED ON 2/16/01. THE CLIENT PURCHASED A DIFFERENT ANNUITY IN 1998 AND CANCELLED THE ANNUITY UNDER THE FREE-LOOK PROVISION AND RECEIVED A SMALL GAIN ON THE CANCELLATION. IT APPEARS THE CLIENT WAS AWARE OF THE MARKET FLUCTUATION OF THE UNDERLYING INVESTMENTS. CLAIM DENIED.

End of Report

This page is intentionally left blank.

