



## IAPD Report

# ROBERT TERRENCE JONES

CRD# 1518153

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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

### ROBERT TERRENCE JONES (CRD# 1518153)

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 **11/21/2025**.

### CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
IA	R.T. JONES CAPITAL EQUITIES MANAGEMENT INC.	CRD# 131804	04/17/2009

### QUALIFICATIONS

This representative is currently registered in **0** SRO(s) and **1** 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
B	MOLONEY SECURITIES CO., INC.	38535	ST. LOUIS, MO	01/03/2008 - 03/30/2015
B	R.T. JONES CAPITAL EQUITIES, INC.	19775	ST. LOUIS, MO	09/28/1987 - 01/31/2014
IA	RT JONES CAPITAL EQUITIES INC	19775	ST. LOUIS, MO	11/06/1997 - 06/25/2009

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
Regulatory Event	1
Customer Dispute	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 **1** jurisdiction(s) and **0** SRO(s) through his or her employer(s).

#### Employment 1 of 1

Firm Name: **R.T. JONES CAPITAL EQUITIES MANAGEMENT INC.**  
Main Address: 8151 CLAYTON ROAD  
SUITE 300  
ST. LOUIS, MO 63117  
Firm ID#: 131804

Regulator	Registration	Status	Date
<b>IA</b> Missouri	Investment Adviser Representative	Approved	05/12/2009

#### Branch Office Locations

**R.T. JONES CAPITAL EQUITIES MANAGEMENT INC.**  
8151 CLAYTON ROAD  
SUITE 300  
ST. LOUIS, MO 63117







## 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 4 principal/supervisory exams, 3 general industry/product exams, and 2 state securities law exams.**




#### Principal/Supervisory Exams

Exam	Category	Date
 Registered Options Principal Examination (S4)	Series 4	03/13/1992
 Municipal Securities Principal Examination (S53)	Series 53	11/24/1987
 Financial and Operations Principal Examination (S27)	Series 27	05/18/1987
 General Securities Principal Examination (S24)	Series 24	10/28/1986

#### General Industry/Product Exams

Exam	Category	Date
 Securities Industry Essentials Examination (SIE)	SIE	03/30/2015
 General Securities Representative Examination (S7)	Series 7	09/20/1986
 Investment Company Products/Variable Contracts Representative Examination (S6)	Series 6	08/06/1986

#### State Securities Law Exams

Exam	Category	Date
  Uniform Combined State Law Examination (S66)	Series 66	04/30/2009
 Uniform Securities Agent State Law Examination (S63)	Series 63	06/26/1986



## 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
B	01/03/2008 - 03/30/2015	MOLONEY SECURITIES CO., INC.	CRD# 38535	ST. LOUIS, MO
B	09/28/1987 - 01/31/2014	R.T. JONES CAPITAL EQUITIES, INC.	CRD# 19775	ST. LOUIS, MO
IA	11/06/1997 - 06/25/2009	RT JONES CAPITAL EQUITIES INC	CRD# 19775	ST. LOUIS, MO
IA	06/12/1998 - 04/12/2004	CAPITAL EQUITIES MANAGEMENT LLC	CRD# 118199	ST. LOUIS, MO
B	09/25/1986 - 07/07/1987	LIFE OF VIRGINIA SECURITY SALES, LTD.	CRD# 14363	

### 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
04/2009 - Present	R..T. JONES CAPITAL EQUITIES MANAGMENT, INC.	RIA - CEO	Y	ST. LOUIS, MO, United States
01/2008 - Present	MOLONEY SECURITIES CO., INC.	REGISTERED REPRESENTATIVE	Y	MANCHESTER, MO, United States
03/1987 - Present	R.T. JONES CAPITAL EQUITIES, INC.	NOT PROVIDED	Y	ST. LOUIS, MO, 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.

CEO OF R.T. JONES CAPITAL MANAGEMENT INC.  
8151 CLAYTON RD. #300, CLAYTON, MO 63117,  
A REGISTERED INVESTMENT ADVISER FORMED IN  
1987, 40+ HOURS/WEEK ARE DEVOTED TO THIS  
ACTIVITY, INCLUDING 100% OF SECURITIES TRADING HOURS.



## 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
Regulatory Event	1
Customer Dispute	1

### Regulatory Event

This disclosure event may include a final, formal proceeding initiated by a regulatory authority (e.g., a state securities agency, a federal regulator such as the Securities and Exchange Commission or the Commodities Futures Trading Commission, or a foreign financial regulatory body) for a violation of investment-related rules or regulations. This disclosure event may also include a revocation or suspension of an Investment Adviser Representative's authority to act as an attorney, accountant or federal contractor.

#### Disclosure 1 of 1

<b>Reporting Source:</b>	Regulator
<b>Regulatory Action Initiated By:</b>	NATIONAL ASSOCIATION OF SECURITIES DEALERS, INC.
<b>Sanction(s) Sought:</b>	
<b>Other Sanction(s) Sought:</b>	
<b>Date Initiated:</b>	12/16/1997
<b>Docket/Case Number:</b>	C04970051
<b>Employing firm when activity occurred which led to the regulatory action:</b>	R.T. JONES CAPITAL EQUITIES, INC.
<b>Product Type:</b>	
<b>Other Product Type(s):</b>	
<b>Allegations:</b>	
<b>Current Status:</b>	Final
<b>Resolution:</b>	Acceptance, Waiver & Consent(AWC)
<b>Resolution Date:</b>	12/18/1997
<b>Sanctions Ordered:</b>	Censure Monetary/Fine \$2,500.00
<b>Other Sanctions Ordered:</b>	
<b>Sanction Details:</b>	



**Regulator Statement** ON DECEMBER 18, 1997, DISTRICT NO. 4 NOTIFIED RESPONDENTS R.T. JONES CAPITAL EQUITIES, INC. AND ROBERT TERRENCE JONES THAT THE LETTER OF ACCEPTANCE, WAIVER AND CONSENT NO. C04970051 WAS ACCEPTED; THEREFORE, THEY ARE CENSURED AND FINED \$2,500, JOINTLY AND SEVERALLY - (NASD RULE 2110 - RESPONDENT MEMBER, ACTING THROUGH RESPONDENT JONES, PARTICIPATED IN A CONTINGENCY OFFERING, AND IN CONTRAVENTION OF SEC RULE 15c2-4, TRANSMITTED THE FUNDS TO AN ACCOUNT UNDER THE CONTROL OF THE ISSUER).

\*\*\* \$2,500 PAID J&S ON 2/13/98, INVOICE NO. 98-04-120 \*\*\*

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**Reporting Source:** Individual  
**Regulatory Action Initiated By:** NASD REGULATION INC  
**Sanction(s) Sought:**  
**Other Sanction(s) Sought:**  
**Date Initiated:** 12/16/1997  
**Docket/Case Number:** C04970051  
**Employing firm when activity occurred which led to the regulatory action:** R.T. JONES CAPITAL EQUITIES, INC.

**Product Type:**

**Other Product Type(s):**

**Allegations:** DURING THE CONTINGENCY PERIOD OF A PRIVATE PLACEMENT BEST EFFORTS PART OR NONE OFFERING ROBERT T JONES ACTING THROUGH R.T. JONES CAPITAL EQUITIES CONTRAVENED SEC RULE 15C2-4 IN THAT INVESTORS MONIES WERE TRANSMITTED TO AN ACCOUNT UNDER THE CONTROL OF THE ISSUER. THIS ACT CONSITUTED A VIOLATION OF NASD CONDUCT RULE 2110.

**Current Status:** Final  
**Resolution:** Acceptance, Waiver & Consent(AWC)  
**Resolution Date:** 12/18/1997  
**Sanctions Ordered:** Censure  
Monetary/Fine \$2,500.00

**Other Sanctions Ordered:**

**Sanction Details:** CENSURE OF R.T. JONES CAPITAL EQUITEIS INC AND ROBERT T JONES, AND IN JOINT & SEVERAL FINE OF \$2,500

**Broker Statement** THE OFFERING WAS MADE ONLY TO A VERY LIMITED NUMBER OF PERSONS WITH WHOM ROBERT T JONES HAD A LONG STANDING RELATIONSHIP OR IN ONE INSTANCE TO A PERSON WHO HAD A RELATIONSHIP TO THE DEVELOPER OF THE PROJECT. THE COTINGENCY WAS MET, AND THE PROCEEDING WERE TRANSFERRED TO THE ISSUER PURSUANT TO THE TERMS OF THE OFFERING. THE COLUMBIA LAKES DEVELOPMENT LLC PRIVATE PLACEMENT IS THE ONLY CONTINGENCY



OFFERING INVOLVED.



## 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 1

**Reporting Source:** Individual

**Employing firm when activities occurred which led to the complaint:** R.T. JONES CAPITAL EQUITIES, INC.

**Allegations:** DECEMBER 1, 2003 THE TRUSTEE ALLEGEDLY AUTHORIZED BROKER TO LIQUIDATE THE ENTIRE TRUST ACCOUNT'S HOLDINGS(LEAVING SOME SHARES OF EXXONMOBIL). THE TRUSTEE IS TAKING THE POSITION THAT THE SALES TRANSACTION WAS NOT AUTHORIZED BY HER AND TOOK PLACE AS THE RESULT OF PRESSURE AND UNDUE INFLUENCE BY THE BROKER. THE TRUSTEE BELIEVES THAT R.T. JONES BREACHED THEIR FIDUCIARY DUTIES TO THE TRUSTEE BY NOT ADVISING TRUSTEE TO SEEK LEGAL COUNSEL OR SEEKING THE ADVICE OF A QUALIFIED CPA REGARDING TAX IMPLICATIONS, IF ANY, OF THE CONTEMPLATED SALE; RESULTING IN CAPITAL GAIN TAX OF \$200,000 FOR THE TRUST.

**Product Type:** Equity Listed (Common & Preferred Stock)

**Alleged Damages:** \$0.00

**Alleged Damages Amount Explanation (if amount not exact):** THE AMOUNT WAS NEVER ABLE TO BE DETERMINED.

**Is this an oral complaint?** No

**Is this a written complaint?** Yes

**Is this an arbitration/CFTC reparation or civil litigation?** No

## Customer Complaint Information

**Date Complaint Received:** 02/10/2004

**Complaint Pending?** No

**Status:** Closed/No Action

**Status Date:** 08/13/2010

**Settlement Amount:**

**Individual Contribution Amount:**



## End of Report

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