



## IAPD Report

# Edward Joseph Dollinger

CRD# 1518807

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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

### Edward Joseph Dollinger (CRD# 1518807)

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 **12/23/2025**.

### CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
<b>B</b>	EDWARD JONES	CRD# 250	06/25/1986
<b>IA</b>	EDWARD JONES	CRD# 250	01/19/2007

### QUALIFICATIONS

This representative is currently registered in **4** 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
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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 **24** 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>B</b> FINRA	General Securities Representative	Approved	06/25/1986
<b>B</b> FINRA	General Securities Principal	Approved	11/06/2017
<b>B</b> NYSE American LLC	General Securities Representative	Approved	09/13/2011
<b>B</b> NYSE American LLC	General Securities Principal	Approved	11/06/2017
<b>B</b> Nasdaq Stock Market	General Securities Representative	Approved	07/12/2006
<b>B</b> Nasdaq Stock Market	General Securities Principal	Approved	11/06/2017
<b>B</b> New York Stock Exchange	General Securities Representative	Approved	06/25/1986
<b>B</b> New York Stock Exchange	General Securities Principal	Approved	11/06/2017
<b>B</b> Arizona	Agent	Approved	11/20/1986
<b>B</b> California	Agent	Approved	04/29/1991
<b>B</b> Colorado	Agent	Approved	01/09/1992
<b>B</b> Florida	Agent	Approved	09/06/1988
<b>B</b> Illinois	Agent	Approved	07/14/1986



## Qualifications

	Regulator	Registration	Status	Date
IA	Illinois	Investment Adviser Representative	Approved	01/19/2007
B	Indiana	Agent	Approved	02/03/1993
B	Iowa	Agent	Approved	01/25/1990
B	Michigan	Agent	Approved	10/20/1992
B	Minnesota	Agent	Approved	01/13/2003
B	Missouri	Agent	Approved	12/20/1991
B	Nebraska	Agent	Approved	05/31/2022
B	Nevada	Agent	Approved	05/07/2024
B	New Jersey	Agent	Approved	06/20/1996
B	New Mexico	Agent	Approved	02/10/2005
B	New York	Agent	Approved	02/11/1998
B	North Carolina	Agent	Approved	01/05/2004
B	Ohio	Agent	Approved	03/28/1995
B	Oklahoma	Agent	Approved	09/18/2023
B	Pennsylvania	Agent	Approved	01/28/2022
B	South Carolina	Agent	Approved	04/30/2003
B	Tennessee	Agent	Approved	02/14/2007
B	Texas	Agent	Approved	06/12/2001
IA	Texas	Investment Adviser Representative	Restricted Approval	08/26/2014



## Qualifications

Regulator	Registration	Status	Date
<b>B</b> Virginia	Agent	Approved	11/23/2001
<b>B</b> Wisconsin	Agent	Approved	04/05/2004

## Branch Office Locations

**EDWARD JONES**  
735 ESSINGTON RD  
JOLIET, IL 60435



## 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 2 state securities law exams.**

#### Principal/Supervisory Exams

Exam	Category	Date
General Securities Principal Examination (S24)	Series 24	11/04/2017

#### General Industry/Product Exams

Exam	Category	Date
Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
General Securities Representative Examination (S7)	Series 7	06/21/1986

#### State Securities Law Exams

Exam	Category	Date
Uniform Combined State Law Examination (S66)	Series 66	01/11/2007
Uniform Securities Agent State Law Examination (S63)	Series 63	07/23/1986

### 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:

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
02/1986 - Present	EDWARD D. JONES & CO., L.P.	NOT PROVIDED	Y	JOLIET, IL, 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.

FIVE STAR LLC  
REAL ESTATE DEV  
MEMBER

\*

JOLIET ROTARY/MEMBER / SERVICE CLUB  
JOLIET FINANCE COUNCIL/BOARD MEMBER/ADVISORY  
WILL COUNTY COMMUNITY FOUNDATION/BOARD MEMBER/PHILANTHROPY.

\*

RENTAL PROPERTY  
EASTLAND, TX 76448  
SINCE 8/1/1992  
OWNER

\*

Joliet Catholic Academy  
Joliet, IL  
Start date: 1/1/2007  
Committee member  
Hours per week: 0  
Hours during trading: 0  
Advisory.

\*

Three-D LLC  
Type of business: Office rental property  
Joliet, IL  
Start date: 1/1/2000  
Manager  
Hours per week: 1  
Hours during trading: 0  
Maintenance and office space leased.

\*



## Registration & Employment History



### OTHER BUSINESS ACTIVITIES

#### Dollinger Farms LLC

Type of business: Farmland

Channahon, IL

Start date: 1/1/1990

GNP

Hours per week: 0

Hours during trading: 0

\*

#### Dollinger LP II

Type of business: Farmland

Channahon, IL

Start date: 1/1/2000

LPT

Hours per week: 0

Hours during trading: 0

\*

#### Quinterra LLC

Type of business: Real estate development

Channahon, IL

Start date: 1/1/2000

GNP

Hours per week: 0

Hours during trading: 0

\*

#### Tabler Ridge LLC

Type of business: Farmland

Channahon, IL

Start date: 1/1/2000

GNP

Hours per week: 0

Hours during trading: 0

\*

#### Dollinger Farms LLC II

Type of business: Farmland

Channahon, IL

Start date: 1/1/2000

GNP

Hours per week: 0

Hours during trading: 0

0



## 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:** THE CLIENT CLAIMS THAT THE FAS INVESTMENT DECISIONS WERE UNSUITABLE. THE CLIENT CLAIMS THE STRATEGY WAS HIGH RISK DUE TO A FAILURE TO DIVERSIFY. THE CLIENT STATES IN 2003 LESS THAN HALF OF HER PORTFOLIO WAS IN BP STOCK AND BETWEEN MAY 2009 AND JUNE 2010 THE ENTIRE PORTFOLIO WAS IN BP. THE CLIENT CLAIMS ALL OF THE STOCK WAS SOLD AT ITS LOW RESULTING IN A LOSS OF \$17,303. THE CLIENT IS REQUESTING THE AMOUNT OF LOSS FROM APRIL AND JUNE OF 2010. FILING REQUIRED.

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

**Alleged Damages:** \$17,303.00

**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:** 10/05/2011

**Complaint Pending?** No

**Status:** Denied

**Status Date:** 10/19/2011



**Settlement Amount:** \$0.00

**Individual Contribution Amount:** \$0.00

**Broker Statement**

ACCORDING TO OUR RECORDS THE BRITISH PETROLEUM (BP) SHARES WERE NOT PURCHASED THROUGH EDWARD JONES. WHEN THE SHARES WERE TRANSFERRED IN TO OUR FIRM THEY ACCOUNTED FOR APPROXIMATELY 50% OF THE PORTFOLIO. OUR RESEARCH HAS REVEALED THAT DISCUSSIONS TOOK PLACE IN WHICH THE FINANCIAL ADVISOR RECOMMENDED A REBALANCING OF SOME OF THE BP SHARES TO CREATE A MORE DIVERSIFIED PORTFOLIO. OUR REVIEW REFLECTS THE CLIENT DID AGREE TO LIQUIDATE A PORTION OF THE SHARES IN FEBRUARY 2002, REDUCING THE HOLDINGS TO APPROXIMATELY 25% OF THE PORTFOLIO. THE PROCEEDS WERE REINVESTED INTO INCOME FUNDS AS A NEED FOR ADDITIONAL INCOME WAS EXPRESSED. OUR REVIEW HAS INDICATED THAT THE CLIENT CONTINUED TO BE HESITANT WITH LIQUIDATING ADDITIONAL SHARES OF BP, HOWEVER, WHEN THE DIVIDEND PAYMENTS STOPPED IN JUNE 2010, THE CLIENT CHOSE TO LIQUIDATE THE REMAINING PORTION OF THE HOLDINGS. THE PROCEEDS WERE REINVESTED INCOME FUND OF AMERICA. CLAIM WAS DENIED.

**Disclosure 2 of 2**

**Reporting Source:** Individual

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

**Allegations:** CLIENT QUESTIONS HOW THE FIRM'S NAME IS ASSOCIATED WITH INVESTMENT REPRESENTATIVES. CLIENT STATES IR INVESTED IN VARIOUS INVESTMENTS ON HIS BEHALF INCLUDING LUCENT TECHNOLOGIES. CLIENT STATES, WHEN THE VALUE OF LU BEGAN TO FALL, THE IR SUGGESTED SELLING LU AND UTILIZING THE PROCEEDS TO PURCHASE WORLDCOM. CLIENT INDICATES THE FIRM HAS "NO IDEA OF THE PAIN" ASSOCIATED WITH SEEING "YOUR FUNDS GO DOWN THE DRAIN". TRANSACTIONS WERE EFFECTED IN THE ACCOUNT IN 2000 AND THE ACCOUNT TRANSFERRED TO ANOTHER FIRM IN JANUARY 2002. LOSSES AT THE TIME OF THE TRANSFER EXCEEDED \$5,000.00.

**Product Type:** Other

**Alleged Damages:** \$5,000.00

**Customer Complaint Information**

**Date Complaint Received:** 03/28/2005

**Complaint Pending?** No

**Status:** Denied

**Status Date:** 04/11/2005

**Settlement Amount:**

**Individual Contribution Amount:**

**Broker Statement**

ACCORDING TO OUR RECORDS, THE INVESTMENTS TO WHICH THE CLIENT HAS REFERRED IN HIS CORRESPONDENCE WERE PURCHASED IN THE ACCOUNT IN 2000. THE IR HAS INDICATED, AT THE TIME OF THE PURCHASES, HE WOULD HAVE DISCUSSED THE CLIENT'S GOALS,



OBJECTIVES AND CURRENT HOLDINGS AS WELL AS THE RISKS ASSOCIATED WITH VARIOUS TYPES OF INVESTMENTS. ACCORDING TO OUR RECORDS, THE ACCOUNT WAS TRANSFERRED TO ANOTHER FIRM IN JANUARY 2002.

AT THE TIME OF THE TRANSACTIONS (BUYS AND/OR SELLS), THE CLIENT RECEIVED TRADE CONFIRMATIONS. IN ADDITION, THE CLIENT RECEIVED STATEMENTS THAT PROVIDED INFORMATION REGARDING THE INVESTMENTS HELD IN THE ACCOUNT AS WELL AS REFLECTING ACCOUNT ACTIVITY. BASED ON OUR REVIEW, IT IS OUR OPINION ALL TRANSACTIONS EFFECTED IN THE ACCOUNT WERE AUTHORIZED AND THE IR MADE THE APPROPRIATE DISCLOSURES REGARDING THE RISKS ASSOCIATED WITH INVESTING. IN REGARD TO THE CLIENT'S CONCERN RELATED TO HOW INVESTMENT REPRESENTATIVES (IR) BECOME ASSOCIATED WITH THE FIRM, CANDIDATES FOR THE POSITION ARE SUBJECT TO A RIGOROUS INTERVIEWING, HIRING AND TRAINING PROCESS. THE CLIENT'S IR HAS BEEN EMPLOYED WITH EDWARD JONES FOR A NUMBER OF YEARS AND HAS AN EXEMPLARY RECORD.



## End of Report

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