



IAPD Report

Curtis Walton Long Jr

CRD# 1577818

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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

Curtis Walton Long Jr (CRD# 1577818)

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 **04/29/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	EDWARD JONES	CRD# 250	10/22/1986
IA	EDWARD JONES	CRD# 250	01/31/2007

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
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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	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 **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	10/22/1986
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	10/22/1986
B Alabama	Agent	Approved	04/10/2018
B Arizona	Agent	Approved	01/14/1998
B Arkansas	Agent	Approved	03/06/1998
B California	Agent	Approved	07/02/1997
B Colorado	Agent	Approved	07/23/1998
B District of Columbia	Agent	Approved	07/09/2013
B Florida	Agent	Approved	03/26/1996
B Georgia	Agent	Approved	08/15/2014
B Hawaii	Agent	Approved	01/14/2015



Qualifications

Regulator	Registration	Status	Date
B Idaho	Agent	Approved	03/26/2021
B Illinois	Agent	Approved	08/20/1997
B Indiana	Agent	Approved	02/19/1997
B Iowa	Agent	Approved	01/14/1997
B Kansas	Agent	Approved	01/09/1987
IA Kansas	Investment Adviser Representative	Approved	01/31/2007
B Louisiana	Agent	Approved	12/17/2009
B Massachusetts	Agent	Approved	11/12/2024
B Minnesota	Agent	Approved	04/29/2026
B Missouri	Agent	Approved	08/11/1987
B Montana	Agent	Approved	04/30/2018
B Nebraska	Agent	Approved	06/16/2004
B New Mexico	Agent	Approved	08/09/2011
B New York	Agent	Approved	09/28/2005
B Ohio	Agent	Approved	05/14/2010
B Oklahoma	Agent	Approved	01/10/1997
B Oregon	Agent	Approved	01/16/2021
B Rhode Island	Agent	Approved	01/08/2021
B South Carolina	Agent	Approved	12/02/2003



Qualifications

Regulator	Registration	Status	Date
B South Dakota	Agent	Approved	09/17/2009
B Texas	Agent	Approved	04/13/1995
IA Texas	Investment Adviser Representative	Restricted Approval	08/28/2014
B Utah	Agent	Approved	07/23/2019
B Virginia	Agent	Approved	10/08/1998
B Washington	Agent	Approved	07/23/2013

Branch Office Locations

EDWARD JONES
6 SOUTH SILVER ST
PAOLA, KS 66071



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
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No information reported.

General Industry/Product Exams

Exam	Category	Date
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Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
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General Securities Representative Examination (S7)	Series 7	10/18/1986
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State Securities Law Exams

Exam	Category	Date
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Uniform Combined State Law Examination (S66)	Series 66	01/17/2007
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Uniform Securities Agent State Law Examination (S63)	Series 63	11/13/1986
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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
05/1986 - Present	EDWARD D. JONES & CO., L.P.	NOT PROVIDED	Y	PAOLA, KS, 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.

FIRST LUTHERAN CHURCH ENDOWMENT FUND - NOT INVESTMENT RELATED
POSITION: TRUSTEE
ZERO HOURS DEVOTED DURING TRADING HOURS
DUTIES: BOARD MEMBER.

"Briarwood Enterprises
Type of business: Cattle/Real Estate
Paola, KS
Start date: 1/1/1995
Owner
Hours per week: 0
Hours during trading: 0
File tax return"

Sonic LP - LLC
Type of business: Sonic Restaurant
Stanley, KS
Start date: 1/1/1994
Minority Investor
Hours per week: 0
Hours during trading: 0
No responsibilities

L&S Farms
Type of business: Rental house and 76Acres farm
Paola, KS
Start date: 1/1/1995
Part Owner
Hours per week: 0
Hours during trading: 0



Registration & Employment History



OTHER BUSINESS ACTIVITIES

No responsibilities

CED Realty Partners

Type of business: Farm Ground

Paola, KS

Start date: 1/1/1996

Owner

Hours per week: 0

Hours during trading: 0

File tax return

CayMoor Corp

Type of business: Commercial Real Estate

Paola, KS

Start date: 1/1/2004

Owner

Hours per week: 0

Hours during trading: 0

File tax return

USD #368 Endowment Association

Paola, KS

Start date: 1/1/1995

Board Member

Hours per week: 0

Hours during trading: 0

Financial expertise; Board member



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: 6/08-12/08; CLIENT STATES ALL MONIES INVESTED IN THE ACCOUNT HE SHARES WITH HIS MOTHER WERE TO BE PLACED IN GUARANTEED BONDS. CLIENT HAS STATED HE LEARNED AT THE BEGINNING OF DECEMBER THAT THE FA BEGAN PURCHASING NON GUARANTEED FUNDS AND THAT THIS WAS DONE WITHOUT THEIR PERMISSION.

Product Type: Mutual Fund(s)

Alleged Damages: \$5,000.00

Customer Complaint Information

Date Complaint Received: 12/26/2008

Complaint Pending? No

Status: Denied

Status Date: 03/12/2009

Settlement Amount:

Individual Contribution Amount:

Broker Statement OUR RECORDS REFLECT THE LORD ABBETT BOND DEBENTURE FUND WAS INITIALLY PURCHASED ON JUNE 27, 2005. FA HAS STATED HE DID DISCUSS THIS INVESTMENT WITH THE CLIENT AND THE CLIENT AGREED TO THE PURCHASE. AT THE TIME OF THE TRANSACTION, THE CLIENT



WOULD HAVE BEEN SENT A PROSPECTUS DISCLOSING THE DETAILS OF THE INVESTMENT AND THE CLIENT HAS ALSO BEEN SENT STATEMENTS WHICH WOULD HAVE REFLECTED OWNERSHIP OF THE MUTUAL FUND. IN CLOSING, IT IS OUR BELIEF THAT IF THE CLIENT WAS NOT SATISFIED WITH THE MUTUAL FUND, THE CLIENT WOULD HAVE CONTACTED OUR FIRM AT THE TIME OF THE TRANSACTION. BASED ON THIS, THE REQUEST FOR COMPENSATION WAS DENIED.

Disclosure 2 of 3

Reporting Source: Regulator
Employing firm when activities occurred which led to the complaint: EDWARD D. JONES & CO., L.P.

Allegations: COMMON LAW FRAUD; BREACH OF FIDUCIARY DUTY; UNAUTHORIZED TRADING; LACK OF SUITABILITY

Product Type: Other

Other Product Type(s): PREFERRED FUNDS

Alleged Damages: \$48,731.00

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: [NASD - CASE #05-03338](#)

Date Notice/Process Served: 06/29/2005

Arbitration Pending? No

Disposition: Award

Disposition Date: 08/17/2006

Disposition Detail: LONG IS JOINTLY AND SEVERALLY LIABLE FOR AND SHALL PAY CLAIMANTS \$16,520.04.

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

Allegations: CLIENT'S ATTORNEY ALLEGES TRANSACTIONS EFFECTED IN HER ACCOUNT WERE NOT AUTHORIZED. ATTORNEY ALLEGES ALL INVESTMENTS RECOMMENDED BY THE IR WERE PREFERRED MUTUAL FUNDS WITH WHICH "EDWARD JONES HAD UNDISCLOSED AND ILLEGAL SELLING AGREEMENTS". ATTORNEY IS REQUESTING DAMAGES IN THE AMOUNT OF \$70,744.00***** ARBITRATION DESCRIPTION: ALLEGATIONS OF UNAUTHORIZED TRADING, OMISSION OF MATERIAL FACT, VIOLATIONS OF THE KANSAS SECURITIES ACT, VIOLATIONS OF NASD RULES OF FAIR PRACTICE INCLUDING SUITABILITY AND FAILURE TO SUPERVISE, COMMON LAW FRAUD AND BREACH OF FIDUCIARY DUTY THROUGH THE SALE OF PREFERRED FUNDS TO THE CLAIMANTS WITHOUT DISCLOSING RESPONDENTS' ALLEGED CONFLICT OF INTEREST. (AMOUNT CLAIMED: CONSIDERATION PAID FOR THE SUBJECT PREFERRED FUNDS PLUS 15% INTEREST LESS PROCEEDS FROM DISPOSITION OF THE SECURITIES IN THE TOTAL AMOUNT OF \$34,731,



PLUS COMMISSIONS PAID ON THE PURCHASE AND SALE OF THE SUBJECT PREFERRED FUNDS IN THE APPROXIMATE AMOUNT OF \$14,000, PLUS COSTS OF \$975, PLUS ATTORNEYS' FEES OF \$81,000 AND UNSPECIFIED PUNITIVE DAMAGES)

Product Type: Mutual Fund(s)

Alleged Damages: \$70,744.00

Customer Complaint Information

Date Complaint Received: 04/08/2005

Complaint Pending? No

Status: Arbitration/Reparation

Status Date: 04/26/2005

Settlement Amount:

Individual Contribution Amount:

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: [NASD; CASE NO: 05-03338](#)

Date Notice/Process Served: 07/07/2005

Arbitration Pending? No

Disposition: Award to Customer

Disposition Date: 08/17/2006

Monetary Compensation Amount: \$16,520.04

Individual Contribution Amount: \$0.00

Broker Statement

MUTUAL FUNDS WERE PURCHASED IN THE ACCOUNTS AS EARLY AS 2002. AT THE TIME OF THE TRANSACTIONS, THE CLIENT WOULD HAVE RECEIVED TRADE CONFIRMATIONS. IN ADDITION, SHE HAS RECEIVED STATEMENTS, WHICH PROVIDE INFORMATION REGARDING THE INVESTMENTS HELD IN THE ACCOUNTS AS WELL AS REFLECTING ACCOUNT ACTIVITY. ACCORDING TO THE IR, ALL TRANSACTIONS EFFECTED IN THE ACCOUNTS WERE AUTHORIZED. HE HAS INDICATED HE HAD MULTIPLE CONVERSATIONS WITH THE CLIENT REGARDING INDIVIDUAL TRANSACTIONS AS WELL AS THE ACCOUNTS AS A WHOLE. BASED ON OUR REVIEW, IT IS OUR OPINION, THE TRANSACTIONS WERE COMPLETED WITH THE CLIENT'S KNOWLEDGE AND AUTHORIZATION. IN REGARD TO CONCERNS RELATED TO REVENUE SHARING, WE ARE WORKING OUT THE DETAILS OF A FREE SWITCH OPPORTUNITY FOR CURRENT PREFERRED MUTUAL FUND CUSTOMERS, AS WELL AS THE DETAILS FOR THE DISTRIBUTION OF THE \$75 MILLION FAIR FUND SETTLEMENT TO ELIGIBLE CUSTOMERS WHO PURCHASED PREFERRED MUTUAL FUND SHARES AFTER JANUARY 1, 1999. THOSE PROGRAMS, AND THE INFORMATION ABOUT THEM, MUST BE REVIEWED BY THE REGULATORS BEFORE WE CAN RELEASE THE INFORMATION. AS SOON AS THE PROGRAMS AND INFORMATION ARE REVIEWED, WE WILL NOTIFY INDIVIDUALS WHO QUALIFY. IN THE MEANTIME, WE HOPE THE INFORMATION ON OUR WEBSITE (WWW.EDWARDJONES.COM) ADDRESSES MANY OF THE CLIENT'S QUESTIONS AND THAT WITHIN THE



NEXT FEW MONTHS WE WILL HAVE SATISFACTORILY ADDRESSED ALL OF THE CLIENT'S CONCERNS. CLAIM DENIED.*****ARBITRATION RESOLUTION: AWARD OF \$6,246.22 IN COMPENSATORY DAMAGES AND \$2,498.49 IN ATTORNEY'S FEES TO CLAIMANT #3, PLUS \$10,273.82 IN COMPENSATORY DAMAGES AND \$4,109.20 IN ATTORNEY'S FEES TO CLAIMANT #2.

Disclosure 3 of 3

Reporting Source:

Individual

Employing firm when activities occurred which led to the complaint:

EDWARD JONES

Allegations:

CLIENT FILED A COMPLAINT WITH THE MISSOURI SECURITIES DIVISION IN WHICH CLIENT APPARENTLY ALLEGES LOSSES IN PORTFOLIO VALUE RESULTING FROM RECOMMENDATIONS MADE BY THE IR. ACCORDING TO THE STATE, THE CLIENT HAS ALLEGED HIS ENTIRE PORTFOLIO WAS "ALLOCATED TO INVESTMENTS THAT WERE SUBJECT TO MARKET RISK." LOSSES EXCEED \$5,000.

Product Type:

Other

Alleged Damages:

\$5,000.00

Customer Complaint Information**Date Complaint Received:**

03/12/2004

Complaint Pending?

No

Status:

Denied

Status Date:

03/29/2004

Settlement Amount:**Individual Contribution Amount:****Broker Statement**

ACCORDING TO IR, DURING INITIAL MEETINGS WITH THE CLIENT, IR EXPLAINED THE FIRM'S INVESTMENT PHILOSOPHY OF BUYING AND HOLDING QUALITY INVESTMENTS FOR THE LONG TERM. IR STATED THAT DISCUSSIONS RELATING TO THE INVESTMENTS PURCHASED IN THE ACCOUNT INCLUDED MARKET RISK, YIELDS, LIQUIDITY, COSTS AS WELL AS POTENTIAL TAX CONSEQUENCES IN TAKING DISTRIBUTIONS. IR ALSO STATED THE CLIENT WAS PROVIDED WITH VARIOUS REPORTS, HYPOTHETICALS, PROSPECTUSES, AND OTHER MATERIALS REGARDING THE INVESTMENTS. IT IS UNDERSTOOD INCOME NEEDS WERE DISCUSSED AND THE DECISION WAS MADE TO WITHDRAW \$24,000 ANNUALLY (\$2,000/MONTH) FROM THE ACCOUNT. ACCORDING TO IR, CLIENT HAD EXPRESSED GROWING CONCERNS REGARDING HIS HEALTH AND WAS INTERESTED IN THE ANNUITY DUE TO THE DEATH BENEFIT. IR ALSO STATED THE CLIENT WAS AWARE OF THE SURRENDER CHARGES ASSOCIATED WITH REMOVING FUNDS FROM THE ANNUITY AS WELL AS THE PENALTY-FREE WITHDRAWAL LIMITATIONS. IR FURTHER STATED, WITHIN THE FIRST YEAR OF ESTABLISHING THE ACCOUNT, CLIENT BEGAN TAKING MORE IN DISTRIBUTIONS THAN HAD BEEN ORIGINALLY INTENDED. IT IS UNDERSTOOD IR SPOKE WITH THE CLIENT FREQUENTLY REGARDING THE INCREASE IN THE DISTRIBUTIONS AND SUGGESTED REDUCING WITHDRAWALS ON NUMEROUS OCCASIONS. AT THE TIME OF THE TRANSACTIONS (BUYS/SELLS), THE CLIENT WOULD HAVE RECEIVED



TRADE CONFIRMATIONS. IN ADDITION, CLIENT HAS RECEIVED STATEMENTS WHICH PROVIDE INFORMATION REGARDING THE INVESTMENTS HELD IN THE ACCOUNT AS WELL AS REFLECTING ACCOUNT ACTIVITY. BASED ON OUR REVIEW, THE INVESTMENTS PURCHASED IN THE ACCOUNT DO NOT APPEAR TO BE OUTSIDE THE SCOPE OF THE ACCOUNT'S INVESTMENT OBJECTIVES AND ALL TRANSACTIONS WERE AUTHORIZED. CLAIM DENIED.



End of Report

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