



IAPD Report

William Pitt Mason IV

CRD# 1632328

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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

William Pitt Mason IV (CRD# 1632328)

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 **11/19/2025**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	EDWARD JONES	CRD# 250	02/24/1987
IA	EDWARD JONES	CRD# 250	01/26/2007

QUALIFICATIONS

This representative is currently registered in **4** SRO(s) and **23** 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 **23** 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	02/24/1987
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	02/24/1987
B	Arizona	Agent	Approved	03/23/2000
B	California	Agent	Approved	03/06/1990
B	Colorado	Agent	Approved	08/04/2000
B	Connecticut	Agent	Approved	08/29/1988
B	Delaware	Agent	Approved	02/09/1999
B	District of Columbia	Agent	Approved	05/23/1988
B	Florida	Agent	Approved	09/27/1989
B	Georgia	Agent	Approved	01/01/1997
B	Illinois	Agent	Approved	09/28/1994



Qualifications

	Regulator	Registration	Status	Date
B	Maine	Agent	Approved	08/31/2007
B	Maryland	Agent	Approved	03/11/1988
IA	Maryland	Investment Adviser Representative	Approved	01/26/2007
B	Michigan	Agent	Approved	02/19/1997
B	New Hampshire	Agent	Approved	04/09/2002
B	New Jersey	Agent	Approved	04/09/2001
B	New York	Agent	Approved	10/14/1991
B	North Carolina	Agent	Approved	01/02/1997
B	Ohio	Agent	Approved	06/27/1996
B	Pennsylvania	Agent	Approved	10/11/1991
B	South Carolina	Agent	Approved	08/10/1994
B	Tennessee	Agent	Approved	01/03/2022
B	Vermont	Agent	Approved	04/12/2012
B	Virginia	Agent	Approved	11/02/1988
B	West Virginia	Agent	Approved	07/12/2004

Branch Office Locations

EDWARD JONES
17904 GEORGIA AVE STE 107
OLNEY, MD 20832

EDWARD JONES
Sandy Spring, MD



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
B Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
B General Securities Representative Examination (S7)	Series 7	02/21/1987

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	03/09/1987



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
09/1986 - Present	EDWARD D. JONES & CO., L.P.	NOT PROVIDED	Y	OLNEY, MD, 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.

Olney Professional Associates LLC

Type of business: Rental property

Olney, MD

Start date: 10/7/2003

Minority member

Hours per week: 0

Hours during trading: 0

Maintain property.



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:	1/5/06-10/15/07; CLIENT CLAIMS FA CONVINCED HIM TO INVEST IN THE STOCK MARKET. CLIENT STATES INITIALLY HIS PORTFOLIO WENT DOWN FROM COMMISSIONS THAT WERE NOT DISCLOSED TO HIM. CLIENT INDICATES AFTER A BRIEF SPIKE TO \$98K HIS ACCOUNT VALUE IS LESS THAN \$70K. CLIENT STATES THE FA INDICATED ONLY 20% OF HIS ACCOUNT WOULD BE EXPOSED TO RISK. CLIENT FEELS THE FA MISREPRESENTED THE RISK FACTORS. CLIENT IS REQUESTING HIS ACCOUNT BE RESTORED TO THE ORIGINAL VALUE.
Product Type:	Mutual Fund(s)
Alleged Damages:	\$5,000.00

Customer Complaint Information

Date Complaint Received:	10/20/2008
Complaint Pending?	No
Status:	Denied
Status Date:	01/14/2009

Settlement Amount:

Individual Contribution Amount:

Broker Statement UPON OUR REVIEW, I DO NOT BELIEVE THAT WE CAN ACCOMMODATE THE



CLIENT'S REQUEST TO RESTORE HIS ACCOUNT TO ITS VALUE AT THE BEGINNING OF 2006. IT DOES APPEAR THAT THE INVESTMENTS IN THE CLIENT'S ACCOUNT WERE NOT OUTSIDE THE SCOPE OF THE STATED INVESTMENT OBJECTIVES OF INCOME, GROWTH, AND GROWTH AND INCOME. THESE INVESTMENTS WERE MADE ALMOST THREE YEARS AGO AND THE LOSSES THAT REFLECT IN THE CLIENT'S ACCOUNT DO APPEAR TO BE IN CONJUNCTION WITH THE DOWNTURN IN THE MARKETS OVER THE LAST YEAR. CLIENT INVESTED 80% IN THE PUTNAM MUTUAL FUNDS AND 20% IN THE CERTIFICATE OF DEPOSIT. THIS WOULD HAVE BEEN REFLECTED ON THE CLIENT'S STATEMENTS THAT HE HAS BEEN RECEIVING SINCE JANUARY 2006. IF CLIENT FELT THIS WAS AN INCORRECT ALLOCATION THERE HAS BEEN AMPLE OPPORTUNITY TO INFORM MR. MASON OR THE FIRM AS SUCH OVER THIS THREE YEAR PERIOD. CLIENT ALSO CLAIMS FA FAILED TO DISCLOSE THE COMMISSION ASSOCIATED WITH THESE MUTUAL FUND INVESTMENTS. OUR REVIEW OF THE CLIENT'S ACCOUNT INDICATES THAT THE CLIENT RECEIVED A DISCOUNTED COMMISSION BASED ON THE AMOUNT OF HIS INITIAL PURCHASE AND THIS WAS CLEARLY REFLECTED ON THE CLIENT'S JANUARY 2006 STATEMENT. CLAIM DENIED.

Disclosure 2 of 3

Reporting Source: Individual

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

Allegations: CLIENTS STATE THEY INVESTED OVER \$20,000 IN 1998 AND CURRENTLY THE VALUE IS APPROXIMATELY \$14,000, BUT IR'S ADVICE WAS TO STAY PUT. CLIENTS CLAIM THAT THEY COULD HAVE DONE BETTER SOMEWHERE ELSE AND THAT THEY DO NOT UNDERSTAND THE IR'S RATIONALE.

Product Type: Other

Alleged Damages: \$6,000.00

Customer Complaint Information

Date Complaint Received: 12/15/2003

Complaint Pending? No

Status: Denied

Status Date: 01/15/2004

Settlement Amount:

Individual Contribution Amount:

Broker Statement IR STATED THAT HE PROVIDED THE CLIENTS WITH A DETAILED AND UPDATED PORTFOLIO ANALYSIS ON NUMEROUS OCCASIONS. IR HAS ALSO INDICATED THAT THE CLIENT EXPRESSED CONCERN THAT THE ANALYSIS DID NOT INCLUDE ASSETS HELD OUTSIDE OF EDWARD JONES. IR STATED THE CLIENT WAS UNWILLING TO CONSOLIDATE THEIR ASSETS AT EDWARD JONES OR REGULARLY SHARE INFORMATION ABOUT ASSETS HELD OUTSIDE OF OUR FIRM. CLIENT STATES THEY REQUESTED THAT ALL DIVIDENDS GO INTO THE CASH ACCOUNT, BUT IR STATED HE HAS NO RECOLLECTION OR CORRESPONDENCE INDICATING SUCH. IR HAS BEEN ATTEMPTING TO REACH THE CLIENTS TO RESOLVE THIS MATTER. CLIENT



ALSO EXPRESSED CONCERNS REGARDING THEIR PUTNAM HOLDINGS. IR INDICATED HE HAD NO COMPELLING EVIDENCE TO RECOMMEND THAT THE CLIENTS LEAVE PUTNAM COMPLETELY, BUT SUGGESTED THE REVIEW OF EXISTING CHOICES IN THE FAMILY AND POSSIBLY REBALANCE WITHIN THE SAME FUND FAMILY TO AVOID NEW SALES CHARGES. IT IS OUR UNDERSTANDING IR WAS NEVER GIVEN THE OPPORTUNITY TO DISCUSS THE MORNINGSTAR RATINGS. BASED ON OUR INVESTIGATION, WE BELIEVED THE ACCOUNT WAS HANDLED APPROPRIATELY. CLAIM DENIED.

Disclosure 3 of 3

Reporting Source:

Individual

Employing firm when activities occurred which led to the complaint:

EDWARD JONES

Allegations:

THE CHILDREN OF DECEASED CLIENT CORRESPONDED WITH OUR FIRM AND EXPRESSED CONCERN THAT IR DID NOT FOLLOW THE INSTRUCTIONS TO REREGISTER ALL ASSETS, AT THAT TIME, INTO A REVOCABLE LIVING TRUST. AS A RESULT, CHILDREN CLAIM APPROXIMATELY \$412,000 OF MUTUAL FUNDS WERE NOT REGISTERED INTO THE NAME OF THE TRUST. THE SON AND DAUGHTER OF CLIENT INDICATED THAT THIS WILL NOW CAUSE CLIENT'S ESTATE TO GO TO PROBATE AT A COST OF \$5,000. THE CHILDREN REQUESTED THAT THE MUTUAL FUNDS BE BACKDATED ON THE REGISTRATION INTO THE TRUST. APPARENTLY, OUR MUTUAL FUND DEPARTMENT INDICATED THAT THIS WOULD RESULT IN COSTS TO THE IR OF APPROXIMATELY \$10,000.

Product Type:

No Product

Alleged Damages:

\$10,000.00

Customer Complaint Information**Date Complaint Received:**

06/24/2003

Complaint Pending?

No

Status:

Denied

Status Date:

08/26/2003

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

THE IR STATED HE REFERRED THE CLIENT TO AN ESTATE PLANNING ATTORNEY TO ESTABLISH A LIVING TRUST. THE IR RENAMED THE ACCOUNT AS THE LIVING TRUST IN MAY 2001 AS DIRECTED. THE CLIENT HAD THREE MUTUAL FUNDS HELD DIRECTLY WITH LORD ABBETT AND HARTFORD THAT APPEARED NOT TO HAVE BEEN REGISTERED IN THE NAME OF THE TRUST. THE TRUSTEES AND CLIENT RECEIVED STATEMENTS DETAILING THE FUNDS HELD OUTSIDE EDWARD JONES AND THE TRUST ACCOUNT FOR TWO YEARS, BUT NONE OF THE PARTIES REQUESTED THESE PARTICULAR FUNDS TO BE REGISTERED IN THE NAME OF THE TRUST. THE IR STATED THE ATTORNEY TRIED TO MAKE APPOINTMENTS WITH THE TRUSTEES TO MAKE SURE ALL THE ASSETS WERE IN THE NAME OF THE TRUST, BUT APPARENTLY THESE PARTIES DECLINED SUCH APPOINTMENTS. IT APPEARS THE TRUSTEES HAD AMPLE OPPORTUNITY TO REGISTER THE FUNDS IN THE NAME OF THE



TRUST PRIOR TO CLIENT'S DEATH ON JUNE 1, 2003. THERE DOES NOT APPEAR TO BE ANY CORRESPONDENCE REQUESTING THE REGISTERING OF THESE FUNDS IN THE NAME OF THE TRUST. CLAIM DENIED.



End of Report

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