



IAPD Report

John Mitchell Ryan

CRD# 1702843

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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

John Mitchell Ryan (CRD# 1702843)

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 **02/13/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	EDWARD JONES	CRD# 250	10/14/2011
IA	EDWARD JONES	CRD# 250	10/14/2011

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
IA	CAPITAL INVESTMENT STRATEGIES, INC.	130234	MILAN, IL	02/12/2004 - 12/31/2011
IA	LPL FINANCIAL LLC	6413	MILAN, IL	02/14/2011 - 10/31/2011
B	LPL FINANCIAL LLC	6413	MILAN, IL	02/11/2011 - 10/31/2011

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
Criminal	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 **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	FINRA	General Securities Representative	Approved	10/14/2011
B	FINRA	Invest. Co and Variable Contracts	Approved	10/14/2011
B	NYSE American LLC	General Securities Representative	Approved	10/14/2011
B	Nasdaq Stock Market	General Securities Representative	Approved	10/14/2011
B	New York Stock Exchange	General Securities Representative	Approved	10/14/2011
B	Arizona	Agent	Approved	10/26/2022
B	Arkansas	Agent	Approved	08/25/2022
B	Colorado	Agent	Approved	10/14/2011
B	Florida	Agent	Approved	10/14/2011
B	Illinois	Agent	Approved	10/14/2011
IA	Illinois	Investment Adviser Representative	Approved	10/14/2011
B	Indiana	Agent	Approved	01/19/2021
B	Iowa	Agent	Approved	10/14/2011



Qualifications

Regulator	Registration	Status	Date
B Kansas	Agent	Approved	10/17/2017
B Kentucky	Agent	Approved	09/04/2018
B Michigan	Agent	Approved	04/25/2012
B Minnesota	Agent	Approved	10/24/2011
B Missouri	Agent	Approved	10/14/2011
B Montana	Agent	Approved	04/23/2024
IA Montana	Investment Adviser Representative	Approved	06/10/2024
B Nebraska	Agent	Approved	10/17/2011
B New York	Agent	Approved	09/11/2014
B North Carolina	Agent	Approved	03/25/2022
B Ohio	Agent	Approved	07/23/2019
B Pennsylvania	Agent	Approved	07/17/2018
B South Carolina	Agent	Approved	01/10/2024
B South Dakota	Agent	Approved	10/17/2011
B Tennessee	Agent	Approved	08/12/2025
B Washington	Agent	Approved	03/21/2024
B Wisconsin	Agent	Approved	10/14/2011
B Wyoming	Agent	Approved	06/04/2013

Branch Office Locations



Qualifications

EDWARD JONES
1220 18TH STREET SUITE 112
SILVIS, IL 61282-1709

EDWARD JONES
Helena, MT





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



Principal/Supervisory Exams

	Exam	Category	Date
	Municipal Fund Securities Principal Examination (S51)	Series 51	03/11/2003
	General Securities Principal Examination (S24)	Series 24	02/04/2000

General Industry/Product Exams

	Exam	Category	Date
	Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
	General Securities Representative Examination (S7)	Series 7	03/17/1990
	Investment Company Products/Variable Contracts Representative Examination (S6)	Series 6	07/10/1987

State Securities Law Exams

	Exam	Category	Date
	Uniform Investment Adviser Law Examination (S65)	Series 65	02/23/1993
	Uniform Securities Agent State Law Examination (S63)	Series 63	09/18/1987

PROFESSIONAL DESIGNATIONS

This section details that the representative has reported **1** professional designation(s).

Certified Financial Planner

This representative holds or did hold **1** professional designation(s) that may have been used to qualify as an Investment Advisor representative. Please check with the appropriate designation authority for verification that the designation is still in effect. The contact information for these professional designation authorities can be found on the website for the North American Securities



Administrators Association at <http://www.nasaa.org>



Registration & Employment History

PREVIOUSLY REGISTERED WITH THE FOLLOWING FIRMS

This representative held registrations with the following firms:

	Registration Dates	Firm Name	ID#	Branch Location
IA	02/12/2004 - 12/31/2011	CAPITAL INVESTMENT STRATEGIES, INC.	CRD# 130234	MILAN, IL
IA	02/14/2011 - 10/31/2011	LPL FINANCIAL LLC	CRD# 6413	MILAN, IL
B	02/11/2011 - 10/31/2011	LPL FINANCIAL LLC	CRD# 6413	MILAN, IL
B	03/11/2004 - 02/11/2011	QA3 FINANCIAL CORP.	CRD# 14754	MILAN, IL
B	01/02/2004 - 03/09/2004	FREEDOM FINANCIAL, INC.	CRD# 45850	OMAHA, NE
IA	03/28/2003 - 01/06/2004	NATIONAL PLANNING CORPORATION ("NPC OF AMERICA" IN FL & NY)	CRD# 29604	BETTENDORF, IA
B	11/04/2002 - 01/06/2004	NATIONAL PLANNING CORPORATION	CRD# 29604	LOS ANGELES, CA
B	07/09/1999 - 11/05/2002	FREEDOM FINANCIAL, INC.	CRD# 45850	OMAHA, NE
B	02/02/1993 - 07/01/1999	ROYAL ALLIANCE ASSOCIATES, INC.	CRD# 23131	SCOTTSDALE, AZ
B	04/10/1989 - 02/17/1993	MONEY CONCEPTS CAPITAL CORP	CRD# 12963	PALM BEACH GARDEN, FL
B	07/13/1987 - 11/18/1987	FIRST INVESTORS CORPORATION	CRD# 305	

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
10/2011 - Present	EDWARD JONES	FINANCIAL ADVISOR	Y	ST LOUIS, MO, United States



Registration & Employment History



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.

Old Spot Racing

Type of business: Race Horse training

Orion, IL

Start date: 8/23/2022

co-owner

Hours per week: 0

Hours during trading: 0

Training race horses

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Hummingbird Ranch, LLC

Type of business: Horse training and boarding

Helena, MT

Start date: 8/16/2024

Member/co-owner

Hours per week: 25

Hours during trading: 2

Desc: Cleaning stalls and paddocks for short term boarding. Training problem horses



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
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Criminal	1
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Criminal

This disclosure event involves a criminal charge against the Investment Adviser Representative that has resulted in a dismissal, plea, acquittal or conviction. The criminal matter may relate to any felony or certain misdemeanor offenses (e.g., bribery, perjury, forgery, counterfeiting, extortion, fraud, wrongful taking of property).

Disclosure 1 of 1

Reporting Source: Individual

Organization Name (if charge(s) were brought against an organization over which individual exercised control): N/A

Court Details: COOK COUNTY COURT, ILLINOIS CASE #1996134988001

Charge Date: 07/04/1996

Charge Details: THEFT OF CITY PROPERTY

Felony? No

Current Status: Final

Status Date: 10/08/1996

Disposition Details: INCIDENT WAS STRICKEN FROM RECORD ON 10/08/1996

Broker Statement MY DOG AND I WERE RUNNING AND AS I SLOWED DOWN, MY DOG JUMPED ON MY BACK, FORCING US INTO A STREET SIGN. WITH ME WEIGHING 400 LBS AND MY DOG WEIGHING 75 LBS, THE POST BENT TO ABOUT A 30 DEGREE ANGLE. UPON TRYING TO STRAIGHTEN OUT THE POST, IT SNAPPED OFF. I SET THE POST AGAINST THE BUILDING AND LATER WAS CHARGED WITH THEFT OF CITY PROPERTY. THE CHARGES WERE DISMISSED SINCE THERE WAS NO EVIDENCE THAT I INTENDED TO PROFIT FROM THIS INCIDENT. THE EVIDENCE CLEARLY SHOWED THAT IT WAS AN ACCIDENT AND THAT THE ARRESTING OFFICER "EXHIBITED A GROSS LACK OF COMMON SENSE" (ACCORDING TO THE JUDGE) IN ARRESTING ME. I WAS WRONGFULLY INCARCERATED FOR 19 1/2 HOURS WITHOUT FOOD OR WATER (A VIOLATION OF ILLINOIS LAW) THE CITY SETTLED WITH ME FOR \$5000.



End of Report

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