



IAPD Report

Timothy R. Dolan

CRD# 1716037

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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

Timothy R. Dolan (CRD# 1716037)

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 **06/24/2025**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	EDWARD JONES	CRD# 250	05/12/1992
IA	EDWARD JONES	CRD# 250	10/17/2014

QUALIFICATIONS

This representative is currently registered in **4** SRO(s) and **31** 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	5



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 **31** 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	05/12/1992
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	05/12/1992
B Arizona	Agent	Approved	09/23/1992
B Arkansas	Agent	Approved	04/30/2015
B California	Agent	Approved	08/23/1996
B Colorado	Agent	Approved	07/09/2010
B Connecticut	Agent	Approved	03/21/2024
B Delaware	Agent	Approved	01/02/2018
B Florida	Agent	Approved	02/04/2004
B Georgia	Agent	Approved	11/10/2004
B Idaho	Agent	Approved	06/15/2018



Qualifications

Regulator	Registration	Status	Date
B Illinois	Agent	Approved	09/08/2014
B Indiana	Agent	Approved	06/24/2025
B Iowa	Agent	Approved	02/03/2004
B Kansas	Agent	Approved	09/22/1992
IA Kansas	Investment Adviser Representative	Approved	12/18/2024
B Maryland	Agent	Approved	07/21/1994
B Michigan	Agent	Approved	02/02/1994
B Minnesota	Agent	Approved	09/04/2007
B Missouri	Agent	Approved	06/10/1992
IA Missouri	Investment Adviser Representative	Approved	12/18/2024
B Montana	Agent	Approved	01/24/2013
B Nebraska	Agent	Approved	02/20/2015
B Nevada	Agent	Approved	11/04/2009
B New Hampshire	Agent	Approved	02/06/2012
B New Mexico	Agent	Approved	07/29/2014
B North Carolina	Agent	Approved	05/19/2005
B Ohio	Agent	Approved	06/16/2020
B Oklahoma	Agent	Approved	02/03/2023
B Oregon	Agent	Approved	12/01/2016



Qualifications

Regulator	Registration	Status	Date
B South Carolina	Agent	Approved	11/26/2019
B South Dakota	Agent	Approved	08/24/2009
B Tennessee	Agent	Approved	06/21/2021
B Texas	Agent	Approved	03/29/2000
IA Texas	Investment Adviser Representative	Restricted Approval	10/17/2014
B Washington	Agent	Approved	11/09/2009

Branch Office Locations

EDWARD JONES
1907 SWIFT AVENUE SUITE 200
NORTH KANSAS CITY, MO 64116



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, 3 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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B Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
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B General Securities Representative Examination (S7)	Series 7	04/16/1992
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B Direct Participation Programs Representative Examination (S22)	Series 22	09/01/1987
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State Securities Law Exams

Exam	Category	Date
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IA B Uniform Combined State Law Examination (S66)	Series 66	12/16/2024
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B Uniform Securities Agent State Law Examination (S63)	Series 63	09/17/1992
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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
12/1991 - Present	EDWARD D. JONES & CO., L.P.	OTHER - AGENT (HAS ANOTHER CRD# 223242	Y	NORTH KANSAS CITY, 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.

BOARDMEMBER OF NORTH KANSAS CITY BUSINESS COUNCIL: NON-PROFIT CHAMBER ORGANIZATION AND HELP DIRECT POLICIES.



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	5

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 5

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	Edward Jones
Allegations:	The client alleges the financial misrepresented that assets would not be sold to convert her Advisory Solutions SEP IRA to an Advisory Solutions IRA account.
Product Type:	Other: Managed / Wrap Accounts (in House)
Alleged Damages:	\$11,000.00
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:	05/07/2020
Complaint Pending?	No
Status:	Settled
Status Date:	06/08/2020
Settlement Amount:	\$6,384.70
Individual Contribution Amount:	\$0.00
Broker Statement	After completion of the firm's investigation, client's claim was resolved in the



amount of \$6,384.70. Financial advisor was not required to contribute to the resolution.

Disclosure 2 of 5

Reporting Source: Individual

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

Allegations: CLIENT ALLEGES THE SELL OF \$25,000 MOBERLY MO CERTIFICATES OF PARTICIPATION 4.4% DUE 12/1/15 WAS THE RESULT OF THE POOR ADVICE/RECOMMENDATION OF THE FINANCIAL ADVISOR.

Product Type: Debt-Municipal

Alleged Damages: \$25,000.00

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: 12/04/2013

Complaint Pending? No

Status: Denied

Status Date: 01/08/2014

Settlement Amount:

Individual Contribution Amount:

Broker Statement AFTER COMPLETION OF THE FIRM'S INVESTIGATION INTO CLIENT'S ALLEGATIONS, CLAIM WAS DENIED

Disclosure 3 of 5

Reporting Source: Individual

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

Allegations: THE CLIENT CLAIMS THAT THE FA WAS TOLD THAT THE ACCOUNT OWNER WAS INCAPABLE OF MAKING SOUND INVESTMENT DECISIONS AND THE COMPLAINANT (THE ACCOUNT OWNERS WIFE) WAS AN INEXPERIENCED INVESTOR. THE COMPLAINANT STATES THAT THEY DID NOT WANT TO RISK OR ANY LOSS OF MONEY AND THE ABILITY TO WITHDRAW FUNDS. THE COMPLAINANT STATES THAT THE FA TOLD HER SHE WOULD NEED A POA AND SHE STATED THAT SHE WOULD SPEAK TO A MILITARY ATTORNEY. THE FA RECOMMENDED MUTUAL FUNDS AND WOULD ASSIST WITH THE TRANSFER OF FUNDS FROM THE ACCOUNT OWNERS TSP. THE COMPLAINANT STATES ON 6/18/08 THE FA CONTACTED HER AND SAID THE FUNDS WERE AVAILABLE TO MAKE THE INVESTMENTS AND THE COMPLAINANT STATES SHE TOLD THE FA THAT THE ACCOUNT OWNER WAS NOT HOME BUT SHE THOUGH IT WAS OK TO GO AHEAD. UPON



RECEIPT OF THE JULY STATEMENT THE COMPLAINANT WAS SURPRISED AT THE DECREASE IN VALUE OF THE ACCOUNT. SHE TRIED TO CONTACT THE BRANCH AND ENDED UP TALKING WITH CLIENT SERVICES. THE COMPLAINANT STATES SHE WAS NOT TOLD THE INVESTMENTS WOULD BE SUBJECT TO THE MARKET. THE COMPLAINANT STATES THAT ON 7/8/08 THE ACCOUNT OWNER GAVE INSTRUCTIONS TO LIQUIDATE THE ACCOUNT AND TRANSFER OUT OF EDWARD JONES. THE COMPLAINANT IS REQUESTING THE RETURN OF THE INVESTMENT IN FULL WHICH SHE STATES WAS \$75,208.56. CLAIMED LOSSES EXCEED \$5,000.

Product Type: Mutual Fund(s)

Alleged Damages: \$5,729.00

Customer Complaint Information

Date Complaint Received: 08/13/2008

Complaint Pending? No

Status: Settled

Status Date: 10/09/2008

Settlement Amount: \$5,729.00

Individual Contribution Amount: \$0.00

Broker Statement BASED ON OUR RESEARCH IT WAS DETERMINED THAT A SETTLEMENT IN THE AMOUNT OF \$5,729 WOULD FAIRLY COMPENSATE THE CLIENT. THE OFFER WAS ACCEPTED AND A CHECK WAS REQUESTED IN THIS AMOUNT.

Disclosure 4 of 5

Reporting Source: Individual

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

Allegations: CLIENT CLAIMS SHE MET WITH IR IN SEPTEMBER 2000 TO MAKE CHANGES IN HER FUNDS WHICH CLIENT BELIEVED WOULD BE A SAFER INVESTMENT. CLIENT CLAIMS SHE WANTED THE MAJORITY OF HER FUNDS IN A BOND FUND AND WAS TOLD BY THE IR THERE WERE NO BOND FUNDS CLIENT COULD PLACE HER MONEY IN AND WAS ADVISED TO LEAVE HER MONEY AS IT WAS. CLIENT CLAIMS SHE INSISTED ON BEING MORE DIVERSIFIED BUT THE IR ONLY OFFERED A CD. CLIENT CLAIMS SHE INFORMED THE IR SHE DID NOT WANT TO DO THAT AND WAS GIVEN NO OTHER OPTIONS BY THE IR. CLIENT CLAIMS SHE LATER LEARNED THERE WAS A BOND FUND WITH AMERICAN FUNDS CLIENT COULD HAVE MOVED TO. CLIENT CLAIMS AS A RESULT OF THIS MATTER SHE LOST ALMOST \$10,000.

Product Type: Mutual Fund(s)

Alleged Damages: \$10,000.00

Customer Complaint Information

Date Complaint Received: 02/06/2004

Complaint Pending? No

Status: Denied



Status Date: 03/03/2004

Settlement Amount:

Individual Contribution Amount:

Broker Statement

OUR RECORDS REFLECT THE INVESTMENT COMPANY OF AMERICA (ICA) WAS ORIGINALLY PURCHASED IN SEPTEMBER 1996. IR STATED THE FUND WAS RECOMMENDED AFTER DISCUSSING CLIENT'S GOALS, OBJECTIVES, RISK TOLERANCE AND OTHER AVAILABLE INVESTMENT OPTIONS. ADDITIONAL FUNDS WERE RECEIVED OCTOBER 1997 WHICH WERE ORIGINALLY PLACED IN THE ICA FUND AND THEN EXCHANGED TO THE NEW PROSPECTIVE FUND ON 10/8/97. TAKING INTO CONSIDERATION THE DISTRIBUTIONS FROM THE FUNDS, IT DOES APPEAR THERE IS A GAIN ON THESE FUND INVESTMENTS. CLIENT WOULD HAVE RECEIVED TRADE CONFIRMATIONS AT THE TIME OF PURCHASE AS WELL AS FUND PROSPECTUSES. IR STATED DURING SEPTEMBER 2000 MEETING HE RECALLS (FROM NOTES OF SAID MEETING) DISCUSSING CLIENT'S FINANCIAL ASSETS, THE PERFORMANCE OF THE FUNDS WAS WELL AS SOCIAL SECURITY BENEFITS. HE HAS INDICATED DURING THIS MEETING HE WAS NEVER ASKED TO MOVE FUNDS TO A BOND FUND AND AT NO TIME INFORMED CLIENT THERE WAS NO BOND FUND AVAILABLE WITH AMERICAN FUNDS. HE HAS ADDITIONALLY INDICATED HE AT NO TIME TREATED CLIENT UNPROFESSIONALLY AND HAS NEVER TREATED A CLIENT IN THE MANNER IN WHICH CLIENT REFERENCED IN HER LETTER. BASED ON OUR REVIEW, IT WOULD APPEAR THE FUNDS PURCHASED IN 1996 AND 1997 WERE THE RESULT OF DISCUSSIONS WITH IR AND ORDER WERE PLACED WITH CLIENT'S AUTHORIZATION. FURTHER, IT APPEARS NO SPECIFIC INSTRUCTIONS WERE GIVEN TO IR IN SEPTEMBER 2000 TO EXCHANGE SHARES OF ICA TO A BOND FUND. CLAIM DENIED.

Disclosure 5 of 5

Reporting Source: Individual

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

Allegations: CLIENT IS DISSATISFIED WITH THE PERFORMANCE OF HER ACCOUNT AND CLAIMS SHE HAS LOST MOST OF HER MONEY. CLIENT CLAIMS SHE WAS TOLD SHE WAS BEING PUT INTO SECURE FUNDS AND NOW BELIEVES THAT WAS NOT TRUE. CLAIM EXCEEDS \$5,000

Product Type: Other

Alleged Damages: \$5,000.00

Customer Complaint Information

Date Complaint Received: 02/07/2003

Complaint Pending? No

Status: Denied

Status Date: 05/13/2003

Settlement Amount:

Individual Contribution Amount:



Broker Statement

A REVIEW OF CLIENT'S ACCOUNT ACTIVITY REVEALED THAT SOME TRANSACTIONS MADE BY CLIENT WERE UNSOLICITED. CLIENT WAS ALSO TAKING SYSTEMATIC WITHDRAWALS FROM HER ACCOUNT, WHICH ACCOUNTS FOR SOME OF THE DECLINE IN CLIENT'S ACCOUNTS. IR STATED THAT HE DISCUSSED POTENTIAL INVESTMENTS WITH CLIENT AND PROVIDED INFORMATION TO HER TO MAKE INFORMED INVESTMENT DECISIONS. THE DECLINE IN ACCOUNT VALUES OF CLIENT'S INVESTMENTS WOULD APPEAR TO BE ATTRIBUTABLE TO BOTH MARKET FLUCTUATION AND CLIENT'S SYSTEMATIC WITHDRAWALS. CLAIM DENIED.



End of Report

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