IAPD Report

Melanie Muller Romine

CRD# 1802220

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

Melanie Muller Romine (CRD# 1802220)

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 **05/06/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	EDWARD JONES	CRD# 250	02/24/1988
IA	EDWARD JONES	CRD# 250	07/25/2007

QUALIFICATIONS

This representative is currently registered in **4** SRO(s) and **34** 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

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 **34** 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	02/24/1988
B	FINRA	General Securities Sales Supervisor	Approved	11/08/1993
B	FINRA	General Securities Principal	Approved	11/10/1993
B	NYSE American LLC	General Securities Principal	Approved	09/13/2011
B	NYSE American LLC	General Securities Representative	Approved	09/13/2011
B	NYSE American LLC	General Securities Sales Supervisor	Approved	10/01/2018
B	Nasdaq Stock Market	General Securities Principal	Approved	07/12/2006
B	Nasdaq Stock Market	General Securities Representative	Approved	07/12/2006
B	Nasdaq Stock Market	General Securities Sales Supervisor	Approved	07/12/2006
B	New York Stock Exchange	General Securities Representative	Approved	02/24/1988
B	New York Stock Exchange	General Securities Principal	Approved	06/26/2010
B	New York Stock Exchange	General Securities Sales Supervisor	Approved	10/01/2018
B	Alabama	Agent	Approved	12/06/2011

Qualifications

	Regulator	Registration	Status	Date
B	Arizona	Agent	Approved	10/27/2008
B	Arkansas	Agent	Approved	06/15/2015
B	California	Agent	Approved	01/19/2000
B	Colorado	Agent	Approved	03/17/1992
B	Florida	Agent	Approved	01/31/1991
B	Georgia	Agent	Approved	01/23/2006
B	Idaho	Agent	Approved	09/06/2017
B	Illinois	Agent	Approved	09/03/2003
B	Indiana	Agent	Approved	05/02/2025
B	Iowa	Agent	Approved	01/13/2021
B	Kansas	Agent	Approved	06/17/2008
B	Kentucky	Agent	Approved	01/14/2013
B	Louisiana	Agent	Approved	01/06/1989
B	Maine	Agent	Approved	04/27/2009
B	Minnesota	Agent	Approved	04/05/2024
B	Mississippi	Agent	Approved	05/21/2021
B	Missouri	Agent	Approved	02/02/2021
B	Nebraska	Agent	Approved	01/18/2011
B	Nevada	Agent	Approved	09/07/2011

Qualifications

	Regulator	Registration	Status	Date
B	New Jersey	Agent	Approved	04/30/2004
B	New Mexico	Agent	Approved	02/09/2016
B	New York	Agent	Approved	05/01/2004
B	North Carolina	Agent	Approved	07/08/1997
B	Ohio	Agent	Approved	08/26/2008
B	Oklahoma	Agent	Approved	09/25/2006
B	Oregon	Agent	Approved	10/05/2004
B	Pennsylvania	Agent	Approved	06/25/2018
B	South Carolina	Agent	Approved	11/15/2018
B	Tennessee	Agent	Approved	03/29/2010
B	Texas	Agent	Approved	04/26/1988
IA	Texas	Investment Adviser Representative	Approved	07/25/2007
B	Virginia	Agent	Approved	03/21/2000
B	Washington	Agent	Approved	08/17/2004
B	Wisconsin	Agent	Approved	08/21/2002

Branch Office Locations

EDWARD JONES
315 S HOUSTON
CAMERON, TX 76520

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

Principal/Supervisory Exams

	Exam	Category	Date
B	General Securities Sales Supervisor - Options Module Examination (S9)	Series 9	01/02/2023
B	General Securities Sales Supervisor - General Module Examination (S10)	Series 10	01/02/2023
B	General Securities Principal Examination (S24)	Series 24	11/09/1993
B	General Securities Sales Supervisor Examination (Options Module & General Module) (S8)	Series 8	11/05/1993

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	02/20/1988

State Securities Law Exams

	Exam	Category	Date
IA B	Uniform Combined State Law Examination (S66)	Series 66	07/23/2007
B	Uniform Securities Agent State Law Examination (S63)	Series 63	04/08/1988

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
07/1987 - Present	EDWARD JONES	NOT PROVIDED	Y	CAMERON, TX, 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.

Edward Jones office
Type of business: rental property
Cameron, TX
Start date: 1/1/1998
office property owner
Hours per week: 0
Hours during trading: 0
Maintain property.

Figure 2 Ranch family limited partnership
Type of business: land
Highland Village, TX
Start date: 1/1/2003
Limited partner
Hours per week: 0
Hours during trading: 0
Desc: Just a limited partner. My cousins are the main ones in charge.

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:	CLIENT HAS INDICATED HE IS NOT PLEASED THAT THE VALUE OF THE BONDS IN HIS ACCOUNT HAVE DECLINED AND HAS STATED HE WANTS THE FULL AMOUNT INVESTED RETURNED. CLIENT ADDITIONALLY STATES HE TOLD THE IR HE WANTED SHORT TERM INVESTMENTS AND THE IR INVESTED MONIES IN LONG TERM BONDS.
Product Type:	Other
Alleged Damages:	$5,000.00

Customer Complaint Information

Date Complaint Received:	11/08/2006
Complaint Pending?	No
Status:	Denied
Status Date:	12/07/2006
Settlement Amount:	
Individual Contribution Amount:	
Broker Statement	IR HAS INDICATED THAT THE CLIENT BEGAN INVESTING WITH HER IN 2000 PURCHASING CDS AND THAT WHEN THE CDS MATURED, THE SHE AND THE CLIENT PERFORMED A REVIEW OF THE CLIENT'S PORTFOLIO AND NEW REINVESTMENT OPTIONS WERE DISCUSSED. IR HAS STATED THAT

	WHEN THE CLIENT WANTED A SHORT TERM INVESTMENT, THE CLIENT PURCHASED A CD AND WHEN THE CLIENT WAS LOOKING FOR A GREATER YIELD, THE CLIENT PURCHASED LONG TERM BONDS. OUR RECORDS REFLECT THE CLIENT BEGAN PURCHASING LONG TERM MATURITIES IN 2002. AT THE TIME OF THE PURCHASES THE CLIENT WOULD HAVE RECEIVED CONFIRMATION WHICH REFLECTED THE MATURITY DATE AND HAS SINCE RECEIVED STATEMENTS WHICH ALSO REFLECTED THE MATURITY DATES. ADDITIONALLY, IR CONTENDS THE LENGTH OF MATURIES WERE ALWAYS DISCUSSED AS WELL AS MARKET VALUE FLUCTUATION. BASED ON OUR INVESTIGATION, IT IS OUR BELIEF THAT THE CLIENT WAS AWARE OF THE INVESTMENTS IN THE PORTFOLIO AND WAS SATISFIED WITH THEM OR THE CLIENT WOULD HAVE CONTACTED OUR FIRM EARLIER.

Disclosure 2 of 2

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	EDWARD JONES
Allegations:	CLIENT STATES SHE INVESTED FUNDS WITH SHUFFIELD IN FEBRUARY OF 2000, PURCHASING SHARES OF CISCO AND JDS UNIPHASE. CLIENT STATES AT THAT TIME SHUFFIELD INFORMED HER THAT SHE WOULD MAKE MONEY. CLIENT QUESTIONS HOW A 71-YEAR-OLD WOMAN ENDED UP OWNING THESE TWO STOCKS. CLIENT CLAIMS DAMAGES OF $9,375.
Product Type:	Equity - OTC
Alleged Damages:	$9,375.00

Customer Complaint Information

Date Complaint Received:	03/14/2003
Complaint Pending?	No
Status:	Denied
Status Date:	05/15/2003
Settlement Amount:	
Individual Contribution Amount:	
Broker Statement	ACCORDING TO IR, WHEN SHE INITIALLY MET WITH THE CLIENT, CLIENT PROVIDED A LIST OF STOCKS IN WHICH THE CLIENT WAS INTERESTED AS THE CLIENT HAD A FRIEND WHO HAD "MADE A LOT OF MONEY" PURCHASING THESE STOCKS. IR INDICATED SHE REVIEWED THE LIST AND INFORMED THE CLIENT SOME OF THE STOCKS HAD SUBSTANTIALLY INCREASED IN VALUE; HOWEVER, THERE WAS NO GUARANTEE THE STOCKS WOULD CONTINUE TO INCREASE. IR STATED SHE EXPLAINED THE RISKS ASSOCIATED WITH INDIVIDUAL EQUITIES AND ALSO COMPARED RISK LEVELS ASSOCIATED WITH BONDS, AS WELL AS MUTUAL FUNDS. IR STATED THE CLIENT WAS INSISTENT ON PURCHASING STOCKS ON THE LIST AND, BASED ON IR'S REVIEW, IR BELIEVED JDS UNIPHASE CORP (JDSU) AND CISCO SYS INC (CSCO) WERE THE HIGHER QUALITY STOCKS ON THE LIST. ACCORDING TO OUR RECORDS, SHARES OF JDSU AND CSCO WERE PURCHASED IN THE ACCOUNT ON MARCH 10, 2000. AT THE TIME OF THE PURCHASES, THE CLIENT RECEIVED TRADE CONFIRMATIONS WHICH PROVIDED DETAILS OF THE TRANSACTIONS.

SINCE THE PURCHASES, THE CLIENT HAS RECEIVED STATEMENTS WHICH PROVIDE INFORMATION REGARDING THE INVESTMENTS HELD IN THE ACCOUNT AS WELL AS REFLECTING ACCOUNT ACTIVITY. IR APPEARS TO HAVE ADVISED THE CLIENT OF THE RISKS ASSOCIATED WITH OWNING THE AFOREMENTIONED STOCKS. IN ADDITION, THE CLIENT SIGNED BUY ACKNOWLEDGEMENT LETTERS FOR BOTH PURCHASES THAT INDICATE SHE WAS AWARE OF THE RISKS ASSOCIATED WITH OWNING THE STOCKS. BASED ON OUR REVIEW, IT IS OUR OPINION THE PURCHASES WERE MADE WITH THE CLIENT'S AUTHORIZATION AND CLIENT WAS AWARE OF THE RISKS ASSOCIATED WITH OWNING THE STOCKS. CLAIM DENIED.

End of Report

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