



IAPD Report

Jeremy Dickstein

CRD# 1874077

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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

Jeremy Dickstein (CRD# 1874077)

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 **12/26/2025**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	EDWARD JONES	CRD# 250	01/28/2024
IA	EDWARD JONES	CRD# 250	02/27/2024

QUALIFICATIONS

This representative is currently registered in **4** SRO(s) and **52** 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	WILMINGTON CAPITAL SECURITIES, LLC	133839	Garden City, NY	09/27/2021 - 02/02/2022
B	WILMINGTON CAPITAL SECURITIES, LLC	133839	GARDEN CITY, NY	09/16/2021 - 02/02/2022
IA	WILMINGTON CAPITAL SECURITIES, LLC	133839	New York, NY	05/17/2021 - 09/08/2021

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
Judgment/Lien	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 **52** 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	01/28/2024
B	FINRA	General Securities Sales Supervisor	Approved	01/28/2024
B	NYSE American LLC	General Securities Representative	Approved	01/28/2024
B	NYSE American LLC	General Securities Sales Supervisor	Approved	01/28/2024
B	Nasdaq Stock Market	General Securities Representative	Approved	01/28/2024
B	Nasdaq Stock Market	General Securities Sales Supervisor	Approved	01/28/2024
B	New York Stock Exchange	General Securities Representative	Approved	01/28/2024
B	New York Stock Exchange	General Securities Sales Supervisor	Approved	01/28/2024
B	Alabama	Agent	Approved	04/25/2024
B	Alaska	Agent	Approved	03/08/2024
B	Arizona	Agent	Approved	03/19/2024
B	Arkansas	Agent	Approved	05/13/2024
B	California	Agent	Approved	03/08/2024



Qualifications

Regulator	Registration	Status	Date
B Colorado	Agent	Approved	03/18/2024
B Connecticut	Agent	Approved	03/07/2024
B Delaware	Agent	Approved	03/20/2024
B District of Columbia	Agent	Approved	03/07/2024
B Florida	Agent	Approved	03/08/2024
B Georgia	Agent	Approved	03/11/2024
B Hawaii	Agent	Approved	06/07/2024
B Idaho	Agent	Approved	03/11/2024
B Illinois	Agent	Approved	03/14/2024
B Indiana	Agent	Approved	03/18/2024
B Iowa	Agent	Approved	03/08/2024
B Kansas	Agent	Approved	03/07/2024
B Kentucky	Agent	Approved	04/23/2024
B Louisiana	Agent	Approved	03/14/2024
B Maine	Agent	Approved	03/08/2024
B Maryland	Agent	Approved	11/06/2024
B Massachusetts	Agent	Approved	05/09/2024
B Minnesota	Agent	Approved	03/07/2024
B Mississippi	Agent	Approved	03/08/2024



Qualifications

	Regulator	Registration	Status	Date
B	Missouri	Agent	Approved	04/17/2024
IA	Missouri	Investment Adviser Representative	Approved	04/17/2024
B	Montana	Agent	Approved	03/11/2024
B	Nebraska	Agent	Approved	03/07/2024
B	Nevada	Agent	Approved	03/08/2024
B	New Hampshire	Agent	Approved	04/11/2024
B	New Jersey	Agent	Approved	03/07/2024
B	New Mexico	Agent	Approved	03/08/2024
B	New York	Agent	Approved	01/28/2024
IA	New York	Investment Adviser Representative	Approved	02/27/2024
B	North Carolina	Agent	Approved	03/11/2024
B	North Dakota	Agent	Approved	03/11/2024
B	Ohio	Agent	Approved	03/08/2024
B	Oklahoma	Agent	Approved	04/24/2024
B	Oregon	Agent	Approved	03/09/2024
B	Pennsylvania	Agent	Approved	03/08/2024
B	Puerto Rico	Agent	Approved	04/04/2024
B	Rhode Island	Agent	Approved	03/11/2024
B	South Carolina	Agent	Approved	03/12/2024



Qualifications

Regulator	Registration	Status	Date
B South Dakota	Agent	Approved	03/08/2024
B Tennessee	Agent	Approved	03/08/2024
B Texas	Agent	Approved	03/08/2024
IA Texas	Investment Adviser Representative	Restricted Approval	03/20/2024
B Utah	Agent	Approved	03/08/2024
B Vermont	Agent	Approved	04/18/2024
B Virgin Islands	Agent	Approved	03/08/2024
B Virginia	Agent	Approved	04/10/2024
B Washington	Agent	Approved	04/18/2024
B West Virginia	Agent	Approved	03/11/2024
B Wisconsin	Agent	Approved	03/21/2024
B Wyoming	Agent	Approved	03/11/2024

Branch Office Locations

EDWARD JONES
New York, NY






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





Principal/Supervisory Exams

Exam	Category	Date
 General Securities Sales Supervisor - General Module Examination (S10)	Series 10	01/02/2023
 General Securities Sales Supervisor - Options Module Examination (S9)	Series 9	01/02/2023
 General Securities Sales Supervisor Examination (Options Module & General Module) (S8)	Series 8	03/03/1994

General Industry/Product Exams

Exam	Category	Date
 Securities Industry Essentials Examination (SIE)	SIE	09/11/2018
 Futures Managed Funds Examination (S31)	Series 31	06/28/1993
 General Securities Representative Examination (S7)	Series 7	03/18/1989

State Securities Law Exams

Exam	Category	Date
  Uniform Combined State Law Examination (S66)	Series 66	02/26/2024
 Uniform Investment Adviser Law Examination (S65)	Series 65	08/31/2010
 Uniform Securities Agent State Law Examination (S63)	Series 63	03/31/1989



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:

	Registration Dates	Firm Name	ID#	Branch Location
IA	09/27/2021 - 02/02/2022	WILMINGTON CAPITAL SECURITIES, LLC	CRD# 133839	Garden City, NY
B	09/16/2021 - 02/02/2022	WILMINGTON CAPITAL SECURITIES, LLC	CRD# 133839	GARDEN CITY, NY
IA	05/17/2021 - 09/08/2021	WILMINGTON CAPITAL SECURITIES, LLC	CRD# 133839	New York, NY
B	04/28/2021 - 09/08/2021	WILMINGTON CAPITAL SECURITIES, LLC	CRD# 133839	GARDEN CITY, NY
B	09/10/2020 - 04/16/2021	PARK AVENUE SECURITIES LLC	CRD# 46173	NEW YORK, NY
B	04/27/2020 - 08/04/2020	NORTHWESTERN MUTUAL INVESTMENT SERVICES, LLC	CRD# 2881	NEW YORK, NY
IA	04/16/2019 - 02/27/2020	PARITAS CAPITAL MANAGEMENT, LLC	CRD# 175415	DARIEN, CT
B	05/23/2017 - 09/11/2018	SPARTAN CAPITAL SECURITIES, LLC	CRD# 146251	NEW YORK, NY
B	11/26/2014 - 12/06/2016	TIGRESS FINANCIAL PARTNERS, LLC	CRD# 154717	NEW YORK, NY
B	06/10/2011 - 01/10/2014	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	CRD# 7691	NEW YORK, NY
IA	06/10/2011 - 01/10/2014	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	CRD# 7691	NEW YORK, NY
IA	09/01/2010 - 06/20/2011	MORGAN STANLEY SMITH BARNEY LLC	CRD# 149777	NEW YORK, NY
B	06/01/2010 - 06/20/2011	MORGAN STANLEY SMITH BARNEY	CRD# 149777	NEW YORK, NY
B	06/01/2009 - 07/23/2009	MORGAN STANLEY SMITH BARNEY	CRD# 149777	PURCHASE, NY
B	02/02/1996 - 06/01/2009	CITIGROUP GLOBAL MARKETS INC.	CRD# 7059	NEW YORK, NY
B	08/07/1993 - 12/14/1995	FIDELITY BROKERAGE SERVICES, INC.	CRD# 7784	SMITHFIELD, RI



Registration & Employment History

PREVIOUSLY REGISTERED WITH THE FOLLOWING FIRMS

This representative held registrations with the following firms:

	Registration Dates	Firm Name	ID#	Branch Location
B	03/21/1989 - 07/21/1993	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	CRD# 7691	NEW YORK, NY

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
12/2023 - Present	EDWARD JONES	HR Enterprise Learning	Y	ST LOUIS, MO, United States
10/2022 - 12/2023	ELITE CONSULTING PARTNERS	SENIOR TRANSITION CONSULTANT	N	MOORESTOWN, NJ, United States
07/2021 - 08/2022	1WEST COMMERCIAL	DIRECTOR BUSINESS LENDING	N	NEW YORK, NY, United States
04/2021 - 04/2022	LITTLEBANC ADVISORS	PRINCIPAL	N	DELRAY BEACH, FL, United States
04/2021 - 02/2022	WILMINGTON CAPITAL SECURITIES, LLC	REGISTERED REPRESENTATIVE	Y	GARDEN CITY, NY, United States
07/2020 - 04/2021	GUARDIAN LIFE INSURANCE COMPANY	AGENT	Y	NEW YORK, NY, United States
07/2020 - 04/2021	PARK AVENUE SECURITIES	REGISTERED REPRESENTATIVE	Y	NEW YORK, NY, United States
07/2020 - 04/2021	WEALTH ADVISORY GROUP	FIELD REPRESENTATIVE	Y	NEW YORK, NY, United States
04/2020 - 08/2020	Northwestern Mutual Investment Services LLC	Registered Representative	Y	New York, NY, United States
01/2019 - 07/2020	LiftForward, Inc.	Business Development	N	New York, NY, United States
04/2019 - 02/2020	Paritas Capital Management	Business Development	Y	Darien, CT, United States
04/2017 - 01/2020	AFLAC	Benefits Advisor	Y	New York, NY, United States
08/2018 - 02/2019	Syren Capital	Business Development	Y	New York, NY, United States
07/2017 - 08/2018	Lisiten Associates	Regional Sales Director	N	New York, NY, United States
05/2017 - 08/2018	Spartan Capital Securities LLC	REGISTERED REPRESENTATIVE	Y	NEW YORK, NY, United States



Registration & Employment History

EMPLOYMENT HISTORY

Employment Dates	Employer Name	Position	Investment Related	Employer Location
12/2016 - 04/2017	Colonial Life	Insurance Agent	N	NEW YORK, NY, United States
11/2014 - 12/2016	TIGRESS FINANCIAL PARTNERS, LLC	SENIOR VICE- PRESIDENT, GLOBAL WEALTH MANAGEMENT	Y	NEW YORK, NY, 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.

No information reported.



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
Judgment/Lien	1

Judgment/Lien

This disclosure event involves an unsatisfied and outstanding judgment or lien against the Investment Adviser Representative.

Disclosure 1 of 1

Reporting Source:	Individual
Judgment/Lien Holder:	State of New York
Judgment/Lien Amount:	\$41,507.14
Judgment/Lien Type:	Tax
Date Filed with Court:	05/25/2018
Date Individual Learned:	06/11/2018
Type of Court:	State Court
Name of Court:	New York Civil Court
Location of Court:	New York, NY
Docket/Case #:	E-047460352-W001-2
Judgment/Lien Outstanding?	Yes



End of Report

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