



IAPD Report

Guy William Steele

CRD# 1922223

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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

Guy William Steele (CRD# 1922223)

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 **09/26/2025**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	EDWARD JONES	CRD# 250	02/14/1989
IA	EDWARD JONES	CRD# 250	01/13/1997

QUALIFICATIONS

This representative is currently registered in **4** SRO(s) and **37** 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
Regulatory Event	1
Customer Dispute	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 **37** 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	02/14/1989
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	02/14/1989
B	Arizona	Agent	Approved	08/07/2007
B	Arkansas	Agent	Approved	09/05/2007
B	California	Agent	Approved	02/28/1989
B	Colorado	Agent	Approved	04/19/2005
B	Connecticut	Agent	Approved	12/04/2013
B	District of Columbia	Agent	Approved	12/01/2004
B	Florida	Agent	Approved	04/01/2003
IA	Florida	Investment Adviser Representative	Approved	10/28/2024
B	Georgia	Agent	Approved	08/08/2008



Qualifications

Regulator	Registration	Status	Date
B Hawaii	Agent	Approved	10/28/1994
B Idaho	Agent	Approved	01/18/2024
B Illinois	Agent	Approved	11/26/2007
B Iowa	Agent	Approved	07/22/2019
B Kansas	Agent	Approved	12/18/2007
B Louisiana	Agent	Approved	02/20/2004
B Maine	Agent	Approved	04/08/2014
B Maryland	Agent	Approved	07/09/2009
B Massachusetts	Agent	Approved	04/08/2014
B Michigan	Agent	Approved	10/23/2025
B Minnesota	Agent	Approved	10/03/2006
B Mississippi	Agent	Approved	09/05/2012
B Missouri	Agent	Approved	05/11/2011
B Montana	Agent	Approved	07/18/2022
B Nevada	Agent	Approved	05/07/2004
B New Hampshire	Agent	Approved	02/21/2012
B New Jersey	Agent	Approved	08/24/2022
B New York	Agent	Approved	06/13/2003
B North Carolina	Agent	Approved	03/05/2002



Qualifications

Regulator	Registration	Status	Date
B North Dakota	Agent	Approved	06/24/2003
B Ohio	Agent	Approved	07/14/2021
B Oregon	Agent	Approved	05/20/1989
B Pennsylvania	Agent	Approved	08/19/2011
B South Carolina	Agent	Approved	03/11/2005
B Tennessee	Agent	Approved	03/27/2017
B Texas	Agent	Approved	08/02/2002
IA Texas	Investment Adviser Representative	Approved	08/19/2014
B Virginia	Agent	Approved	08/07/2013
B Washington	Agent	Approved	11/25/2004
B Wyoming	Agent	Approved	08/27/2004

Branch Office Locations

EDWARD JONES
4099 TAMIAMI TRAIL N STE 303
NAPLES, FL 34103

EDWARD JONES
NAPLES, FL



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 1 state securities law exam.

Principal/Supervisory Exams


Exam	Category	Date
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No information reported.

General Industry/Product Exams


Exam	Category	Date
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 Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
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 General Securities Representative Examination (S7)	Series 7	02/11/1989
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State Securities Law Exams

Exam	Category	Date
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 Uniform Securities Agent State Law Examination (S63)	Series 63	03/22/1989
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PROFESSIONAL DESIGNATIONS

This section details that the representative has reported **2** professional designation(s).

Certified Financial Planner

Chartered Financial Consultant

This representative holds or did hold **2** 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:



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
09/1988 - Present	EDWARD JONES	Financial Advisor	Y	KAILUA, HI, 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.

SINATRA RADIO SHOW
 Type of business: PUBLIC RADIO SHOW
 KAILUA, HI
 Start date: 10/15/2005
 Producer
 Hours per week: 10
 Hours during trading: 0
 Produce a Sinatra radio show that airs each week on pure jazzradio.org

SELF
 Type of business: SINATRA RADIO SHOW
 NAPLES, FL
 Start date: 10/5/1998
 Hours per week: 10
 Hours during trading: 0
 Produce a Sinatra radio show



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
Regulatory Event	1
Customer Dispute	1

Regulatory Event

This disclosure event may include a final, formal proceeding initiated by a regulatory authority (e.g., a state securities agency, a federal regulator such as the Securities and Exchange Commission or the Commodities Futures Trading Commission, or a foreign financial regulatory body) for a violation of investment-related rules or regulations. This disclosure event may also include a revocation or suspension of an Investment Adviser Representative's authority to act as an attorney, accountant or federal contractor.

Disclosure 1 of 1

Reporting Source:	Regulator
Regulatory Action Initiated By:	FLORIDA OFFICE OF FINANCIAL REGULATION
Sanction(s) Sought:	Cease and Desist Civil and Administrative Penalty(ies)/Fine(s)
Date Initiated:	10/28/2024
Docket/Case Number:	124822-SR
URL for Regulatory Action:	
Employing firm when activity occurred which led to the regulatory action:	EDWARD D. JONES & CO., L.P.
Product Type:	No Product
Allegations:	Rendered investment advice, from a location within Florida, without being registered by the Office.
Current Status:	Final
Resolution:	Order
Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct?	No
Resolution Date:	10/28/2024



Sanctions Ordered: Cease and Desist

Monetary Sanction 1 of 1

Monetary Related Sanction: Civil and Administrative Penalty(ies)/Fine(s)

Total Amount: \$10,000.00

Portion Levied against individual: \$10,000.00

Payment Plan:

Is Payment Plan Current:

Date Paid by individual: 10/28/2024

Was any portion of penalty waived? No

Amount Waived:

Regulator Statement

On October 28, 2024, the Office of Financial Regulation (Office) entered a Final Order adopting the Stipulation and Consent Agreement in the matter of Guy William Steele (Steele). Steele neither admitted nor denied the allegations but consented to the entry of findings by the Office. The Office found that Steele violated section 517.12(4), Florida Statutes, by rendering investment advice, from a location within Florida, without being registered by the Office. Steele agreed to Cease and Desist from violations of Chapter 517, Florida Statutes, and the Administrative Rules adopted thereto, and to pay an administrative fine in the amount of \$10,000. The Office agreed to approve Steele's application as an associated person (RA) with Edward D. Jones & Co., L.P. effective October 28, 2024.

Reporting Source: Individual

Regulatory Action Initiated By: State of Florida, Office of Financial Regulation

Sanction(s) Sought: Civil and Administrative Penalty(ies)/Fine(s)

Date Initiated: 10/28/2024

Docket/Case Number: 124822-SR

Employing firm when activity occurred which led to the regulatory action: EDWARD JONES

Product Type: No Product

Allegations: The State of Florida, Office of Financial Regulation (the "Office") finds that the registered representative violated section 517.12(4), Florida Statutes (2023), by reinvestment advice, from a location within Florida, without being registered with the Office as an associated person of Edward Jones.

Current Status: Final

Resolution: Order



Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct?	No
Resolution Date:	10/28/2024
Sanctions Ordered:	Civil and Administrative Penalty(ies)/Fine(s)
Monetary Sanction 1 of 1	
Monetary Related Sanction:	Civil and Administrative Penalty(ies)/Fine(s)
Total Amount:	\$10,000.00
Portion Levied against individual:	\$10,000.00
Payment Plan:	
Is Payment Plan Current:	
Date Paid by individual:	10/08/2024
Was any portion of penalty waived?	No
Amount Waived:	



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 1

Reporting Source: Individual

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

Allegations: 10/27/08; CUSTOMER CLAIMS IN OCTOBER OF 2008 SHE STARTED CALLING THE FA CONCERNED WITH THE MARKET AND THE LOSSES IN HER ACCOUNT. CLIENT INDICATED THAT SHE REQUESTED HER ASSETS BE MOVED TO A CD AND THE FA TALKED HER OUT OF THAT UNTIL LATE OCTOBER AND THEN HE MOVED HER IRA TO CD(S). THE CLIENT CLAIMS HE FA DID NOT ADVISE HER PROPERLY CAUSING HER TO LOSE \$136,040 AND WANTS TO BE REIMBURSED THAT AMOUNT. LOSSES EXCEED \$5000.00

Product Type: Annuity-Variable

Alleged Damages: \$136,040.00

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: 10/16/2009

Complaint Pending? No

Status: Denied

Status Date: 11/12/2009

Settlement Amount:

Individual Contribution Amount:

Broker Statement

ACCORDING TO THE FA ON OCTOBER 17, 2008, THE CLIENT WANTED TO LIQUIDATE ALL HER ASSETS IN BOTH ACCOUNTS AND MOVE TO CDS. THE FA INDICATED THAT THIS WAS NOT IN HER BEST INTEREST & CONTRADICTED HER BUY & HOLD FOR THE LONG TERM PHILOSOPHY. THE FA RECOMMENDED SHE PURCHASE THE AMERICAN LEGACY VARIABLE ANNUITY. HE INDICATED HE DISCUSSED IN DETAIL THE ANNUITY, THE PROTECTION OF INCOME, DEATH BENEFIT, SALES CHARGE AND VARIOUS BREAKPOINTS, WHILE STILL BEING ABLE TO PARTICIPATE IN ANY MARKET RECOVERY. ACCORDING TO THE FA, THE CLIENT AGREED TO HIS RECOMMENDATION AND PURCHASED \$136,800 IN HER TRUST ACCOUNT ON OCTOBER 27, 2008. THE CLIENT SIGNED THE REPOSITIONING OF ASSET LETTER, WHICH SPECIFICALLY DISCLOSED THE COMMISSION. ON JANUARY 12, 2009 THE CLIENT MET WITH THE FA



AND EXPRESSED NO CONCERNS ABOUT HER PORTFOLIO OR DISPLEASURE WITH HER ANNUITY. AT THAT TIME, OUR RECORDS SHOWED THAT THE CLIENT HAD A CD MATURING AND FA STATES HE RECOMMENDED THE AMERICAN LEGACY FOR THOSE PROCEEDS IN HER IRA ACCOUNT. OUR RECORDS SHOW THE PROCEEDS WERE PLACED IN THE CASH MANAGEMENT ACCOUNT, AND THE CLIENT SIGNED THE APPROPRIATE DOCUMENTS TO PURCHASE THE ANNUITY. BASED ON OUR REVIEW OF THIS MATTER IT IS OUR OPINION THAT MR. STEELE HANDLED THE ACCOUNT BOTH APPROPRIATELY AND PROFESSIONALLY. IN ADDITION, SHE RECEIVED THE APPROPRIATE INFORMATION TO MAKE AN INFORMED DECISION REGARDING YOUR ANNUITY INVESTMENT. IN LIGHT OF THIS, REQUEST FOR REIMBURSEMENT IS RESPECTFULLY DENIED.



End of Report

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