



IAPD Report

Dana Irene Leary

CRD# 1964515

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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

Dana Irene Leary (CRD# 1964515)

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 **03/10/2025**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	EDWARD JONES	CRD# 250	08/22/1996
IA	EDWARD JONES	CRD# 250	01/29/2007

QUALIFICATIONS

This representative is currently registered in **4** SRO(s) and **28** 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	3



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 **28** 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	08/22/1996
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	08/22/1996
B Alabama	Agent	Approved	06/19/1997
B Arizona	Agent	Approved	01/13/2009
B California	Agent	Approved	05/03/2011
B Colorado	Agent	Approved	02/22/2021
B District of Columbia	Agent	Approved	07/08/2011
B Florida	Agent	Approved	10/21/1996
B Georgia	Agent	Approved	06/19/1997
IA Georgia	Investment Adviser Representative	Approved	01/29/2007
B Idaho	Agent	Approved	06/16/2008



Qualifications

Regulator	Registration	Status	Date
B Illinois	Agent	Approved	02/12/2020
B Kentucky	Agent	Approved	12/17/2007
B Louisiana	Agent	Approved	09/11/2012
B Maryland	Agent	Approved	08/26/2024
B Michigan	Agent	Approved	03/19/2015
B Minnesota	Agent	Approved	04/02/2012
B Missouri	Agent	Approved	09/13/1996
B Nebraska	Agent	Approved	02/07/2023
B Nevada	Agent	Approved	10/29/2021
B New York	Agent	Approved	05/02/2011
B North Carolina	Agent	Approved	09/19/1996
B Ohio	Agent	Approved	01/18/2012
B Oregon	Agent	Approved	12/07/2022
B South Carolina	Agent	Approved	09/08/2005
B Tennessee	Agent	Approved	05/02/2011
B Texas	Agent	Approved	09/02/2005
IA Texas	Investment Adviser Representative	Restricted Approval	01/04/2019
B Vermont	Agent	Approved	09/12/2022



Qualifications

Regulator	Registration	Status	Date
B Virginia	Agent	Approved	09/18/1996
B Wisconsin	Agent	Approved	04/26/2012
B Wyoming	Agent	Approved	03/10/2025

Branch Office Locations

EDWARD JONES
1007 FERNWOOD DRIVE
Milledgeville, GA 31061



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 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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Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
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General Securities Representative Examination (S7)	Series 7	08/21/1996
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State Securities Law Exams

Exam	Category	Date
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Uniform Combined State Law Examination (S66)	Series 66	01/16/2007
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Uniform Securities Agent State Law Examination (S63)	Series 63	09/11/1996
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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
05/1989 - Present	EDWARD D. JONES & CO., L.P.	NOT PROVIDED	Y	SOUTHPORT, NC, United States
05/1989 - Present	EDWARD D JONES & CO	OTHER - TEAM LEADER BRANCH DESIGN	N	ST LOUIS, 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.

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
Customer Dispute	3

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 3

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	EDWARD JONES
Allegations:	3/23/11; CLIENT CLAIMS ALL REQUIRED DISCLOSURES REGARDING COMMISSION, THE SELLER, BOND PRICES, ETC. WERE NOT GIVEN AT THE TIME OF PURCHASE. CLIENT CLAIMS THE BOND IS DOWN IN VALUE \$6,843.75. CLIENT IS ASKING FOR THE PURCHASE TO BE RESCINDED. CLAIM EXCEEDS \$5,000
Product Type:	Debt-Municipal
Alleged Damages:	\$6,843.75
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:	04/21/2011
Complaint Pending?	No
Status:	Denied
Status Date:	06/15/2011
Settlement Amount:	

**Individual Contribution Amount:****Broker Statement**

OUR RECORDS REFLECT THE \$250,000 FULTON COUNTY GA WATER AND SEWER BOND WAS PURCHASED ON MARCH 23, 2011. I UNDERSTAND CLIENT HAD DISCUSSIONS PRIOR TO THE PURCHASE WITH FA AS TO CLIENT'S UNDERSTANDING OF BONDS AND THE BOND MARKET AND INDICATED CLIENT WOULD ONLY BE INTERESTED IN A MUNICIPAL WATER AND SEWER OR REVENUE BOND. WHEN THE BOND IN QUESTION BECAME AVAILABLE, CLIENT WAS CONTACTED AND THE BOND WAS FULLY DISCUSSED TO INCLUDE MARKUP, BOND RATING, ISSUER, ETC. AS A RESULT OF DISCUSSION, CLIENT INSTRUCTED FA TO PURCHASE THE BOND. I UNDERSTAND CLIENT DID QUESTION WHO WAS SELLING THE BOND; IT WAS EXPLAINED THE BOND WAS IN THE EDWARD JONES INVENTORY. AS SUCH, AS DISCUSSED WITH CLIENT AND AS DISCLOSED ON THE TRADE CONFIRMATION CLIENT RECEIVED AT THE TIME OF THE PURCHASE (COPY ENCLOSED), EDWARD JONES WAS ACTING IN A PRINCIPAL CAPACITY. THAT IS, EDWARD JONES IS THE SELLER OF THE BOND. BASED ON OUR REVIEW CLIENT WAS FULLY AWARE OF THE FEATURES OF THIS BOND AND AUTHORIZED THE PURCHASE. FURTHER, IT DOES APPEAR ALL REQUIRED INFORMATION WAS DISCLOSED TO CLIENT AT THE TIME OF PURCHASE TO INCLUDE RISKS. WHILE THE BOND VALUE IS SUBJECT TO FLUCTUATION, THE VALUE DOES CURRENTLY APPEAR TO BE VERY CLOSE TO THE PRICE PAID FOR THE BOND. IF CLIENT WISHES TO LIQUIDATE ALL OR A PORTION OF THIS BOND, HE MAY CONTACT THE FA TO DISCUSS OPTIONS. CLAIM DENIED

Disclosure 2 of 3**Reporting Source:**

Individual

Employing firm when activities occurred which led to the complaint:

EDWARD JONES

Allegations:

4/7/09-9/8/10; CLIENTS ALLEGE, AT THE TIME THEIR ANNUITIES WERE SURRENDERED METLIFE CONTACTED THEM AND AGREED THAT THE INVESTMENT WAS NOT SUITABLE FOR THEM. CLIENTS INDICATE, WHEN THEIR CDS BECAME DUE, THEY CONTACTED THE FA FOR A SIMILAR INVESTMENT THAT WOULD PROVIDE IMMEDIATE INCOME. CLIENTS INDICATE THEY BELIEVED THAT THEY WOULD BE RECEIVING 6% ON THEIR INVESTMENT NOT THAT THEY WOULD BE REDUCING THEIR PRINCIPAL. CLIENTS INDICATE THEY WOULD HAVE BEEN BETTER OFF IN A SAVINGS ACCOUNT UNTIL THEY FOUND AN INVESTMENT THAT WAS A BETTER FIT FOR THEM. CLIENTS STATE THEY ARE RIGHT BACK WHERE THEY STARTED LESS THE FA'S COMMISSION AND BELIEVE THE INVESTMENT WAS SOLD TO THEM FOR THE COMMISSION THE FA WOULD EARN. CLIENTS STATE THEY ARE PURSUING A RETURN OF THE COMMISSION THAT WAS PAID WHICH WAS APPROXIMATELY \$8,250.00.

Product Type:

Annuity-Variable

Alleged Damages:

\$8,250.00

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: 12/22/2010

Complaint Pending? No

Status: Denied

Status Date: 01/14/2011

Settlement Amount:

Individual Contribution Amount:

Broker Statement

BASED ON OUR REVIEW, IT IS OUR OPINION; THE FA MADE HER SUGGESTIONS IN GOOD FAITH BASED ON DISCUSSIONS WITH THE CLIENTS RELATED TO THEIR NEEDS AND INVESTMENT GOALS. IN ADDITION TO THE INFORMATION THE CLIENTS RECEIVED FROM THE FA RELATED TO THE SALES CHARGE, SPECIFIC DETAILS REGARDING THE SALES CHARGE WERE PROVIDED IN THE AFOREMENTIONED LETTER OF INTENT/RIGHTS OF ACCUMULATION FORM AS WELL AS THE ANNUITY PROSPECTUS(ES) AND CONTRACT(S). IN REVIEWING THE SALES CHARGES ASSOCIATED WITH THE PURCHASES, IT APPEARS THE APPROPRIATE BREAKPOINT (I.E. REDUCED SALES CHARGE) WAS APPLIED. IN THE CLIENTS' CORRESPONDENCE, THEY HAVE MADE REFERENCE TO LOSSES INCURRED AS A RESULT OF THE PURCHASE OF THE ANNUITIES. HOWEVER, ACCORDING TO OUR CALCULATIONS, THERE WAS A NET GAIN OF APPROXIMATELY \$3,100.00 AT THE TIME THE ANNUITIES WERE SURRENDERED. ALTHOUGH NO RESULTS CAN BE GUARANTEED, WE BELIEVE (GIVEN TIME) THE ANNUITIES WOULD HAVE MET THE CLIENTS' REQUIRED INCOME NEEDS AS WELL AS PROVIDING THEM WITH AN OPPORTUNITY FOR GROWTH. ADVISED THE RETURNS FROM THEIR INVESTMENTS MUST BE 6% OR HIGHER TO SUPPORT THEIR STATED INCOME NEEDS WITHOUT REDUCING PRINCIPAL. AS A RESULT OF OUR REVIEW, WE ARE RESPECTFULLY DENYING THE CLIENTS' REQUEST FOR A REIMBURSEMENT OF THE SALES CHARGES ASSOCIATED WITH THE ANNUITY PURCHASES.

Disclosure 3 of 3

Reporting Source: Individual

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

Allegations: ON JUNE 3, 1999 THE CLIENT DEPOSITED A ROLLOVER CHECK INTO HIS IRA ACCOUNT. THE CLIENT MET WITH IR EMPLOYED BY EDWARD JONES TO DISCUSS POSSIBLE INVESTMENTS. THE CLIENT CLAIMS HE NEVER AUTHORIZED ANY PURCHASES, BUT SUBSEQUENT TO THE MEETING, THIRTEEN PURCHASES WERE MADE. CLIENT REQUESTS THAT ALL TRADES BE CANCELLED AND THE RECEIPT OF HIS ROLLOVER AMOUNT PLUS INTEREST. AT THE TIME OF FILING, THE ACCOUNT VALUE WAS \$435,136 AND ROLLOVER CHECK WAS \$443,624.

Product Type: Mutual Fund

Alleged Damages: \$5,000.00



Alleged Damages Amount Explanation (if amount not exact): ALLEGATIONS CLAIM DAMAGES THAT APPEAR TO BE IN EXCESS OF \$5000.

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: 06/29/1999

Complaint Pending? No

Status: Denied

Status Date: 07/29/1999

Settlement Amount:

Individual Contribution Amount:

Broker Statement COMPLAINT DENIED



End of Report

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