



IAPD Report

Vickie V Wicks

CRD# 2119026

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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

Vickie V Wicks (CRD# 2119026)

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 **05/01/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	EDWARD JONES	CRD# 250	07/18/1995
IA	EDWARD JONES	CRD# 250	01/12/2007

QUALIFICATIONS

This representative is currently registered in **4** SRO(s) and **27** 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
B	GNA SECURITIES, INC.	10465	GLEN ALLEN, VA	01/31/1991 - 06/23/1995

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 **27** 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	07/18/1995
B FINRA	General Securities Principal	Approved	03/22/2016
B FINRA	Invest. Co and Variable Contracts	Approved	07/10/2020
B NYSE American LLC	General Securities Representative	Approved	09/13/2011
B NYSE American LLC	General Securities Principal	Approved	03/22/2016
B Nasdaq Stock Market	General Securities Representative	Approved	07/12/2006
B Nasdaq Stock Market	General Securities Principal	Approved	03/22/2016
B New York Stock Exchange	General Securities Representative	Approved	07/18/1995
B New York Stock Exchange	General Securities Principal	Approved	03/22/2016
B Alabama	Agent	Approved	05/12/1998
B Arizona	Agent	Approved	09/12/2018
IA Arizona	Investment Adviser Representative	Approved	09/13/2018
B Arkansas	Agent	Approved	06/02/2005



Qualifications

Regulator	Registration	Status	Date
B California	Agent	Approved	04/17/2024
B Colorado	Agent	Approved	01/31/2024
B District of Columbia	Agent	Approved	09/27/2010
B Florida	Agent	Approved	07/02/1998
B Georgia	Agent	Approved	10/22/1996
B Indiana	Agent	Approved	04/23/2025
B Kansas	Agent	Approved	03/12/2021
B Kentucky	Agent	Approved	12/07/2021
B Louisiana	Agent	Approved	06/26/1995
IA Louisiana	Investment Adviser Representative	Approved	01/12/2007
B Michigan	Agent	Approved	11/29/2022
B Missouri	Agent	Approved	01/08/2019
B Montana	Agent	Approved	01/04/2012
B New Jersey	Agent	Approved	05/09/2011
B New York	Agent	Approved	02/12/2020
B North Carolina	Agent	Approved	08/26/2022
B Oregon	Agent	Approved	03/30/2021
B Pennsylvania	Agent	Approved	03/20/2026
B South Carolina	Agent	Approved	06/18/2025



Qualifications

Regulator	Registration	Status	Date
B South Dakota	Agent	Approved	02/27/2026
B Tennessee	Agent	Approved	06/10/2019
B Texas	Agent	Approved	08/08/1995
IA Texas	Investment Adviser Representative	Restricted Approval	08/26/2014
B Virginia	Agent	Approved	07/24/2024
B Washington	Agent	Approved	03/08/2021
B Wyoming	Agent	Approved	07/10/2020

Branch Office Locations

EDWARD JONES
4315 LAKE STREET SUITE 1
LAKE CHARLES, LA 70605

EDWARD JONES
Mesa, AZ

EDWARD JONES
18700 N Hayden Rd Suite 190
Scottsdale, AZ 85255



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 1 principal/supervisory exam, 3 general industry/product exams, and 2 state securities law exams.

Principal/Supervisory Exams

Exam	Category	Date
B General Securities Principal Examination (S24)	Series 24	03/22/2016

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	07/17/1995
B Investment Company Products/Variable Contracts Representative Examination (S6)	Series 6	01/29/1991

State Securities Law Exams

Exam	Category	Date
IA Uniform Investment Adviser Law Examination (S65)	Series 65	09/06/2016
B Uniform Securities Agent State Law Examination (S63)	Series 63	07/20/1995

PROFESSIONAL DESIGNATIONS

This section details that the representative has reported **1** professional designation(s).

Chartered Financial Consultant

This representative holds or did hold **1** 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:

	Registration Dates	Firm Name	ID#	Branch Location
B	01/31/1991 - 06/23/1995	GNA SECURITIES, INC.	CRD# 10465	GLEN ALLEN, VA

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
06/1995 - Present	EDWARD D. JONES & CO., L.P.	NOT PROVIDED	Y	LAKE CHARLES, LA, 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.

- BETTER BUSINESS BUREAU BOARD MEMBER
- QLQH CATHOLIC SCHOOL BOARD MEMBER
- SOWELA TECHNICAL COLLEGE FOUNDATION BOARD MEMBER

 Vickie Wicks - Authoring a Book through Streamline
 Type of business: Industry Related Books
 Lake Charles, LA
 Start date: 7/7/2025
 Financial Advisor/Author
 Hours per week: 0
 Hours during trading: 0

Outside Business - I'm writing a book. this will take approximately one year and I'm hiring Streamline Books to Publish. We are in the beginning stages and will submit drafts and manuscript to compliance as we have them available before publication. May I have approval to move forward.

 Edward Jones Investments
 Type of business: 2nd Branch Location
 Scottsdale, AZ
 Start date: 8/25/2025
 Financial Advisor
 Hours per week: 20
 Hours during trading: 2
 I'm in a pilot, sharing real estate as a second location with Chris Wallen, FA with EJ and 3 other FAs in the Cavasson Building. I was asked to make sure and add this branch location to JAC, I work approximately 75-100 days per year in this location.



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:	10/08; CLIENT CLAIMS HE HAD INSTRUCTED THE FA TO MOVE ALL HIS ACCOUNTS TO A SAFE POSITION IF THE VALUE OF THE ACCOUNTS FELL TO 5% AND THEN LOWERED THAT TO 3%. CLIENT CLAIMS THE FA DID NOT MOVE ALL OF HIS ASSETS AND AS A RESULT HIS SUSTAINED LOSSES OF \$200,000.
Product Type:	Mutual Fund(s)
Alleged Damages:	\$200,000.00

Customer Complaint Information

Date Complaint Received:	10/28/2008
Complaint Pending?	No
Status:	Denied
Status Date:	01/07/2009
Settlement Amount:	
Individual Contribution Amount:	
Broker Statement	CLIENT WAS INFORMED COULD ESTABLISH ALERTS TO CHECK CLOSING PRICES ON STKS & MUTUAL FDS & CLIENT WAS INFORMED HE WOULD HAVE RESPONSIBILITY OF MAKING DECISIONS REGARDING CHANGES IN ACCTS & NO TRADE WOULD BE AUTOMATICALLY PLACED. FA STATED



CLIENT WAS BALANCED IN AMERICAN FDS W/EMPHASIS ON GROWTH & INCOME. CLIENT WAS PROVIDED W/STATEMENTS REFLECTING HOLDINGS & ESTIMATED VALUES. 1/08, FA RECOMMENDED & EXCHANGES WERE MADE TO BALANCED FD AS CLIENT WAS MOVING CLOSER TO RETIREMENT. BASED ON REVIEW OF E-MAILS & THROUGH COMMENTS OF FA, FA ALWAYS RESPONDED TO QUESTIONS & CONCERNS. AS CLIENT INDICATED HE DID NOT PLAN ON TAKING DISTRIBUTIONS OR RETIRING UNTIL AFTER 2009, FA CONTINUED TO RECOMMEND STAYING COURSE & ALLOWING MKT VOLATILITY TO CALM. FA STATED SHE RECEIVED E-MAIL ON 10/6/08 REGARDING REQUEST TO SELL ALL FDS & MOVE TO MNY MKT. FA STATED SHE CONTACTED CLIENT & INFORMED HIM COULD NOT ACCEPT TRADE INSTRUCTIONS BY E-MAIL & ASKED IF WANTED TO PROCEED WITH REQUEST. IT WAS DETERMINED CLIENT WOULD CONTINUE TO HOLD CAPITAL INC BUILDER & BAL FD & MOVE INTN'L FDS TO BOND FD. EXCHANGES WERE MADE W/ CLIENT'S AUTH. FA STATED AGAIN SPOKE WITH CLIENT ON 10/15/08 AND CLIENT ASKED OPINION ON INDEXED ANNUITIES. FA STATED CLIENT NEVER REFERENCED ACTIVITY OF 10/6 & WAS UNAWARE OF ANY CONCERN REGARDING TRADES NOT BEING PLACED CORRECTLY. AS INSTRUCTED, ACCTS WERE LIQUIDATED AS OF 10/28/08 AS MKT HAD ALREADY CLOSED BY TIME INSTRUCTIONS WERE CONFIRMED ON 10/27/08. BASED ON REVIEW, FUNDS WERE WITHIN SCOPE OF INVESTMENT OBJECTIVES AS REFLECTED ON ACCTS & CLIENT WAS AWARE, WHILE FA COULD WATCH ACCTS, NO ORDERS COULD BE PLACED W/OUT INSTRUCTION & AUTH. WHILE CLIENT HAD VARIOUS CONVERSATIONS BY E-MAIL & PHONE W/ FA, NO INSTRUCTIONS REGARDING LIQUIDATION OF ACCTS WERE GIVEN UNTIL 10/6 TO EXCHANGE FDS & ULTIMATELY LIQUIDATE ACCTS 10/27 (AFTER MKT CLOSE). CLAIM DENIED.

Disclosure 2 of 2

Reporting Source:

Individual

Employing firm when activities occurred which led to the complaint:

EDWARD JONES

Allegations:

THE CLIENT STATES ON 11/11/99 SHE INSTRUCTED THE IR TO SELL HER VRSN. THE CLIENT STATES ON 11/12/99 SHE TOLD THE IR SHE EXPECTED VRSN TO DROP AND INSTRUCTED HER TO RE-PURCHASE HER SHARES OF VRSN BUT KEEP HER PROFIT FROM THE 11/11/SELL. THE CLIENT STATES THE IR DID NOT RE-PURCHASE THE STOCK AS INSTRUCTED AND HAS LOST PROFITS. THE STOCK WAS TRADING AT \$85 ON 11/12 AND IS TRADING AT \$205 ON 1/20/00.

Product Type:

Equity - OTC

Alleged Damages:

\$5,000.00

Customer Complaint Information**Date Complaint Received:**

01/19/2000

Complaint Pending?

No

Status:

Denied

Status Date:

02/09/2000

Settlement Amount:**Individual Contribution Amount:**



Broker Statement

THE IR STATES THE CLIENT LEFT THREE SEPERATE MESSAGES WITH HER OFFICE, THE FIRST MESSAGE INSTRUCTED HER TO SELL VRSN, THE SECOND SAID NOT TO SELL VRSN AND THE THIRD MESSAGE INDICATED SELL. THE IR CONTACTED THE CLIENT FOR CLARIFICATION. AT THAT TIME, THE IR ENTERED THE ORDER TO SELL BASED ON THE CLIENTS INSTRUCTIONS AND TO HOLD PROCEEDS IN HER CASH ACCOUNT. THE IR STATES THERE WERE NEVER ANY FURTHER INSTRUCTIONS TO REPURCHASE VRSN. CLAIM RESPECTFULLY DENIED.



End of Report

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